

**Continued Cost-  
Effectiveness**

**Ever-Improving  
Services**



**OCLC Response**  
Montana State Library  
Resource Sharing  
Request for Information

October 25, 2019

---

**Maruta Skujina**  
OCLC Strategic Account Director  
(o) 800-848-5878, x5194; (m) 206-218-5180  
[skujinam@oclc.org](mailto:skujinam@oclc.org)



October 25, 2019

Cara Orban  
Consortia Director  
Montana State Library  
PO Box 201800  
Helena, MT 59620-1800  
[corban@mt.gov](mailto:corban@mt.gov)

Dear Ms. Orban,

Thank you for inviting OCLC to respond to the Montana State Library Resource Sharing Request for Information (RFI).

OCLC has served Montana libraries' cataloging and resource-sharing needs for nearly 20 years; discovery services for 17, and digital asset management services for the past 13. By continuing to subscribe to these OCLC services, your libraries can save time, resources, and money through applications designed to streamline these instrumental processes. Moreover, your institutions will not need to apply valuable resources to the cost of migrating to new services, which would require significant implementation and training costs.

Over 50 years ago, OCLC was created out of the need for libraries to reduce costs and improve efficiency through large-scale cooperation. Cooperative advances have expanded to help libraries better manage their services. OCLC solutions for groups and consortia increase opportunities for statewide systems like yours to support their members with research, training, and services that streamline the technical challenges of collaboration.

We look forward to continuing our valued partnership with Montana libraries. Our RFI response describes how we work to do that now and will continue to do so into the future.

Please direct any questions or additional requests to OCLC Strategic Account Director Maruta Skujina, at (o) 800-848-5878, x5194; (m) 206-218-5180; or [skujinam@oclc.org](mailto:skujinam@oclc.org).

Sincerely,

A handwritten signature in blue ink that reads "Bruce A. Crocco".

Bruce A. Crocco  
Vice President, Library Services for the Americas

# Table of Contents

<b>Executive Summary</b> .....	<b>1</b>
The Future of Your OCLC Services .....	1
OCLC Cataloging .....	1
Resource Sharing .....	1
Digital Asset Management.....	2
Reference and Discovery .....	2
Continued Benefits of Cooperative Membership.....	3
<b>Introductory Information</b> .....	<b>4</b>
<b>Part One: All Products</b> .....	<b>7</b>
Statistical Reporting Requirements .....	7
Support Requirements.....	12
Technology Requirements.....	13
Accessibility .....	13
Software.....	14
Staff Access.....	18
End-User Interface .....	18
Training Requirements .....	21
References and Qualifications.....	23
<b>Part Two: Content Management System and Digital Preservation</b> .....	<b>25</b>
Statistical Reporting Requirements .....	25
Marketing Requirements.....	26
Technology Requirements.....	26
Metadata.....	26
Software.....	27
End-User Interface .....	30
<b>Part Three: Bibliographic Cataloging</b> .....	<b>32</b>
Statistical Reporting Requirements .....	32
Technology Requirements.....	35
<b>Part Four: Interlibrary Loan</b> .....	<b>41</b>
Statistical Reporting Requirements .....	41
Technology Requirements.....	42
<b>Cost Estimate</b> .....	<b>43</b>
<b>Appendix A – Scope of Offer</b> .....	<b>44</b>
<b>Appendix B – Terms and Conditions</b> .....	<b>45</b>

## Executive Summary

Now more than ever, library users throughout Montana rely on statewide library resources for a wealth of information. To ensure the State can continue to support the more than 200 libraries and hundreds of thousands of patrons with shared cataloging, resource sharing, and digital collection management, you require cost-effective services that make the most of your investments and continue to deliver functionality that meets ever-changing library staff and patron needs.

To best meet the core needs of Montana, OCLC proposes continued use of our Cataloging, WorldShare ILL, CONTENTdm, and WorldCat Discovery services, all key to your libraries' success. Below we summarize the vision for each of these services in ensuring Montana library success into the future.

### The Future of Your OCLC Services

#### OCLC Cataloging

For nearly 50 years, OCLC has provided shared cataloging services that have improved data quality, cataloger efficiency, and library impact. In addition to its suite of cataloging clients, OCLC maintains the WorldCat database and a number of associated services to maximize its utility for libraries. The value of OCLC's cataloging subscription is driven by three major components. First, cooperative expertise drives quality. Working in the shared WorldCat environment means you are contributing to, and benefiting from, the scholarly and cultural record as represented in the world's library collections. Secondly, metadata automation increases efficiency. Our services that leverage the power of WorldCat mean less rekeying, less local aggregation, and less time keeping your cataloging current. And data registration expands impact: across shared print, interlibrary loan, and consortial and group catalogs, WorldCat holdings and knowledge base services can help you connect your users with the material they need.

OCLC's entire organization is working to support libraries as they move toward new models of collaboration, metadata creation, and enabling end-user discovery. The use of the Web as the main venue of search for information resources means that libraries will have to continue maximizing web discovery while also maintaining consistency and coherence with metadata created over the last several decades. OCLC has the expertise and services to help libraries in this time of transition; what will not change is our commitment—through our shared cataloging services—to continue providing you quality, efficiency, and impact.

#### Resource Sharing

No single library can hold every item its users may need. For more than 40 years, libraries have relied on OCLC's leadership and the world's largest resource sharing network—the OCLC resource sharing network—to lend and borrow resources locally, in groups, and around the world.

Building on those 40 years of resource sharing knowledge, OCLC is continuing to invest in services to better meet our members libraries' needs. There is considerable work to do, and we will leverage the great things libraries are already doing to deliver exceptional service.

Our vision is to enable libraries worldwide to provide on-demand services to their users. Three major areas of focus for us right now are:

- **User Experience** - End users' expectations are changing, driven by the experiences that they have outside the library which enables them to get anything, anywhere, on demand. For Resource Sharing, this means that we are focused on creating a more seamless user experience with a personal, single account for all library activities.
- **Smart Fulfillment** - We are focused on optimizing our Resource Sharing services to improve turnaround time and enable all forms of delivery; identifying materials that can be delivered quickly, with as much unmediated, automated access as possible.
- **Interoperability** - We are building flexibility into OCLC services so that they easily work with other services, transferring data, requests, and materials seamlessly.

The pay-off? The library on-demand—services that move users naturally from their point-of-need to the arrival of the perfect library resource. Today's library users have expectations based on their experiences outside the library. To attract, impress, and retain them, library services and collections need to appear in more places, be available on-demand, and deliver greater value. At OCLC, we are committed to working with libraries and other providers to deliver this user-first, library-on-demand strategy.

## Digital Asset Management

For nearly twenty years OCLC has supported libraries, museums, and archives creating greater visibility for their unique resources and CONTENTdm has been central to that mission. CONTENTdm is a complete solution to build, preserve and showcase unique collections through a customizable website. The power of CONTENTdm is its ability to let you start simply, show results quickly, and grow in engaging your community on a standards-based platform that grows with you and adapts to your needs. Whether you are a small historical society or a large, multi-type group of organizations working together, CONTENTdm connects your community to their history and supports your work to ensure that connection is preserved.

Increasingly, the need for community engagement is going well beyond simply providing fancy searching and display of all types of digital content, and OCLC is leading the way evolving CONTENTdm capabilities to meet those changing needs. We are investing in new forms of access and accessibility to meet the needs of connected users.

OCLC is a founding member of IIIF, the International Image Interoperability Framework, that supports access across all types of repositories and a community of developers so you can take advantage of the latest innovations in viewers and visualizations of your unique materials and even make innovations yourself.

And, OCLC is building on its leadership in development of linked data practice to create new tools to connect unique collections to the larger Web of knowledge. A shared, linked-data-based descriptive environment will increase efficiency of building new collections, sharing them across communities, and linking them to related resources no matter where they are. Together with current CONTENTdm users and the larger digital collections community we are building toward a future hyper-connected to its history.

## Reference and Discovery

OCLC is committed to making the riches of library resources available to information seekers through services that provide an intuitive and delightful experience that evolves as its users evolve. "Intuitive discovery" means both "going where the users are"—by incorporating links, results, search boxes, etc. into both library and non-library discovery services online. And going to "where the users will be," by anticipating needs and ensuring the library is well positioned to show users what's available.

We continue to implement ways to library users to find relevant results that match the context of their searches, delivered in the format that best fits their needs and accessed through any channel. This means providing people with easy-to-use, predictable ways to conduct and narrow their searches and embedding library resources and applications within the services and tools that information seekers use throughout the day.

**Meet the unique needs of your library** - Built on WorldCat, the world's largest database of library bibliographic data, FirstSearch and WorldCat Discovery enable people to find resources in a broad range of formats in their own library's collections and in the collections of thousands of libraries worldwide. Libraries that use these services also benefit from increased visibility on the web through OCLC's partnerships with popular non-library websites people usually visit first in their information searches.

OCLC offers the FirstSearch and WorldCat Discovery services libraries can choose the solution that meets their local needs.

- FirstSearch is the most powerful lens on WorldCat. It delivers precise, full-featured WorldCat searching valued by library staff and experienced searchers. Its precision searching and detailed search results enable library staff and expert searchers to quickly find information about known items, especially in specific languages and formats.

- WorldCat Discovery gives people access to as much of their library's content as possible in one place. Through a single search, users can search WorldCat and an index of nearly 3,000 e-content collections to find and get needed items in their own library's collections, in the collections of familiar groups, and in thousands of libraries worldwide.

We work to meet users' expectations for the types of experiences they encounter on applications such as Google, Amazon, Facebook. Through continuous user-driven updates, WorldCat Discovery keeps pace with the changing needs of libraries and their users through continuous user-driven updates that feature:

- Search innovation
- An intuitive user experience that reduces distractions and minimizes confusion
- Configuration options that empower librarians to tailor an experience that meets the needs of their users.

**Meet people on the open web** - Studies show that most people consult non-library sources first when looking for information. In addition, libraries reach only a small percentage of current and potential users through traditional channels and tactics. OCLC's web visibility program gives libraries visibility on WorldCat.org from popular websites such as Wikipedia, Goodreads, and Google Books, where people typically begin their searches. Only the collections of libraries that use FirstSearch and WorldCat Discovery whose collections are represented in the WorldCat database are visible on WorldCat.org.

By embedding the library in people's lives in this way, our success in connecting users to library collections is unparalleled in the information industry.

**Looking ahead** - Our aim with these solutions is to meet users wherever they may be while seeking information and guide them along their research journey with the library available wherever they need it—on demand.

## Continued Benefits of Cooperative Membership

OCLC Group Services is the customized way to leverage OCLC services to help Montana continue to maximize your investments to date and moving forward.

- **Control Costs** - Because Group Services are hosted by OCLC, you avoid the expenses of hardware, software, and local clients.
- **Leverage your Investments** - OCLC helps your libraries leverage the investments the State already has made in OCLC cataloging and resource sharing, as well as in your local automation systems.
- **Predictable Pricing** – The State can receive a single, annual subscription price for all desired OCLC services.
- **Unlimited Use** – The State's libraries will have unlimited use of OCLC cataloging and resource sharing services.
- **Maximum Exposure for Collections** - With OCLC's WorldCat-related programs, like WorldCat.org, people broadly searching the Web at sites such as Yahoo! Search and Google can find the items in your library libraries' collections.
- **Web-Accessible** - OCLC provides a group catalog that is accessible via the Web for your cataloging, reference, and resource sharing needs.
- **Expert Support** - OCLC staff members provide ongoing support, including implementation, maintenance, and promotional assistance.

## Introductory Information

***The State is asking all interested parties to submit a response containing the following information:***

✓ ***Your interest in providing the services/supplies.***

The libraries in the State of Montana collectively serve as an example of why OCLC exists. With its wide variety of geographically dispersed institutions of all sizes and types, staffed by librarians who understand the critical need for efficient cooperation, and who are motivated to continually improve services for their patrons, you essentially are a “mini OCLC cooperative.”

OCLC is deeply invested in continuing to help Montana libraries succeed! By making information more accessible and more useful, OCLC enables Montana libraries to achieve their mission of helping organizations, communities, and Montanans thrive. OCLC provides shared technology services, original research, and community programs that help Montana libraries meet the ever-evolving needs of their users.

For example, with over 2,500 institutions using CONTENTdm and more than 60 million digital objects in OCLC data centers, CONTENTdm is the leader in digital asset management. The Montana Memory Project has already chosen to upgrade to the new CONTENTdm. By making this upgrade, the Montana Memory Project is already on the most advanced, customizable digital collections website. This open framework provides institutions with the flexibility. CONTENTdm allows you the ability to adapt simple configuration changes to customize the look and feel, or more complex solutions like the CONTENTdm API or integration with IIF image and presentation API.

OCLC provides this open framework in a completely hosted solution so the library staff can spend time on more important matters like building, preserving, and showcasing your unique collections such as the Yellowstone photograph collection or local yearbooks. OCLC is interested in supporting the Montana Memory Project; allow us to host the servers, manage updates, operating systems, networks, storage, and disaster recovery. OCLC is committed the future of CONTENTdm and will continue to release enhancements that improve the end-user experience and elevate the Montana Memory Project collections for discoverability.

By continuing to use OCLC Cataloging, WorldShare ILL, and CONTENTdm services, Montana libraries can move seamlessly into the future without unnecessarily expending the time, money, and effort required to move to other systems. Furthermore, our collaborative relationship on projects such as the Montana Memory Project and Montana’s statewide resource sharing initiative illustrate the strong partnership that exists between our organizations—a partnership that enables the State to help OCLC improve our services and products for the benefit of Montanans and library users around the world.

*Your success is our reward.*

✓ ***Brief description of experience providing similar services/supplies.***

For 52 years, OCLC has been on the forefront of using technology to extend library cooperation. At OCLC’s inception, Ohio libraries proposed a major paradigm shift in library operations. The goal was to launch a computer platform and network to collaboratively build shared services and resources that lower costs while simultaneously increasing efficiency in library management. This first cooperative cataloging service would be an unparalleled effort guided by libraries to share data and workflows that they had never shared before.

Cooperative advances have expanded to help libraries better manage cataloging processes, resource sharing, and digital materials. OCLC solutions for groups and consortia increase opportunities for groups to support their members with research, training, and services that streamline the technical challenges of collaboration.

## Cataloging

OCLC began with a simple idea of helping libraries catalog more efficiently, by setting up systems for them to cooperate and share their efforts. The clearest validation of this vision is the continued growth of WorldCat, the world's most comprehensive database of information about library collections. WorldCat is the manifestation of the creativity and innovation of the staff of OCLC and thousands of librarians. Unique in scale and unparalleled in data quality, WorldCat makes library collections findable and accessible around the world.

OCLC's team of expert catalogers and data quality specialists continually enrich WorldCat records with new and corrected information to ensure that WorldCat contains the highest quality records possible. Library staff members also enhance records through their participation in shared cataloging, via the OCLC Cataloging and Metadata Subscription, making WorldCat records the industry standard for quality.

By enabling libraries to share high-quality library metadata and bibliographic records with each other, WorldCat has helped librarians dramatically reduce the time they spend on original cataloging.

The WorldCat shared cataloging service is among the largest and busiest in the world, currently providing access to more than 461 million items. Our Metadata Quality team members are dedicated to improving the WorldCat bibliographic catalog, knowledge base and registry. These cataloging experts collectively have more than 265 years of experience with OCLC. They create and enhance WorldCat records, both by hand and through automated systems.

Since 1971, the holdings in WorldCat have always been set through the bibliographic database, either online or via batchload/data sync. When changes are made to WorldCat records that a library has set their holdings on, they can receive MARC record updates automatically at no additional charge, thus improving the discoverability of their collections.

We also look to maximize relationships with other vendors, not limit them. For example, OCLC is content-neutral, as we are not a publisher, nor do we own content. As a result, we are one of the only organizations that can ensure search results are matched to search terms without preference.

We also are stewards of our members' contributions. As a nonprofit organization, our goal is not to make money for investors or owners. We instead work to make a difference for our members, as we work to make knowledge more accessible to all.

## WorldShare ILL

In 1979, OCLC introduced our first Interlibrary Loan (ILL) system, helping OCLC members share resources more efficiently. WorldShare Interlibrary Loan (ILL) automates your interlibrary borrowing and lending processes through the largest resource sharing network in the world to save your staff time and to ensure timely delivery of items to the people who need them. WorldShare ILL connects you to thousands of libraries whose entire collections can be viewed at a glance in WorldCat. Together, these libraries have created a shared, global library collection for all library users.

## CONTENTdm

Since 2002, OCLC has provided libraries, cultural heritage organizations, museums, and other non-profit organizations with an intuitive method for organizing and making more visible their digital collections through CONTENTdm.

## WorldCat Discovery

In 1991, OCLC introduced FirstSearch as the first end-user interface for library reference services. The development of WorldCat Discovery began in 2012 and the first libraries went live with it in April 2014.

✓ ***From your experience, has the State identified all the major components necessary to complete this project? If not, please provide information on other necessary components.***

As more libraries across the United States and around the world embark on projects to protect the scholarly record, the libraries of Montana may wish to lead a shared print project. Shared print projects address the growing need for libraries to ensure monographs of value are not discarded through weeding and deselection efforts. As library space changes to accommodate the needs of their patrons, libraries



may choose to weed materials and reduce their print collections. To protect unique and valuable resources it is important to put long term retention commitments on those materials. OCLC's GreenGlass application allows a group of libraries to understand their shared collection with respect to overlap, subject dispersion, and usage. GreenGlass allows you to experiment with various retention scenarios and estimate the impact on each participating library, and then commit to specific retention agreements with confidence.

- ✓ ***Please provide a list of potential problems/risks that the State may encounter during this project. Please provide any ideas or suggestions about how such problems/risks should be addressed in a solicitation.***

The State risks spending significant budget, time, and effort in moving to other services that ultimately cannot provide the value provided by OCLC.

Specific to CONTENTdm, if the State remains on the software, there are no potential problems or risks. If the State decides to move to an open source solution for their digital collections, there are many potential problems. With an open source solution, the library staff are responsible for upgrades, development, and costly servers. The goal of the Montana Memory Project is to "encourage cultural institutions to digitize historic and contemporary resources reflecting Montana's rich cultural heritage and make them freely available for lifelong learning."

The goal of open source is to provide source code and enhance web development and programming skills. The goals and priorities of OCLC and the Montana Memory Project are aligned. There is serious risk diverting to a software that requires intense web development skills and maintenance of servers, disaster recovery, managing operating systems, planning for upgrades. There is also a risk in unknown costs related to support, upgrades, customizations and outsourcing with open source software.

- ✓ ***Your best estimated time frame for completing the project.***

Library staff would spend no time at all to complete this project using OCLC services, as staff currently use Cataloging, WorldShare ILL, and CONTENTdm. Staff would not need to engage in any implementation process or training sessions to continue effectively utilizing these services.

# Part One: All Products

## Statistical Reporting Requirements

1. *Please describe how consortium administrators and institution-level library staff can access and generate on-demand statistical reports, including:*

- *Types of reports available (usage, item count, item format, web analytics, end-user accounts, etc)*

### Cataloging

#### Usage

- **Connexion** - The online Connexion usage statistics contain information about a library's cataloging statistics. Monthly reports are included for individual and group (consortium) accounts. Each month, OCLC adds another month to the statistics service. A minimum of 36 months of historical data is available.

OCLC Usage Statistics can be accessed from the Cataloging login screen or by going directly to the OCLC Usage Statistics page. Cataloging Usage reports give totals for searches and record actions performed in WorldCat or the Authority File. Each item in the Usage Report is hyperlinked to data for that item or category.

- **Record Manager** – The online Record Manager activity reports are viewable in the Analytics tab under the “Metadata” section. They contain information about the number of transactions for bibliographic records, authority records, and Local Holdings Records, as well as holdings set and/or deleted.

**Item-Related Reports** - WorldShare Collection Manager provide reports specifying changes to collections represented in the WorldCat knowledge base. These reports include:

- **Monthly Record Summary** – This report includes a summary of activity with record count per provider, per collection, for new, updates and deletes as well as the total number of records delivered. Record delivery is counted by combination of OCLC number, symbol, and date. This monthly report is available for 5 years.
- **Collection Manager Report** - This report is separated into new, updated, deleted, and holdings. Reports will be available for users to view online for 90 days. It includes reporting date, institution name, and institution symbol, with columns provided for: Provider, Collection, Title, ISBN/ISSN, OCLC Number, File Name, Action and Multiple Occurrence.

### WorldShare ILL

**Usage** - WorldShare Interlibrary Loan usage reports are available via the OCLC Usage Statistics interface, including:

- **ILL Fee Management (IFM) Reports** – These are monthly detailed reports that itemize library-to-library borrowing debits and library-to-library lending credits listed on a library's OCLC bill. There is a Summary view featuring totals by institution with the institution symbols linked. Clicking on the institution symbol shows the transaction details for that particular institution. There is also a Detail report showing all transaction detail for each institution.
- **Resource Sharing Borrower Reasons for No Report and Resource Sharing Lender Reasons for No Report** – These monthly reports for both Borrower and Lender activity help Lenders evaluate their fill rate and borrowers to refine their Custom Holdings Groups. The Reasons for No report shows details for requests that were refused, including ILL Record Number, Title, OCLC Number, the lender's name and OCLC symbol the reported reason for not filling the request, and the date the request was refused and imprint date of the material. Your

libraries can use this data to determine whether the age of the requested material falls into any pattern that may allow for further refinement of deflection rules. The Resource Sharing Lender Reasons for No Report shows similar information but does not include the lending institution's position in the lender string.

- **Strategic Union List Report** - The Strategic Union List Report gives libraries a jump start on entering union list holdings data by providing a list of serial titles requested from their library via interlibrary loan.
- **Borrower Resource Sharing Stats Report and Lender Resource Sharing Stats Report** - These reports provide a detailed look at all the requests that pass through a library's system in a given month and are organized by transaction. A record appears in this report for any month during which action was taken on the request, so a request may appear in multiple months. Because of the depth of this report, only one month of statistics can be displayed at a time.
- **Borrower Activity Overview Report and Lender Activity Overview Report** - These reports show the number of requests initiated by a library in a specified month, the number of requests cancelled in that month, and the number of requests reported as filled for that month. For the Borrower Activity Overview Report, unfilled requests may show up in future months as being filled, so they would appear in two months' Activity Overview reports.
- **Borrower Transaction-Level Detail Report and Lender Transaction-Level Detail Report** - These reports provide details of requests to or from specific institutions within a given month. The Requests to Lender/Borrower total represents each time a request was passed along to an institution. In the Borrower Transaction Level Detail Report, because one request can be handled multiple times, the number of requests is higher than the number represented in the Borrower Activity Overview Report.
- **eSerials Request by Journal Title Report** - This report displays the OCLC number, Journal Title, ISSN (where available), and the total number of requests for electronic journals received and filled for each electronic journal requested.
- **Serials Request Overview Report** - This report shows your library the total number of requests for serials received, and then breaks this total down into print and electronic journals. It also shows the number of requests deflected, the number of requests filled by journal type, and the percentage of requests received and filled for electronic journals.
- **Copyright Compliance Payment Report** - This report helps a library track Copyright Compliance payments by using the ILL data.
- **Article Exchange Reports (For libraries that use Article Exchange)** – These daily and monthly reports include data about the borrowing library, the file name, when it was uploaded, when it was first viewed and turnaround time.

## CONTENTdm

**Usage** – Built-in reports show all item views by collection for each month. Item-view reports are updated nightly, and aggregate report shows all item views across the entire repository for the current and previous months. CONTENTdm also supports direct integration with Google Analytics for finer-grained usage statistics. All Google Analytics features are supported, including Event Tracking to evaluate user behaviors, like Download, Print, and search requests. CONTENTdm's extensive customization features also provide a way to support other usage tracking services. For example, a current user has modified their CONTENTdm instance to send usage analytics to an instance of Matomo that they maintain on campus.

**Item-Related Reports** – For every collection, a detailed report of items by type/format (file extension) is available at any time. These reports are updated dynamically when viewed to provide a current snapshot of the contents of the collections. A top-level report shows total items across the entire repository, and disk usage in aggregate and per collection. In addition, a detailed report shows items by type/format (file extension) across the repository (broken down by collection).

## WorldCat Discovery

With a Universal Google Analytics account, you can access the following reports about Discovery:

- Number of page views and users
- New users
- Method of access
  - Browser (Google Chrome, Internet Explorer 10, etc.)
  - Network of service provider
  - Type of device (e.g., desktop, tablet, mobile)
  - Specific device (e.g., iPad, iPhone, Blackberry, etc.)
- Pages visited
- Page flow and landing pages
- Top events (e.g., “user clicked Access Online,” “user clicked Place Hold,” etc.)
- Search Term used

Google Analytics also includes data on simultaneous users of WorldCat Discovery.

- ***Parameters by which reports may be refined***

## WorldShare Record Manager and WorldShare ILL

Metadata reports via WorldShare, representing activity in Record Manager, can be refined by date and type of activity.

Available refinements for WorldShare ILL reports include branch, material format, time period, and publication date.

## CONTENTdm

All built-in CONTENTdm reports are either summaries for each collection or aggregated across all collections. For usage statistics, it is possible to create custom reports by a large number of parameters if you are using the integrated Google Analytics. The same would be true for other analytics systems, like Matomo.

- ***Time increments or date ranges available***

## WorldShare Record Manager and WorldShare ILL

- **Scope** - Staff can view statistics compiled monthly or daily, for all cataloging interfaces or for each interface alone. They can access statistics for their authorizations and for institution. They also may have access to reports for a group that includes their institution.
- **Period covered** - Monthly reports cover activity for the most recent month or for one selected month. Daily reports cover the latest single day with a report available, a single specified day, or a specified number of days beginning with a specified date.
- **History** - By default, monthly reports contain totals for 6 months including the current month or the month requested in the Period box. To view totals for more than 6 months, type the number of months in the Months box. Statistics for up to 18 months are available upon request. Daily reports show totals for the requested day(s) only. Staff can view reports only for days within the current month. To specify the number of days to view, type the desired number in the Days box. WorldShare ILL retains statistics for a rolling five-year period.

## CONTENTdm

Reports are summed by month and past months are accessible from a drop-down list. For the current month, all reports are updated nightly.

- **Export options**

### WorldShare Record Manager and WorldShare ILL

Reports can be downloaded and disseminated as you see fit as PDF or Excel files.

## CONTENTdm

Usage and storage reports can be exported as tab-delimited text files.

### 2. *How soon are statistical reports available?*

#### WorldShare Record Manager and WorldShare ILL

Monthly reports are available within five days of the end of a month. A report for each day is available the following day.

## CONTENTdm

Usage and storage reports are updated each night. Monthly aggregate summaries are available the first day of each month. Item type and format reports are generated dynamically whenever they are viewed so are always current.

### 3. *How long are statistical reports accessible?*

#### WorldShare Record Manager and WorldShare ILL

Daily reports are available for the current month only. Once a monthly report is available for a preceding month, daily reports for that month are deleted.

## CONTENTdm

Usage reports are retained indefinitely for each collection. Repository-level reports are retained for the current month and previous month, but repository-level reports could be regenerated from the individual monthly reports generated for each collection.

### 4. *Are statistical reports accessible at the institution level as well as at the consortium level?*

#### WorldShare Record Manager and WorldShare ILL

Yes. Group Reports provide activity performed by all institutions that are group members.

## CONTENTdm

Reports have no institutional awareness other than the owning/subscribing institution. In most consortium situations, collections are associated with specific member institutions, so it is possible to generate institution data by aggregating the corresponding collection-level reports.

### 5. *Are statistical reports that identify institution-level data in aggregate available to consortium administrators?*

#### WorldShare Record Manager and WorldShare ILL

Yes. Reports are available to all authorizations for all institutions that share a group catalog.

## CONTENTdm

No. Consortium member institutions are not accounted for with a single subscription to CONTENTdm. Collection-level reports will often correspond perfectly to institution identity, but there is no built-in aggregation of these reports by institution.

**6. Does the statistics portal offer a dashboard for at-a-glance usage statistics?**

**WorldShare Record Manager and WorldShare ILL**

OCLC Usage Statistics can be accessed from the Cataloging and WorldShare ILL login screens or by going directly to the OCLC Usage Statistics page. Staff log on to the usage statistics site using their Cataloging authorization and administrative or statistics password. After logging in, they can select any of the statistics reports available to them.

**CONTENTdm**

Yes. Usage statistics reports can be viewed at any time in the CONTENTdm Administration staff portal. Top-level aggregates are available for the current and previous months to provide an at-a-glance summary, and individual collection reports are updated nightly and directly viewable in the CONTENTdm Administration interface at any time.

**7. Does the statistics portal offer data visualization tools?**

**WorldShare Record Manager and WorldShare ILL**

Neither Cataloging or Resource Sharing Usage Statistics include data visualization tools.

**CONTENTdm**

No tools to visualize reports are offered.

**8. Can the statistical reports discern or remove bot searches from user counts?**

**WorldShare Record Manager and WorldShare ILL**

This does not apply to OCLC Cataloging nor Resource Sharing services based on our authentication and authorization structure.

**CONTENTdm**

The built-in usage reports do not discern between bot searches and user searches. To filter usage data by user type, we encourage the use of Google Analytics or another usage analytics package, like Matomo.

**9. In what file formats are statistical reports available for export (CSV, etc)?**

**WorldShare Record Manager and WorldShare ILL**

Reports can be downloaded and disseminated as you see fit as PDF or Excel files.

**CONTENTdm**

Reports can be downloaded as tab-delimited text files.

**10. Are statistical reports available for export in machine-readable format (JSON, XML, etc)?**

**WorldShare Record Manager and WorldShare ILL**

This is not supported in Record Manager. WorldShare ILL statistical reports can be exported in a .csv file format.

**CONTENTdm**

No; this is not supported.

## **11. Are statistical reports able to detail usage by interface (web, OAI, API, etc)?**

### **WorldShare Record Manager and WorldShare ILL**

Metadata reports show Record Manager web activity as well as cataloging transactions performed via the WorldCat Metadata API.

WorldShare ILL reports detail how requests were submitted into the WorldShare ILL system (e.g., FirstSearch, WorldCat Discovery, etc.).

### **CONTENTdm**

The built-in usage reports track only end-user pageviews, not API calls or harvesting processes, like OAI-PMH.

## **12. Are statistical reports and web interfaces able to integrate with Google Analytics tools, including Tag Manager?**

### **WorldShare Record Manager and WorldShare ILL**

OCLC's web-based Cataloging tools, including WorldShare Analytics and WorldShare ILL, do not have specific tie-ins with Google Analytics.

### **CONTENTdm**

The end-user web interface supports easy, optional integration with Google Analytics. This support includes support for Events to track user behaviors, like Download, Print, and search terms. This support for Google Analytics is very easy to enable by adding your tracking ID code to CONTENTdm's Website Configuration Tool. The Website Config Tool does not currently offer such easy **integration** with Google Tag Manager, but CONTENTdm's support for JavaScript integration provides a path for support of Tag Manager through customization. CONTENTdm product management is currently evaluating the effort to build Tag Manager support into the core service.

## **Support Requirements**

### **1. Please describe how support requests from consortium administrators and member library staff are acknowledged and resolved.**

In response to support requests, Customer Support staff open a ticket in our Siebel RMS tracking system. The library staff can submit and check the status of service request tickets online through the OCLC Online Service Center.

Customer Support personnel provide advice on use of the product, information, and advice on forthcoming changes and/or new releases, rectification of faults, and implementation of bug fixes. OCLC endeavors to have first-line Customer Support personnel address all support requests.

If the first-line Customer Support staff cannot answer a question, they may escalate it to either a subject-matter expert within the Customer Support department, to OCLC's Operations division, or to the appropriate product manager.

### **2. Please provide the average turnaround time for acknowledging and resolving support requests.**

For Customer Support requests regarding functionality, we have an average call answer rate of 85% or greater within 20 seconds of call receipt. Staff wishing to leave a voice mail message will have the message returned on the same business day it was received 90+% of the time. On average, OCLC Help Desk staff responds to e-mail and Web-based support requests within 24 hours of receipt.

If members call outside of Customer Support hours, their calls will be routed to our Operations Center. (There also is no additional cost for this.) Emails sent outside of these hours are distributed the next business day.

For 24x7 emergency outage support at no additional cost, library staff can contact OCLC Operations. Our computer room is staffed 24x7 by OCLC employees who monitor OCLC systems and ensure reliability for OCLC users. In the event of a system outage or problem, the OCLC computer room staff members have immediate access to product experts who will be paged to provide any necessary support.

Outages are addressed immediately by our Operations team. If a situation presented to Operations is not a system outage, the issue will be handled the next business day by Customer Support.

**3. Please describe, as applicable, how and when direct support to member library staff is available:**

OCLC Customer Support is staffed from 6 a.m. to 6 p.m. Mountain Time, Monday through Friday, with means of contact noted below.

- **Via email**

Staff can email OCLC Customer Support at [support@oclc.org](mailto:support@oclc.org).

- **Via help desk system**

The library staff can submit and check the status of service request tickets online through the OCLC Online Service Center.

- **Via telephone**

Staff can phone OCLC Customer Support at 800-848-5800.

**4. Please explain any limits to or additional costs associated with technical support to consortium administrator or to member libraries.**

Any staff member may contact OCLC Customer Support. There is no additional cost for the support described above.

## Technology Requirements

### Accessibility

**1. Are all interfaces for both end-users and staff accessible, compliant with current Americans with Disabilities Act (ADA) standards?**

OCLC has a global user base and develops products in adherence with the guidelines in Section 508c of the Rehabilitation Act of 1978 (United States).

**2. Are all interfaces for both end-users and staff accessible, compliant with WCAG 2.0 Level AA guidelines?**

OCLC has embarked on a program to comply with the Web Content Accessibility Guidelines (WCAG). This multi-standard strategy ensures the highest level of overall accessibility to users of the OCLC's services around the world. OCLC strives to achieve WCAG 2.0 AA compliance in our applications, which includes the Section 508c guidelines.

**3. Are instructions available for interface keyboard accessibility? Please describe.**

We do not provide instructions for keyboard use.

**4. Please describe screen reader capability and provide accuracy rates for both end-user and administrative interfaces.**

We use WCAG/508 and EN 301 549 guidelines to inform us, but do not track accuracy rates.



**5. Does the product provide capability to identify images using alt text?**

Cataloging and WorldShare ILL services do not support alternative text for images. WorldCat Discovery supports alternative text for images. CONTENTdm uses a digital item's title metadata to provide alt text for the associated image.

**6. Does the product provide capability for metadata and transcripts to be accurately and logically read by a screen reader?**

Of our proposed services, only CONTENTdm includes audio/visual information. CONTENTdm does support audio and video descriptions by using the Transcript area to transcribe the information.

**7. Please describe how information presented visually is equally accessible to a screen reader.**

We use WCAG/508 and EN 301 549 guidelines to inform us.

**8. Please describe how support for HTML-ARIA tags are implemented to meet industry standards.**

We use WCAG/508 and EN 301 549 guidelines to inform us.

**9. Can be transcripts be formatted text to improve readability?**

A full range of text formatting options is not supported, but CONTENTdm does provide methods to include line breaks in all metadata fields and transcripts.

## Software

**1. Please describe hosted environment.**

OCLC's cloud applications run in a multi-tenant, distributed environment, residing almost completely on VMs (virtual machines). The exceptions are the database hosts, which are on physical servers. The VMs reside on physical hosts (or clusters) that are shared with many other production hosts. They are segregated even/odd, so even a total failure of one physical cluster would affect a maximum of only half of the virtual hosts. The VM manager automatically migrates any failed VM hosts to other physical boxes, and the applications would once more be available. The library requires only a web browser to access the software.

**2. Please describe backup redundancies using industry standard procedures.**

We backup our data daily, both locally for data recovery and remotely for long-term recovery. We maintain several tiers of data backups to ensure the integrity of the data it holds and the services it provides. First, we run clustered servers that can survive a failure of an individual physical server that comprise the cluster. Second, we replicate database updates in real time to a second database instance housed at a remote data center that we keep synchronized to our primary production database. We also replicate critical systems at the remote data center. Third, we perform full database backups nightly; with backups of our database transaction logs made hourly; and server backups at least daily. Fourth, we transfer a set of backup data to an off-site storage facility on a daily basis to ensure that remote data is no more than 2 days old. The backups are cloned over secure links to a secure disk archive. All of these backup mechanisms work while the services are online. We also continuously monitor the status of our backup mechanisms and periodically test them to ensure we can rely on them when we must recover data.

**3. Is your product HTML 5 compliant?**

Yes.

#### **4. Are SSL certificates supplied and maintained?**

Yes. Note that for CONTENTdm, if you choose to use a non-oclc.org domain name, you will need to provide OCLC with the SSL certificates for installation in our network configuration.

#### **5. Is content versioning available?**

##### **Cataloging**

For Record Manager, there is no specific “versioning” outside of the functionality provided through the online save file for bibliographic and authority records.

##### **WorldShare ILL**

There is no versioning of WorldShare ILL. It is web-based, and users always get the latest release.

##### **CONTENTdm**

There is no specific versioning support in CONTENTdm.

#### **6. What is your up-time guarantee for the service?**

OCLC’s documented Service Level Agreement states that we will use commercially reasonable efforts to ensure OCLC’s Systems are available 99.5% of the time (the “Up-time Commitment”). The up-time will be measured monthly, calculated to include twenty-four (24) hours per day over each month, but excluding from the numerator and denominator in the calculation the duration in time of any temporary shutdowns due to scheduled maintenance, telecommunications, or power disruptions caused by third parties, and any other causes beyond OCLC’s reasonable control.

#### **7. What is your average service recovery time?**

Over the past 12 months, the average recovery time was 42 minutes.

#### **8. Please describe process for and frequency of automatic data backups and recovery.**

We backup our data daily, both locally for data recovery and remotely for long-term recovery. We maintain several tiers of data backups to ensure the integrity of the data it holds and the services it provides. First, we run clustered servers that can survive a failure of an individual physical server that comprise the cluster. Second, we replicate database updates in real time to a second database instance housed at a remote data center that we keep synchronized to our primary production database. We also replicate critical systems at the remote data center. Third, we perform full database backups nightly; with backups of our database transaction logs made hourly; and server backups at least daily. Fourth, we transfer a set of backup data to an off-site storage facility on a daily basis to ensure that remote data is no more than 2 days old. The backups are cloned over secure links to a secure disk archive. All of these backup mechanisms work while the services are online. We also continuously monitor the status of our backup mechanisms and periodically test them to ensure we can rely on them when we must recover data.

#### **9. Please describe the process of running fixity checks and resolving identified issues.**

CONTENTdm’s separate preservation archive service complements its collection-building workflows. As you provide your files, the preservation archive develops a health record for each package so you can confirm that we received all the files you sent and that they’re all free of viruses and in the format that matches their file extensions. The system also creates a unique fixity key so we can alert you if our regular, automatic inspections discover any alterations. Each month, you receive a report on the health of your collection.

#### **10. What authentication methods are available to staff and to end-users?**

For Cataloging WorldShare ILL, and WorldCat Discovery, library staff and patron access can be defined by most institutions using federated models, such as Shibboleth, or the institution’s LDAP. For

authenticated access, OCLC's cloud offerings employs Security Assertion Markup Language (SAML) 3.0 XML-based standard for exchanging authentication and authorization data between security domains via the Identity Management (IDM) Module.

For CONTENTdm, we only support OCLC's eLDAP accounts (WorldCat.org accounts) for all staff or end-user access.

**11. Please describe how apps and web presence are kept current.**

As the proposed services are cloud-based, OCLC performs general system maintenance and enhancements, which include new features, improvements to existing features, and bug fixes. Cataloging and WorldShare ILL maintenance is generally performed once a month and CONTENTdm's is roughly quarterly to introduce new functionality or to fix problems that have been discovered.

OCLC staff perform all software maintenance and upgrades on servers at our data center on Sundays, 1:00 a.m. - 5:00 a.m. Central Time. Between scheduled installs, issues are fixed with patch installs.

**12. Is the product interoperable with Z39.50?**

**WorldShare Record Manager**

Yes. The OCLC Z39.50 Cataloging service allows libraries to access WorldCat to search and retrieve MARC records for cataloging, edit records in their local systems, and set holding information in WorldCat.

**WorldShare ILL**

WorldShare ILL does not use Z39.50.

**CONTENTdm**

CONTENTdm does not explicitly support for Z39.50. While the underlying data format in CONTENTdm does not use MARC, there are tools available to crosswalk CONTENTdm data to MARC and create WorldCat records.

**13. Is the product interoperable with SirsiDynix Symphony?**

Yes.

**WorldShare Record Manager and WorldShare ILL**

The OCLC Cataloging subscription includes flexible and easy-to-use tools that allow staff to import, and export data by file or in batches, as well as editing tools to make local additions and edits.

And OCLC supports ISO ILL Direct Request (ISO IDR; i.e., generate borrowing requests from a local ILS), including SirsiDynix Symphony.

**CONTENTdm**

CONTENTdm supports several export formats (tab-delimited, standard XML, custom XML, OAI-PMH, IIF) and has a full data access API Web service for fully custom exports.

**14. Is the product interoperable with Ex Libris Alma?**

Yes.

**WorldShare Record Manager and WorldShare ILL**

The OCLC Cataloging subscription includes flexible and easy-to-use tools that allow staff to import, and export data by file or in batches, as well as editing tools to make local additions and edits.

And OCLC supports ISO ILL Direct Request (ISO IDR; i.e., generate borrowing requests from a local ILS), including Alma.

## CONTENTdm

CONTENTdm supports several export formats (tab-delimited, standard XML, custom XML, OAI-PMH, IIIF) and has a full data access API Web service for fully custom exports.

### **15. Please describe how updates and/or development roadmaps are shared with customers.**

OCLC maintains a detailed development roadmap which is shared with member libraries for input on the prioritization of functions. Based on release cycles of new functions, libraries are always aware of what is planned for the next two releases. Beyond this, they have access to planned development not yet scheduled for a specific release.

Staff can always find release notes on our online Customer Support site and Community Center.

### **16. Please provide recommended bandwidth and internet browser requirements for a web-based tool.**

Because our services are fully hosted, it is necessary only that a browser connect to the hosted server over the libraries' connection to the Internet. As with all services that depend on Internet connectivity, more bandwidth is always better. OCLC recommends a broadband connection of 1 Mbit/s download and 100 Kbit/s upload bandwidth. Recommended browsers include Google Chrome, Mozilla Firefox, Internet Explorer, and Safari.

### **17. Please outline what industry standard organizations your organization actively participates in and/or contributes to.**

OCLC is a member of NISO and is represented on the NISO board. Historically it has had active involvement in the creation of several NISO standards including Z39.50, SRU/SRW, NCIP, etc. and is the NISO Maintenance Agency for the OpenURL standard. OCLC has always supported the deployment of appropriate standards by being an early adopter of new standards. Support is also given by being the maintenance agency for various standards such as OpenURL and NCIP.

And as libraries move to BIBFRAME, OCLC remains committed to working with the Library of Congress in support of changes to core library standards. Additionally, OCLC recognizes that the landscape will become more complex, with a mix of MARC, BIBFRAME, and other standards. OCLC will continue to support and facilitate the model of shared cataloging in this new environment, to create efficiencies and improve library user experiences.

OCLC is a founding member of the IIIF Consortium (International Image Interoperability Framework) and staff are active participants in the IIIF working groups and official standards definition committee (TRC). OCLC also provides real-world support for the IIIF standard by integrating support for the IIIF APIs into CONTENTdm.

## Staff Access

**1. Can multiple simultaneous users upload and edit content? Please describe any limits on simultaneous access and/or number of available staff and administrator accounts.**

Yes. There are no limits to the number of simultaneous users who can access our cloud-based services. services are highly scalable, with the ability to support any number of simultaneous users without negatively affecting system performance. OCLC continuously plans for capacity needs of the services, allowing them to scale to meet the needs of growing user demands.

**2. Please describe how different levels of administrator access may be assigned within consortium.**

### WorldShare Record Manager and WorldShare ILL

Using the Admin module, authorized staff members assign staff to pre-defined roles that grant them access to those parts of the system they need for their work and their permissions for what they may do in those parts of the system. Staff with admin privileges may assign these roles to any other staff member by simply accessing their record and clicking on the roles that staff member should be authorized for. The services offer roles-based permission, and staff may have multiple roles assigned. The roles have granularity; for example, a student assistant or staff will have fewer permissions than an administrative level of access.

### CONTENTdm

User rights to specific staff functions can be assigned at a granular level for several different operations, as well as collection-by-collection. Access to content through the end user interface can be assigned to IP addresses/ranges as well as individual usernames.

## End-User Interface

**1. Please describe ability to build and customize web pages at the consortium level as well as at the collection and/or institution level.**

### WorldCat Discovery

Library staff can use the Service Configuration module to customize the WorldCat Discovery interface. You can apply a logo and color options for backgrounds and links, change the wording on the requesting options, and integrate links to external services.

You can customize search results by defining the individual library or entire institution to determine the priority position in search results. This also lets you choose a specific branch to search alone. You may also configure table column headings that display location and availability information retrieved from the ILS (e.g., location, status, and call number). The Service Configuration module also lets you configure available databases from OCLC's central index, create database groups and define default databases to provide initial search results.

### CONTENTdm

CONTENTdm supports extensive web page customization through a managed staff UI that provides graphical editing tools. For advanced users, CONTENTdm supports direct upload of fully custom HTML and CSS, as well as JavaScript for modifying website behaviors and formatting or for adding new features and functions. OCLC provides a growing Cookbook of example advanced customizations that are ready-to-use and require little web development experience. Customizations in CONTENTdm can be applied at the global/sitewide level and/or at the individual collection level.

## **2. Do the website and apps feature responsive design? Please describe.**

### **WorldCat Discovery**

Yes, WorldCat Discovery is based on responsive design, so it automatically adjusts the interface from desktop, to tablet, to smart phone screen size. Data enhancements, such as clustering similar editions and formats of a single work together, provide comprehensive views of what is available. User-friendly features such as cover art, the capability to mark and share items through temporary lists and email and the ability to export to reference citation tools keep results sets manageable and appealing. Because WorldCat Discovery uses your device's web browser, it is device and operating system independent.

### **CONTENTdm**

Yes, the CONTENTdm end user interface is fully responsive and is tested on mobile phones, tablets, and desktop browsers. Any improvements or new features to CONTENTdm are always designed to be responsive to any screen size and support touchscreens, as well as keyboard and mouse interaction.

## **3. Is the interface fully searchable?**

### **WorldCat Discovery**

Yes, WorldCat Discovery is built on the WorldCat database, allowing users to search beyond just their own holdings in a single search, including e-books, full-text articles, and streaming videos. It includes both basic and advanced searching capabilities.

**Basic Search** - A user can enter as much known information as possible in the search box, which utilizes a keyword or keyword plus full-text search methodology with AND implied. The more information entered into the box helps make the search more precise. The user can also employ facets to further narrow the search once presented with a result set. The indexing and relevancy are optimized for one- or two-word titles to bring those to the top of the results.

Additionally, you can choose a default relevancy ranking based on pure relevance or elevate the items you own. In many cases, pure relevance is the best option for finding known items, because it may not be held by your library but could be available through the consortium or libraries worldwide

**Advanced Search** - The Advanced Search screen allows users to search specific field indexes such as author, title, subject, journal titles, full-text, and full text-plus-keyword. Index availability varies according to the databases selected for searching. Users can also pre-filter search results by format, date of publication and location. Users may select a group of databases or create their own custom group of databases to be searched.

From the results set, a user can refine a search with the aid of facets. These vary according to the database being searched but may include: sort order, location, full text/peer reviewed, format, database, author, publication year, language, and topic. Facets are applied across all data sources as applicable.

Expert searchers, such as library staff and researchers, can also perform command line searching from the basic search box.

### **CONTENTdm**

Yes, in CONTENTdm, all record metadata and transcript text is searchable through the simple and advanced search dialogs.

## **4. Can the product link to items in member institutions' online public access catalogs (OPACs)?**

### **WorldCat Discovery**

There is no need to maintain a separate catalog with WorldCat Discovery. The interface functions as both a traditional OPAC and an advanced discovery interface. The library can create a search box limited by format and holdings to replicate a traditional catalog view; real-time availability and appropriate fulfillment options are populated automatically.

### **CONTENTdm**

For records added to CONTENTdm, it is possible to harvest them to WorldCat and export the WorldCat links for use in an OPAC or other discovery system. If the goal is for users to discover the items in CONTENTdm, a corresponding record that points to the item in the OPAC would need to be created. This could be a “URL item” which links directly and provides associated metadata for search and discovery support.

**5. *Can institution-level admins update OPAC links for their institution’s holdings?***

**WorldCat Discovery**

Yes. Staff can add new records to the database and change existing records, which are immediately indexed and available for searching within WorldCat Discovery. WorldCat Discovery displays library holdings information and, for items held by the library, real-time availability information on both the brief results and the detailed information page. This data also determines the appropriate request and delivery options to present to the user.

**CONTENTdm**

For CONTENTdm, OPAC links would be treated like any other URL. URL items in CONTENTdm can be updated by replacement. Another approach would be to include the OPAC link within the metadata of the CONTENTdm descriptive record, which can also be updated like any other metadata edit.

**6. *Please describe any additional fees for web or app customization work.***

**WorldCat Discovery**

OCLC does not provide web customization services for WorldCat Discovery. The interface is configurable as described in item 1 above.

**CONTENTdm**

OCLC does not provide web customization services for CONTENTdm. The interface is configurable as described in item 1 above.

## Training Requirements

**1. Please describe availability of regular live and recorded virtual training that is accessible to member libraries at no cost.**

For both the initial and ongoing training, staff will have unlimited, no-cost access to live and recorded online training on the use of the cataloging tools that come with all OCLC services subscriptions. The recordings of these live sessions also are made available for unlimited viewing at any time.

**2. Please describe availability of in-person training opportunities for member library staff within Montana.**

OCLC training staff is available to schedule any on-site training staff may need to ensure they maximize their use of OCLC services. We will work with you to provide the appropriate sessions tailored to your needs.

**3. Please list training topics available for this product for staff and, if applicable, end-users.**

### Cataloging

Live and recorded classes cover a variety of topics for the various Cataloging tools:

- CatExpress
  - Copy Cataloging with CatExpress
- Connexion Browser
  - WorldCat, MARC, and Browser Basics
  - Basic Searching in Connexion Browser
  - Basic Editing and Record Processing
  - Connexion Browser: Editing Master Records
  - Advanced Bibliographic Searching
  - Original Cataloging
- Connexion Client
  - WorldCat, MARC, and client basics
  - Basic bibliographic searching
  - Basic editing and record processing
  - Save files, file management, and batch processing
  - Automation and customization
  - Editing master records
  - Advanced bibliographic searching
  - Original cataloging
  - Authority Control



- WorldShare Collection Manager
  - What it is and why it matters
  - Fundamentals of WorldCat knowledge base collections
  - Advanced editing of WorldCat knowledge base collections
  - WorldCat data sync collections: Create collections, upload files, and review output
  - WorldCat data sync: Processing paths for optimal outcomes
- WorldShare Record Manager
  - Editing bibliographic data in WorldShare Record Manager
  - Advanced editing of bibliographic data in WorldShare Record Manager
  - Policies for adding original records to WorldCat
  - Policies for replacing WorldCat records

### WorldShare ILL

- Introduction to WorldShare Interlibrary Loan
- WorldShare Interlibrary Loan - Borrowing
- WorldShare Interlibrary Loan – Lending

### CONTENTdm

Online CONTENTdm tutorials include topics such as:

- Getting Started
- Metadata
- Working with Content Types
- Importing Items and Creating Objects
- Customizing
- System Administration and User Management

Staff can utilize various CONTENTdm learning paths:

- Work with Project Client
- Work with Compound Objects
- Search, view and use collections
- Customizations to CONTENTdm website
- And many others

Available topics for online training with a dedicated trainer include:

- CONTENTdm overview
- Configuring collections
- Project Client overview
- Add, configure projects
- Add items and metadata
- Reconfigure collections, create new projects
- Compound Objects
- Maintain collections
- Website configuration tool

**4. *Please describe documentation and tutorials available to member library staff and administrators.***

For all services, you will continue to have access to the OCLC online Community Center and Support Web site, where you can find self-support materials like documentation, FAQs, discussion forums, guides, and self-paced tutorials.

## References and Qualifications

***Vendors must demonstrate that they are production ready by providing a description of their experience in working with state libraries and consortia.***

With all three proposed services currently being used by Montana libraries, staff and end users can seamlessly continue to leverage Cataloging, WorldShare ILL, and CONTENTdm with no need to prepare for production.

OCLC has provided the Montana State Library with Cataloging and WorldShare ILL for nearly 20 years and with CONTENTdm for 13.

Overall, we have provided cataloging and resource sharing services to 48 state libraries, of which 19 also have CONTENTdm. Similarly, 26 consortia have both cataloging and resource sharing service; of those, 5 also have CONTENTdm.

**Vendors must provide three references to current contract holders of similar size and scope.**

#### **Statewide Cataloging and WorldShare ILL**

- **Illinois State Library**

Greg McCormick, Director  
217-782-3504  
[GMcCormick@ILSOS.GOV](mailto:GMcCormick@ILSOS.GOV)

- **Texas State Library & Archives (TSLAC)**

Mark Smith, Director and Librarian  
512-463-5460  
[director.librarian@tsl.texas.gov](mailto:director.librarian@tsl.texas.gov)

- **Connecticut State Library**

Mr. Stephen Slovasky, Head, Bibliographic Information Services  
Connecticut State Library  
860-757-6546  
[stephen.slovasky@ct.gov](mailto:stephen.slovasky@ct.gov)

#### **CONTENTdm**

- **Illinois State Library**

Greg McCormick, Director  
217-782-3504  
[gmccormick@ilsos.gov](mailto:gmccormick@ilsos.gov)

- **Connecticut State Library**

Mr. Stephen Slovasky, Head, Bibliographic Information Services  
Connecticut State Library  
860-757-6546  
[stephen.slovasky@ct.gov](mailto:stephen.slovasky@ct.gov)

- **Central New York Library Resources Council**

Mr. Ryan Perry, Digital Collections Librarian and NY Heritage Project Coordinator  
Central New York Library Resources Council  
315-446-5446  
[rperry@clrc.org](mailto:rperry@clrc.org)

## Part Two: Content Management System and Digital Preservation

### Statistical Reporting Requirements

**1. Are statistical reports available for Optical Character Recognition (OCR) data, including number of pages completed per collection and across all collections?**

Total pages processed with OCR are tracked per month per user, but those totals are not saved to aggregated reports and are not separated per collection.

**2. Are statistical reports able to detail number of multi-part objects?**

Yes, each collection provides an Item Types report that shows how many “compound objects” exist in the collection, along with the number of component digital files by format (image, PDF, audio, video, etc.).

**3. Are statistical reports able to detail number of items saved by contributor?**

The ingest application has options to include automatically the username of the person contributing/uploading records. It is possible to search collections by username and/or date created or modified to generate record tallies by contributor.

**4. Are statistical reports able to detail number of items per collection as well as in total?**

Yes. Reports are available for each collection to provide item totals (also broken down by format) as well as item totals across the repository.

**5. Are statistical reports able to detail number of pages per collection as well as in total?**

“Pages” and “items” are not counted as different things in the reports mentioned above. The built-in reports are based on the numbers of digital objects/files.

**6. Are statistical reports able to detail number of page views per item as well as by collection?**

Yes, built-in reports track views by item within each collection.

**7. Are statistical reports for usage data available by institution as well as by collection?**

There is no distinct concept of “institution” built into CONTENTdm. If collections have been assigned to particular institutions, the collection-level reports could be exported and aggregated to provide institution-level statistical data.

## Marketing Requirements

**1. Please describe what kind of marketing content (electronic, print) is available to participating members as part of our contract cost, including:**

- **Format**

PDFs regarding CONTENTdm, preservation archive, IIF are available to distribute to participating members at no additional cost. OCLC can attend state and local conferences to promote the use of the program. We can host online or in person meetings to further promote CONTENTdm and The Montana Memory Project.

- **Quantity (print)**

An unlimited quantity is available for electronic distribution.

- **How frequently materials are produced or updated**

We review our marketing materials on a regular basis and make updates to materials to align with product enhancements.

- **Ability to integrate or export content with social media tools**

OCLC has a strong social media presence and we frequently incorporate special collections into these outlets. Likewise, CONTENTdm provides a feature for your end users to share your digital content to their social media platforms (Twitter, Facebook, Pinterest, etc.).

- **Ability to customize marketing materials with program branding and URL**

Yes, we have the ability to customize marketing materials with program branding.

## Technology Requirements

### Metadata

**1. Is metadata customization possible at the item level? Please describe.**

Yes. Metadata schema in CONTENTdm collections are fully customizable and the contents of metadata fields can include any UTF-8 text up to 128,000 bytes per field. Each field can have a controlled vocabulary assigned to it to enforce metadata consistency. Fields can be assigned either a TEXT data type or a DATE data type. TEXT fields have no constraints on what they can contain. DATE fields can only contain ISO 8601 date metadata.

**2. Which metadata standards and frameworks are supported (Qualified Dublin Core, etc)?**

Dublin Core and Qualified Dublin Core are built into CONTENTdm, but the underlying metadata schema is fully customizable. Dublin Core is used to map similar fields across collections to facilitate cross-repository searching and faceting. Dublin Core mapping is also used when exporting data via OAI-PMH.

**3. Which controlled vocabularies are supported (Library of Congress, Dublin Core Metadata Initiative, etc)?**

Controlled vocabularies can always be user-defined, either prior to loading data or as part of the data loading process by creating terms lists from existing records. CONTENTdm includes built-in separate for several vocabularies for users who do not want to create custom vocabularies: Art & Architecture Thesaurus (AAT), Canadian Subject Headings (CSH), Dublin Core Metadata Initiative Type, Getty Thesaurus of Geographic Names, Māori Subject Headings/Ngā Ūpoko Tukutuku, Medical Subject Headings (MeSH) 2013, Newspaper Genre List, Thesaurus for Graphic Materials: TGM I (subject terms), and Union List of Artist Names (ULAN).

**4. Can consortium administrators create customized controlled vocabularies? If so, at what levels?**

Controlled vocabularies can be defined prior to loading data or as part of the data loading process (build vocabularies from existing records). Controlled vocabulary compliance is built into the record approval process and non-compliant records can either be modified or the new terms can be added to the vocabulary as part of the approval process.

**5. Is collection-level creation and maintenance of controlled vocabularies for specific metadata fields available?**

Yes. Controlled vocabularies are completely customizable for every field in a collection. Controlled vocabularies can also be shared across fields and collections to maintain metadata consistency across the entire repository or only within specific sub-groups of collections or fields.

**6. Can contributors batch upload metadata revisions via a spreadsheet and use Open Refine or similar tool to find discrepancies?**

CONTENTdm provides a metadata update web service (called Catcher) for batch metadata updates. If bulk metadata changes have been made in a spreadsheet or an application like OpenRefine, they then can be formatted in the XML format supported by the Catcher web service and uploaded to CONTENTdm collections.

**7. Can individual library staff members customize metadata fields?**

Yes, all metadata fields in CONTENTdm can be customized by authorized staff.

## Software

**1. Please describe the client and/or web portal for contributors to upload materials (stand-alone and/or web-based).**

CONTENTdm has two primary methods for uploading materials: 1) browser-based “add item” web form, and 2) Windows-based Project Client application.

The browser-based form is designed only for one-at-a-time record creation and allows for upload of a digital file and provides form fields for descriptive metadata. The web-based tools also provide a way to assemble compound objects (multi-part records) from distinct single digital items. The browser-based forms will generate image derivatives (e.g. TIFF→JPEG2000), extract transcript text from PDFs and automatically generate thumbnail icons.

The standalone Windows application (Project Client) has a much greater range of functionality than the browser-based upload forms. The Project Client supports a variety of different workflows for bulk ingest of digital records. Several wizards give options to upload single items or compound objects from directories, with or without associated metadata from tab-delimited text files. Each Project Client workspace can accommodate up to 10,000 total items and has an asynchronous upload queue to send completed records to the server for approval and integration into the collection. The Project Client provides OCR services for generating full text from images as part of the bulk ingest process. It also provides a set of options for automatic generation of metadata based on properties of the digital file (e.g., image height/width, image EXIF/IPTC tags, PDF embedded metadata, file size and format, username, number of pages, and many other format-specific values).

The Project Client user interface is a spreadsheet that supports bulk editing options like “fill down” and “fill all” to support duplicating metadata to related records. This spreadsheet view also flags any records that contain metadata that does not comply with established controlled vocabularies and warns when required fields are missing metadata. The Project Client provides advanced options for customizing record thumbnails (if auto-generated thumbnails are not wanted). Additional options include the quality level for the automatically created “print PDF” files, support for custom XSL for EAD Finding Aids, compression options for JPEG/JPEG2000 derivatives, and optional creation of watermarks and brands to protect images.

**2. *Is there a size limit for collections or items?***

There is no specific size limit for the number of items in collections, but certain processes will get slower the larger a collection gets. For example, once a collection contains several million records, the index process can take many hours to complete. For individual items, they can have up to 125 different metadata fields, and each metadata field can contain up to 128,000 bytes of text.

**3. *Is there a limit to the number of administrators or staff users? Please describe.***

There is no specific limit on the number of administrators.

**4. *Does the software allow for both batch and individual asset loading?***

Yes, the Project Client supports several different workflows for adding assets in batches by directory and with an optional tab-delimited text file for descriptive metadata.

**5. *Does the software allow for movement and sharing of objects between collections?***

All records have a single home administrative collection and cannot be shared simultaneously by more than one collection. Users that have wanted to share objects across collections have typically defined virtual "sub-collections" using a metadata field and created custom landing pages or search pages to give these sub-collections distinct identity. Using metadata to define sub-collections also works well with the integrated search facet features of CONTENTdm.

**6. *Please describe how vendor provides support in transferring files without loss of quality.***

The quality of digital files added to CONTENTdm is determined by the user at the time of ingest. For images, the ingest process can be set to create lossless JPEG2000 files or standard JPEG/JPEG2000 files that do include some compression. For PDF files and audio/video, the original file is preserved through the process and all original quality is retained.

**7. *Are administrators able to set permissions on image downloads per individual contributor requirements?***

Download permissions can be set for each collection within CONTENTdm by administrators. As long as the contributor can control the settings for the collection to which they are adding records, they can set permissions to their requirements.

**8. *Can content contributors upload mixed media multi-part objects?***

Yes, compound objects (multi-part objects) in CONTENTdm can be composed of any file types, whether image, PDF, audio, video, or other digital file formats.

**9. *Please describe available integrated Optical Character Recognition (OCR) functionality.***

The CONTENTdm Project Client has a built-in OCR engine licensed from ABBYY FineReader. This OCR process can optionally be enabled during all ingests in the Project Client, whether single item or bulk processing. OCR services will only be run with image files. The text extracted by the OCR process is placed into a designated transcript field and is available for full-text searching after the record has been uploaded and approved for the collection in question.

**10. *Is there a limit to the number of OCR scans per license?***

For a single OCR license, the default is a limit of 10,000 page scans per month. One such license is included with every CONTENTdm subscription, and additional monthly licenses can be added on with separate purchase. If the 10,000-item limit is too low, libraries can purchase OCR licenses with a higher monthly limit separately.

**11. Please describe available integrated transcription of video and audio assets.**

There is no support to automatic generation of transcripts from video or audio files, but transcripts can be supplied during the ingest process much as they can be for image and PDF content. These transcripts are treated as full text for indexing purposes and are displayed in a separate Transcript section of the item view page in the end user interface.

**12. Please describe available video captioning or captioning support.**

There is no direct support for integrated captioning. If optional captions are required, the best option is to use an external video streaming service and use CONTENTdm's advanced customization features to embed the video inline. There is already a cookbook recipe available to accomplish this out of the box. The captions could then also be added to the CONTENTdm record to support full-text searching.

**13. Please describe integrated transcoding and media conversion.**

There is no direct support for transcoding video or audio files. If transcoding is required, the best option is to use an external video streaming service and use CONTENTdm's cookbook recipe to embed the external video or audio inline.

**14. Please describe whether content and metadata at the item level and/or the collection level can be edited after it has been uploaded.**

Yes, both the browser-based web form and the Project Client application support editing record metadata at any time. The Project Client provides a search interface to fetch copies of records from the server and place them into the project spreadsheet. Metadata can be edited within that spreadsheet (either field by field or using "fill down", find and replace, etc.). If records need their associated digital file updated, library staff can do so one file at a time or in bulk using the replacement features in the Project Client.

**15. Can metadata be edited in batch? Please describe.**

As described above, metadata can be edited in bulk in the Project Client's spreadsheet view using "fill up/down/all" options or find and replace across the spreadsheet. The search feature in the Project Client lets you fetch only those records that you wish to change. For larger-scale metadata updates, the best option is to use the Catcher web service. This web service supports modification of any metadata through XML files. Data modified by OpenRefine can be exported and modified for processing by Catcher.

**16. Does the product provide stable item-level URLs?**

Item-level URLs are as stable as the base URL of the repository. All item URLs have been preserved in CONTENTdm since the "Reference URL" functionality was first added in 2005. While the user-facing URL has changed through time, all forms of those URLs are handled and properly redirected.

**17. Can any aspect of the metadata or the digital object be edited without that change resulting in a different URL for the item-level record?**

Yes, virtually all modifications to the digital objects will not change the URLs. You can exchange the associated digital file(s) and preserve the original URL. You can make metadata edits and preserve the original URL. For multi-page records, you can add, remove, or re-arrange pages and the parent record URL is unchanged.

**18. Does the product allow for Open Archives Initiative (OAI) aggregation from other sources?**

CONTENTdm can serve as an OAI-PMH repository to provide metadata records to external aggregators. CONTENTdm does not support harvesting metadata from external OAI-PMH repositories.



### **19. Does the product allow for OAI harvesting?**

Each collection in CONTENTdm can optionally have OAI-PMH functionality enabled. The resulting harvest will be in Dublin Core format based on how any custom metadata fields have been mapped to DC elements in the CONTENTdm Administration staff portal.

### **20. Does the product provide a secure storage environment for long-term preservation of master files?**

OCLC provides a separate subscription service for digital preservation. This service supports ingest and preservation of any SIP (submission information package). The SIP is automatically checked for viruses on ingest, has checksums generated for long-term fixity checks, and is stored in OCLC's data centers as well as off-site redundant cold storage (not directly connected to a live data center). The CONTENTdm Project Client has optional features to create a local package of digital masters that then can be used to generate the SIP for upload to the digital preservation service.

### **21. Please describe any fees associated with access to and dissemination of storage files.**

Storage files can be accessed individually at any time at no cost. If you wish to make a bulk transfer of a large amount of data (where individual access is not realistic), OCLC charges a fee to copy the files to physical media and send them via registered mail, or to create an aggregation for direct download. The fee schedule depends on the amount of data and can be provided on request.

### **22. Please describe available transition assistance to migrate content if contract is terminated.**

Content can be exported from the system as long as the subscription is maintained. In advance of any contract termination, we recommend using the export tools to prepare any metadata exports in the formats that are desired. Once the contract is terminated, we will copy any and all associated digital content to physical media and send via registered mail (if requested). If metadata needs to be cross-walked to other formats for ingest to another system, we can provide technical support to transform the data and advice on how to use CONTENTdm APIs to generate metadata in other formats.

## **End-User Interface**

### **1. Can end-users apply advanced search filters and/or facets to narrow their search? Please describe Search and Advanced search capabilities.**

Yes, search results will have optional facets displayed for fields specified by the collection owners. These facet fields serve as filters to refine search results dynamically for end users. CONTENTdm's Advanced Search page supports field-specific searches, all fields searches, and date searches (before, on, after, range). Every search can either be All of the Words (AND), Any of the Words (OR), Exact Phrase, or None of the Words (NOT). These Boolean modes can be used in conjunction with one another (e.g., search for the exact phrase "Montana Historical Society" in the Contributing Institution field AND "photographs OR documents" in the Genre field).

### **2. Is content searchable through metadata and full-text searches?**

Yes. All text added to records, whether descriptive metadata or full-text transcript, is searchable through the end-user interface.

### **3. Please describe end-user's ability to create, save, export, and share lists of selected items.**

The current version of CONTENTdm does not support creation, export, and sharing of end-user lists; however, this feature is on our short-term roadmap. We expect to add support for saved end-user lists in early 2020.

**4. Please describe image view and thumbnail resolution and formats used (TIFF, JPEG).**

Image content uploaded to CONTENTdm typically is stored in a web-friendly JPEG2000 format. For end users, any image downloads will be converted to the more user-friendly standard JPEG format. If direct access to TIFF masters is desired for end users, it is also possible to support this through the optional Archival File Manager functionality.

**5. Can end-users zoom and pan without losing image quality?**

Yes, when images are stored in CONTENTdm as JPEG2000 (optionally as lossless JPEG2000) the end user will be able to pan and zoom up to the entire full resolution of the original image.

**6. Can end-users download images and choose from options for file size and format, with permission from contributor?**

CONTENTdm provides collection administrators with options for several different quality levels for image downloads, ranging from 250x250 pixels up to the full-size of the stored original. CONTENTdm only supports download of images in standard JPEG format. CONTENTdm also includes support for a downloadable PDF version of multi-page records (e.g. documents, letters).

**7. Can end-users browse pages of a multi-page object?**

Yes, multi-page objects have a thumbnail navigation panel to step between individual pages. The multi-page object viewers also have next page/previous page UI to support sequential browsing/reading modes.

**8. Can end-users contribute mediated comments on items?**

There is no built-in support for end-user comments in CONTENTdm. A few current CONTENTdm users have added support for third-party commenting web services (e.g. Disqus) using CONTENTdm's rich support for advanced customizations.

## Part Three: Bibliographic Cataloging

### Statistical Reporting Requirements

#### 1. Are statistical reports available for withdrawals data?

This data is not available through the OCLC Cataloging reports. Our WorldShare Circulation service provides such reports, but that is not part of this RFI.

#### 2. Are statistical reports available for bibliographic holdings data?

Yes. WorldShare Collection Manager provides WorldCat Holdings reports, which track when an institution's symbol has been added to or removed from records in WorldCat. There are two types of WorldCat Holdings reports:

- The WorldCat Holdings report, which is sent daily, detailing a library's most recent changes.
- The WorldCat Monthly Holdings report, which is sent out monthly to provide a monthly summary of activity.

Report	General information included in the report	Columns included in the report	Notes
WorldCat Holdings	Reporting Period Institution Name Institution Symbol Total number of records	Provider Collection Name Title ISBN/ISSN OCLC Number Action (set or delete)	When a holding in WorldCat is deleted, the WorldCat Holdings report: <ul style="list-style-type: none"><li>• Will not include a value for <b>Provider</b> or <b>Collection Name</b></li><li>• Will have <b>delete</b> in the <b>Action</b> column</li></ul>
WorldCat Monthly Holdings	Reporting Period Institution Name Institution Symbol Total WorldCat Holdings	Provider Collection Name Set Delete	

**3. Are statistical reports available for the number of original records produced, edited, and deleted?**

Yes.

WorldShare Record Manager tracks cataloger activity across bibliographic, authority, and local holdings records, and these statistics are captured in reports in the Analytics tab.

For library collections and holdings represented in the knowledge base, WorldShare Collection Manager provides a set of reports. WorldShare Collection Manager's Record reports contain information about records you output from Collection Manager. They are separated into reports about deleted records, new records, and updated records. Each report includes details about the associated files of records (deleted, new, and updated files of records).

Report	General information included in the report	Columns included in the report	Notes
<b>Deleted Records</b>	Reporting Period Institution Name Institution Symbol Total number of records	Provider Collection Name Title ISBN/ISSN OCLC Number File Name Multiple occurrence	The Delete Records Report displays titles that have been deleted from your collections.
<b>New Records</b>	Reporting Period Institution Name Institution Symbol	Provider Collection Name Title ISBN/ISSN OCLC Number Record not delivered* File Name Multiple occurrence	The New Records Report displays titles that have been added to your collections.  *The <b>Record not delivered</b> column is especially of interest to libraries that changed a collection-level record delivery setting <b>WorldCat Holdings</b> to <b>No</b> so that Collection Manager does not deliver records for items you already held in WorldCat. The items not delivered as New records will appear in the report with the word <b>New</b> in the <b>Records not delivered</b> column. You can use the information for your statistics.
<b>Monthly Records</b>	Reporting Period Institution Name Institution Symbol	Provider Collection Name New Updates Deletes	The Monthly Records Report provides a monthly summary of activity. It shows the number of records output for each provider, collection, and if records were new, updates, or deletes. It also includes the total number of records delivered. Record delivery is counted by a combination of OCLC number, library symbol, and date. The example below would represent one Update, one New, and one Delete record: OSU OCLC#1 Provider 1 Collection A New OSU OCLC#1 Provider 2 Collection B Update OSU OCLC#1 Provider 3 Collection C Delete
<b>Updated Records</b>	Reporting Period Institution Name	Provider Collection Name Title	The Updated Records Report displays titles in your collection that have been updated and lists why the record was updated. See <a href="#">Reasons for updated records</a> for more information.

	Institution Symbol	ISBN/ISSN OCLC Number File Name Update Reason Action Multiple occurrence	<p><b>Update Reason</b></p> <p>Updated Record Reports contain an Update Reason column. If you select to receive Update Records reports, the content of the reports will depend on the settings you choose in <b>Institution Settings &gt; MARC Records &gt; WorldCat Updates</b> as follows:</p> <p>If you selected to receive WorldCat update records:</p> <ul style="list-style-type: none"> <li>• Details about what was enhanced in the WorldCat master record / what triggered output of an updated record will be included in your report.</li> </ul> <p>If you did not select to receive WorldCat update records (you selected None):</p> <ul style="list-style-type: none"> <li>• Details about enhancements to the WorldCat master record will not be included in your report. However, you will receive an updated record when an OCLC control number (an OCLC number) changes.</li> </ul> <p>Consider selecting the Updated Records report to ensure you are notified about OCLC number merges.</p> <p><b>Action</b></p> <p>The <b>Action</b> column can have the value New, Deleted, or Updated.</p> <p>A report representing a collection that had a DDA title triggered for purchase could appear as follows:</p> <table border="1" data-bbox="695 989 1408 1255"> <thead> <tr> <th data-bbox="695 989 824 1020"><b>Action</b></th> <th data-bbox="824 989 1408 1020"><b>Update reason</b></th> </tr> </thead> <tbody> <tr> <td data-bbox="695 1045 824 1077">NEW</td> <td data-bbox="824 1045 1408 1098">Removed from collection eblebookspda - Added to collection eblebooks</td> </tr> <tr> <td data-bbox="695 1123 824 1155">DELETED</td> <td data-bbox="824 1123 1408 1176">Removed from collection eblebookspda - Added to collection eblebooks</td> </tr> <tr> <td data-bbox="695 1201 824 1232">UPDATED</td> <td data-bbox="824 1201 1408 1253">OCLC control number change—Master record variable field(s) change: 505, 520</td> </tr> </tbody> </table>	<b>Action</b>	<b>Update reason</b>	NEW	Removed from collection eblebookspda - Added to collection eblebooks	DELETED	Removed from collection eblebookspda - Added to collection eblebooks	UPDATED	OCLC control number change—Master record variable field(s) change: 505, 520
<b>Action</b>	<b>Update reason</b>										
NEW	Removed from collection eblebookspda - Added to collection eblebooks										
DELETED	Removed from collection eblebookspda - Added to collection eblebooks										
UPDATED	OCLC control number change—Master record variable field(s) change: 505, 520										

**4. Please describe any available consortium-level collection analysis functionality.**

OCLC provides a variety of consortium-level reports:

- **Summary Report** - The Group Bibliographic Record Processing Summary report displays a summary of bibliographic records that were matched to records in WorldCat. It also includes a breakout table of records matched for symbols under a group.
- **Count of New and Removed Group Titles** – This report provides the combined count of new and removed titles as well as the net change in title holdings activity for the group by Month and Year.
- **Count of New and Removed Group Titles interface** – This report provides the combined count of new and removed titles as well as the net change in title holdings activity for the group by Month and Year.
- **Group Cataloging Data Last Refreshed** – This report displays when group data was last refreshed. It provides information about the reports affected, how often the data is refreshed, and the date last refreshed. You can use this report to see when the cataloging data was last updated.

## **5. Please describe any available group print management functionality.**

OCLC's GreenGlass software is a Web-based tool to help you manage and share your libraries' print monograph collections carefully and efficiently through visualization and interaction. It works with all major ILSs and enables you to define your own criteria for retention and deselection.

GreenGlass includes group functionality that employs visualizations and modeling tools that will allow your libraries to understand their shared collection with respect to overlap, subject dispersion, and usage. GreenGlass gives you the ability to experiment with various retention scenarios, estimate the impact on each library, and commit to specific retention agreements, with confidence in and comprehension of the outcome.

GreenGlass group functionality employs query tools and item lists that allow individual libraries to protect the right books, and thereby share responsibility for the collective collection. Through this analysis, participating libraries can downsize print monographs collections, knowing that long-term access to the content has been assured.

## **Technology Requirements**

### **1. Please describe how reclamation (scan/delete; keeping collection synchronized for ILL and discovery) services are scheduled for consortium and any additional costs associated with this service.**

**Reclamation Process** – As your libraries currently utilize OCLC Cataloging, a reclamation process would only be necessary if libraries have not consistently maintained them and cannot easily isolate only the records that need to be updated. If needed, this type of collection would bring your holdings up to date.

A reclamation matches your records in WorldCat to set (add) holdings; timestamp them; and then cancels (deletes) holdings on records that were set earlier than the time of the data sync processing transaction.

The steps in this process are summarized below:

- You send all of your library's records. As they are matched in WorldCat and holdings are set for items you hold, the current date is "stamped" on each record.
- After data sync processing is complete, OCLC runs a Scan/Delete to remove your holdings from records with a date stamp earlier than the date of the data sync processing transaction (typically the date when you extracted your records for submittal to OCLC).
- Before performing a scan/delete, Data Sync services would contact you to confirm the date on which canceling holdings will be based. You must approve the date before OCLC will run the scan/delete.
- Holdings set after the date of the scan/delete are retained in WorldCat. Therefore, you can continue online cataloging while your records are processed. OCLC recommends, however, that you stop deleting holdings until the reclamation is complete.

By default, scan/deletes are processed to skip any holding set on a record that has a local holdings record (LHR) attached. The LHR itself will remain, and the holding will remain set on the record, regardless of date stamp. However, you can request to remove the LHR and related holding.

This is a one-time collection that includes a scan/delete process. Before a scan/delete can start, all of your knowledge base holdings must be reset.

**Cost** - This would be performed for a fee, given the custom work involved in the processing.

## **2. Does the product allow for establishing a shared login for consortium configuration?**

Administrative settings for WorldShare Interlibrary Loan and Record Manager are maintained in the OCLC System Configuration interface. There, staff can set your interlibrary loan options, print settings, borrower and lender constant data, custom holdings groups, direct request profiles, and purchase options.

OCLC also in System Configuration maintains libraries' codes (including defaults) for branch locations/shelving locations. These affect local holding record workflows across multiple applications, including Record Manager. Permissions and access for Cataloging features, including Record Manager, are maintained with a system of "roles" that Library System Administrators assign to and manage for their staff.

## **3. Is a web-based cataloging utility available?**

Yes. Montana libraries currently have several web-based OCLC Cataloging tools available, all providing direct, online access to WorldCat for exporting, updating, and adding unique records:

- **Connexion Browser** – Connexion provides an intuitive Web-based interface that helps staff create and edit high-quality bibliographic and authority records and then share them with the entire OCLC cooperative. Despite its user-friendly interface, it provides a robust set of tools and services with advanced features to provide unparalleled flexibility for libraries.
- **WorldShare Record Manager** - WorldShare Record Manager allows library staff to create new and enrich existing items in WorldCat with efficient, record-at-a-time metadata management for physical and electronic materials using either a MARC 21 editor or a Text View editor. Plus, with Record Manager, you can set and delete WorldCat holdings and export bibliographic records.
- **WorldShare Collection Manager** - WorldShare Collection Manager streamlines electronic and print workflows, which saves staff time and improves your catalog, so all your resources are easier for your users, other libraries and people around the world to find, request and access.

## **4. Please describe your database including size, structure, and features. Please list the number of full unique bibliographic records in your database.**

Montana libraries help OCLC and libraries around the world maintain WorldCat, the world's most comprehensive bibliographic metadata creation and management service, including over 461 million bibliographic records.

WorldCat consists of three components: a bibliographic catalog, a knowledge base, and a registry for library information.

- **Bibliographic Catalog** - The WorldCat bibliographic catalog includes everything available to users in the library. Beyond books and print journals, the catalog of physical materials includes DVDs, historic photos, video games, musical scores, newspapers, web pages, and many other standard items.

As OCLC is a cooperative, WorldCat and the WorldCat knowledge base are the only vendor-neutral collection of records, representing over 480 languages. Worth noting as well is that all records added to WorldCat are immediately indexed and available for discovery and download, minimizing original cataloging and the introduction of intentional duplicates to the database.

The image below highlights the extraordinary level of content and activity.



#### WorldCat vital statistics

- **WorldCat knowledge base** - The WorldCat knowledge base has over 51 million records and 22,000 content collections from nearly 6,800 providers. An OCLC team manages worldwide publisher/provider partnerships to continue growing the knowledge base for our worldwide libraries.

The knowledge base connects library users to the electronic content provided by their library. It combines data about a library's e-resources with linking features that make the collections easier to find, share, manage and use. Like data in the WorldCat bibliographic catalog, knowledge base data are not tied to a particular application, so libraries can streamline electronic content workflows across multiple systems.

The WorldCat knowledge base's cooperatively maintained collections continue to grow with content from libraries and publishers from around the world. Because OCLC is a non-profit, vendor-neutral cooperative, the WorldCat knowledge base is the only source that includes records from both EBSCO and ProQuest, Gale and Springer, and Wiley and Elsevier, among many other content suppliers.

The knowledge base also includes free and open-access materials that users can find and get alongside their library's materials.

- **WorldCat Registry** - The WorldCat registry allows libraries to maintain information about their services and contacts to help information seekers find the library online. When librarians maintain their institution's location, hours, relationships, services, and contact information, the WorldCat registry populates that information on WorldCat.org and elsewhere through links on popular web sites. Library staff can also share profiles with vendors and consortium members to ensure they always have the most accurate contact information.

#### 5. Does the product allow for searching records individually and in batch?

Yes. Our cataloging tools have intuitive interfaces that allow for basic and advanced searching as well as batch searching via query collections:

- **Connexion** – Staff can conduct basic searches using keyword, ISBN, ISSN, LCCN, Publisher Number, and OCLC Number. Qualifying a search in Connexion is combining numeric, keyword, or derived search terms with qualifier indexes and supported values using Boolean operators and (AND) or not (NOT). Common to searching in Connexion is the use of a variety of resourceful qualifiers preceded by a "/" (forward slash).



- **WorldShare Record Manager** - Record Manager supports both basic and advanced searching. You can choose an index for a basic search or use search index keys such as au:, ti:, su: to perform an expert search. Advanced searching allows you to search an unlimited number of indexes combined with Boolean operators. You can pre-filter the search by format, source of cataloging, language of material, language of cataloging and year(s) of publication. As the results are faceted, you can also perform a basic search and “qualify” by the facets that are presented to narrow down the results set.
- **WorldShare Collection Manager** – Collection Manager provides staff with a search field to find collections they have already created of any collection-type. Alternatively, they can find collections and providers that are in the global WorldCat knowledge base.

**6. Does the product allow for creating both copy cataloging and original MARC records that comply with Montana Shared Catalog record standards? (Please see <https://desk.zoho.com/portal/montanastatelibrary/kb/articles/scp-bib-record-standards>)**

Yes, with a caveat on conformance to local cataloging standards.

A library can start from scratch with a blank, format-defined/prepopulated work form, or find a high-quality record in WorldCat that resembles the title being cataloged and derive a new record from that existing record.

The interface will maintain the salient parts of the record (author, title, publisher, subjects, call number, etc.) normally resulting in minimal required editing resulting in greater efficiencies in the creation of original records.

In addition, Record Manager offers a text-view approach to creating records, for both copy and original, which is useful for special projects and other cataloging needs where MARC may be too complex to teach those doing the data entry.

Record Manager includes both MARC and RDA help integrated directly into each field and subfield. When in a field, right-click to bring up a list of options such as copy field, paste field, insert field string, RDA toolkit, MARC Field help, Apply Authority link, Control field, and Display Web page. The Connexion interface also allows for macro applications, constant data, and text strings that can be applied against the record to further speed the process of record creation (and copy cataloging).

When the record is complete, it can be exported to a local system or saved to the WorldCat database.

**Standards** – OCLC publishes its bibliographic cataloging standards at <https://www.oclc.org/bibformats/en.html>. These standards are constantly maintained and updated to meet the development of the MARC format. Library cataloging also is governed by cataloging content standards, and WorldCat fully supports all the requisite standards including RDA and AACR2 (Anglo-American Cataloging Rules, 2nd ed.).

OCLC believes there to be significant overlap of the Montana Shared Cataloging rules, but cannot guarantee complete support, particularly of the standards for “Permanent: Local” and “Temporary” records, due to the nature of the shared WorldCat database. OCLC provides a number of ways for libraries to represent information for materials that is specific to the institution, including Local Bibliographic Data and Local Holdings Records.

**7. Please describe whether macros and constant data are available.**

WorldShare Record Manager supports many record-based macros via “Advanced Actions” in the record toolbar. Workflows for changing multiple records at a time are supported via bulk edit functionality for Local Holdings Records and Local Bibliographic Data. In addition, libraries also can use a tool in Record Manager to set or delete WorldCat holdings on up to 10,000 records at a time.

Record Manager supports Constant Data for both bibliographic and authority data.

Libraries that use the third-party tool “MarcEdit” can take advantage of its integration with the WorldCat Metadata API to work with large sets of bibliographic records, including setting and deleting WorldCat holdings.

## **8. Please describe ability to perform authority control.**

Library staff can export authority records retrieved from the Authority File or authority save file. They can export individual or multiple authority records via file download to your workstation. Or, they can export records directly to your local system via a TCP/IP connection.

OCLC is also a node for the Library of Congress's Name Authority File, so changes that NACO-authorized catalogers make to this file within OCLC systems are automatically updated daily in the Library of Congress files.

Catalogers use these authority records and others, such as the Library of Congress' Subject Headings (LCSH), US National Library of Medicine's Medical Subject Headings (MeSH), Koninklijke Bibliotheek's NTA Names (Nederlandse Thesaurus van Auteursnamen), and Deutsche Nationalbibliothek's Integrated Authority File (GND), in their regular cataloging workflows. They then add bibliographic records with standard names, subject headings, and other information to WorldCat, creating new value and enriching WorldCat for libraries around the world. OCLC provides tools for displaying these authority files to catalogers and for linking the headings in bibliographic records to them.

## **9. Please describe ability to validate records.**

Records in WorldCat are maintained cooperatively by catalogers and other information professionals, adhere to international standards, and are vetted by several OCLC and industry quality control programs. Libraries that contribute information to WorldCat agree to abide by the WorldCat Principles of Cooperation and follow particular guidelines regarding content. Connexion, Record Manager and WorldShare Collection Manager data sync collections integrate full record validation with detailed error messaging to assist with entering new data into WorldCat.

OCLC has a WorldCat Quality Team, staff who are dedicated to improving the WorldCat bibliographic catalog, knowledge base and registry. Through WorldShare Collection Manager data sync collections, OCLC runs robust validation routines to verify data. Validation rules are applied to bibliographic and authority records before they are saved.

The WorldCat Quality Team proactively enhances records in WorldCat to reflect policy updates, such as changes to subject headings or provider-neutral coding for electronic resources. The team also reviews every WorldCat record change request submitted and determines the best action to take. Sometimes, they improve only one record at a time; at other times, they find and improve thousands of WorldCat records with similar issues.

The WorldCat Quality Team also maintains and monitors our Duplicate Detection and Resolution (DDR) software, which processes WorldCat records to identify and merge duplicates with the help of experienced quality control catalogers. In addition to the software, the WorldCat Quality Team identifies, and merges duplicates manually when appropriate. The team also responds to OCLC members' reports of duplicate records that should be merged and records that may have been merged inappropriately.

When creating new single records with Connexion or Record Manager, library staff may at any time apply validation rules. These rules are automatically applied to detect errors when you save the new record.

## **10. Are MARC records or MARC record loads available from vendors that our libraries order materials from? If so, please explain what costs are associated with this feature, if any.**

Yes. Included in the OCLC Cataloging subscription is Collection Manager which supports both print and electronic materials. With WorldCat cataloging partners collections, OCLC partners with [30 materials vendors](#) so that your libraries' vendors can send OCLC electronic manifests indicating items they are shipping to your libraries, and our automated software will find records in WorldCat for those items, register you library's holding on the WorldCat record, tailor the records based upon data from the vendor and your library's profile, and send the records directly to your library for loading.

Depending on the specific partner, this service can enable shelf-ready processing and you can embed barcodes, price, invoicing, and other data from the partner into the MARC record. (The vendor may charge a small per record fee.) With WorldCat knowledge base collections, OCLC partners with over [10 E providers](#) to automatically register your E collections in WorldCat and deliver MARC records to your

library. With this hands-free process, partners provide OCLC with your library-specific collections and we determine which titles are new and which should be removed.

## Part Four: Interlibrary Loan

### Statistical Reporting Requirements

#### 1. *Are monthly borrower and lender statistics accessible at the institution level and consortium level?*

WorldShare Interlibrary Loan reports are available via the OCLC Usage Statistics interface, including:

- **Resource Sharing Borrower Reasons for No Report and Resource Sharing Lender Reasons for No Report** - Monthly reports for both Borrower and Lender activity help Lenders evaluate their fill rate and borrowers to refine their Custom Holdings Groups. The Reasons for No report shows details for requests that were refused, including ILL Record Number, Title, OCLC Number, the lender's name and OCLC symbol the reported reason for not filling the request, and the date the request was refused and imprint date of the material. Your libraries can use this data to determine whether the age of the requested material falls into any pattern that may allow for further refinement of deflection rules. The Resource Sharing Lender Reasons for No Report shows similar information but does not include the lending institution's position in the lender string.
- **Strategic Union List Report** - The Strategic Union List Report gives libraries a jump start on entering union list holdings data by providing a list of serial titles requested from their library via interlibrary loan.
- **Borrower Resource Sharing Stats Report and Lender Resource Sharing Stats Report** - These reports provide a detailed look at all the requests that pass through a library's system in a given month and are organized by transaction. A record appears in this report for any month during which action was taken on the request, so a request may appear in multiple months. Because of the depth of this report, only one month of statistics can be displayed at a time.
- **Borrower Activity Overview Report and Lender Activity Overview Report** - These reports show the number of requests initiated by a library in a specified month, the number of requests cancelled in that month, and the number of requests reported as filled for that month. For the Borrower Activity Overview Report, unfilled requests may show up in future months as being filled, so they would appear in two months' Activity Overview reports.
- **Borrower Transaction-Level Detail Report and Lender Transaction-Level Detail Report** - These reports provide details of requests to or from specific institutions within a given month. The Requests to Lender/Borrower total represents each time a request was passed along to an institution. In the Borrower Transaction Level Detail Report, because one request can be handled multiple times, the number of requests is higher than the number represented in the Borrower Activity Overview Report.
- **eSerials Request by Journal Title Report** - This report displays the OCLC number, Journal Title, ISSN (where available), and the total number of requests for electronic journals received and filled for each electronic journal requested.
- **Serials Request Overview Report** - This report shows your library the total number of requests for serials received, and then breaks this total down into print and electronic journals. It also shows the number of requests deflected, the number of requests filled by journal type, and the percentage of requests received and filled for electronic journals.
- **Copyright Compliance Payment Report** - This report helps you track Copyright Compliance payments by using the ILL data.
- **Article Exchange Reports (For libraries that use Article Exchange)** – these are daily and monthly reports that include data about the borrowing library, the file name, when it was uploaded, when it was first viewed and turnaround time.

**2. Are statistical reports available for IFM (ILL Fee Management) data?**

Yes. ILL Fee Management (IFM) Reports are monthly detailed reports that itemize library-to-library borrowing debits and library-to-library lending credits listed on your OCLC bill. A Summary view features totals by institution with the institution symbols linked. Clicking on the institution symbol shows the transaction details for that particular institution. A Detail report shows all transaction detail for each institution.

**3. Are statistical reports available for in-state and out-of-state interlibrary loan monthly totals by institution and in both aggregate and summary at the consortium level?**

Yes, statistical reports can be created for in-state and out-of-state interlibrary loan monthly totals by institution, in both aggregate and summary at the consortium level.

## Technology Requirements

**1. Can institutions set permissions so that end-users can submit mediated or unmediated interlibrary loan requests online?**

Staff and patrons can take advantage of ILL Direct Request profiles, which allows incoming requests to match certain criteria and be sent directly to potential lenders. Patrons using WorldCat Discovery or FirstSearch can submit requests directly into WorldShare ILL. Staff can search within WorldShare ILL for a desired bibliographic record and submit the request to Direct Request to have a lender string assigned.

## Cost Estimate

**Please Note:** The price estimate below is based on the parameters described in section 2.0 Project Description for the estimated 200 Montana libraries.

OCLC Cost Estimate	Low Estimate	High Estimate
OCLC Cataloging and Metadata Annual Subscription	\$236,711	\$289,313
OCLC WorldShare ILL Annual Subscription	\$124,380	\$152,020
OCLC FirstSearch/WorldCat Discovery Annual Subscription	\$46,246	\$56,522
CONTENTdm Annual Fee	\$12,627	\$15,433
CONTENTdm Annual Collection Storage Fee up to 3 TBS (Hosting)	\$12,286	\$15,016
CONTENTdm Annual Preservation Storage Fee up to 7 TBS (Digital Archive)	\$22,115	\$27,029

**CONTENTdm Annual Fee includes the following:**

CONTENTdm Annual Base Subscription Fee (Includes 1 OCR project Client)

7 Additional OCR Annual Fees 10K PPM

3 Additional OCR Annual Fees 25K PPM

**Estimated Optional Services:**

**SCS GreenGlass**

Set-up fee: Estimated at \$6250 per institution pending the number of records.

Up to 1,000,000 bibliographic records per institution @\$0.03 per record

All bibliographic records over 1,000,000 per institution @\$0.015 per record

## Appendix A – Scope of Offer

### SCOPE OF OFFER State of Montana, Montana State Library

This proposal constitutes an offer to the State of Montana (the “State”).

This offer is provided by OCLC, Inc. (“OCLC”) in response to the University’s Request for Information (the “RFI”).

This proposal shall be governed by the RFI, OCLC’s Master Service Agreement and the comments and exceptions made to the RFI (included with OCLC’s proposal).

If all of the terms contained in this proposal are acceptable to the University, please have an authorized representative accept this proposal in writing. The terms of this proposal will remain in effect for 90 days after the closing date of the RFP. Any acceptance is expressly limited to the terms of this offer, and OCLC objects to any additional terms in such acceptance, though we would consider such terms during negotiations.

If representatives of the University wish to discuss the modification of applicable OCLC terms or the introduction of additional terms, OCLC is willing to negotiate. Before any legally binding commitments are made, however, OCLC and the University will work out mutually acceptable contracts.

The prices given in this proposal are the result of independent OCLC action and not the result of any undisclosed collusion between or among OCLC and any third parties.

To the best of OCLC’s knowledge, no undisclosed conflict of interest between the University and any of its employees will be caused by OCLC entering into negotiations with the University.

Although the proposal may contain responses to the sections of the RFP dealing with specification requirements as requested, these responses are for the University’s evaluation purposes only. OCLC assumes that the University and OCLC shall mutually develop and agree to final project specifications consisting of the RFP specifications to the extent accepted by OCLC and any other specifications or adjustments to the specifications required by the University and OCLC.

OCLC’s offer is contingent upon the contract being accepted by a legally competent and financially responsible entity. OCLC reserves the right to correct any errors or omissions in its proposal at any time.

## Appendix B – Terms and Conditions

Attached are the OCLC Terms and Conditions that pertain to the services described in response to this RFI.



**Section 1 Institution Information & Signatures**

<i>INSTITUTION NAME ("Institution")</i>			
<i>LIBRARY NAME (if different from Institution Name)</i>			<i>OCLC SYMBOL (if any)</i>
<i>STREET ADDRESS</i>			
<i>CITY</i>	<i>STATE</i>	<i>ZIP/POSTAL CODE</i>	<i>COUNTRY</i> USA
<i>CONTACT PERSON</i>		<i>TITLE</i>	
<i>TELEPHONE NUMBER</i>	<i>FAX NUMBER</i>	<i>E-MAIL ADDRESS</i>	
<b><i>BILLING ADDRESS (IF DIFFERENT FROM ABOVE) or NOTICE ADDRESS (IF DIFFERENT FROM ABOVE)</i></b>			
<i>STREET ADDRESS</i>			
<i>CITY</i>	<i>STATE</i>	<i>ZIP/POSTAL CODE</i>	<i>COUNTRY</i>
<i>CONTACT PERSON</i>		<i>TITLE</i>	
<i>TELEPHONE NUMBER</i>	<i>FAX NUMBER</i>	<i>E-MAIL ADDRESS</i>	
<i>Is Institution considered exempt from tax in the country in which it is located?</i> <input type="checkbox"/> <i>Yes</i> <input type="checkbox"/> <i>No</i>			
<i>By signing below, Institution: (1) acknowledges that Institution has read and agrees to the terms of this Master Service Agreement ("MSA" or "Agreement") to become effective upon full execution of the Agreement ("Effective Date"); (2) warrants that it has made no unilateral changes to the terms of the Agreement since last received from OCLC; (3) orders access to the Products and Services as specified in this Agreement; and (4) warrants that it has the authority to enter into this Agreement.</i>			
<i>INSTITUTION:</i> _____			
<i>Authorized Signature</i> _____		<i>Date:</i> _____	
<i>Name &amp; Title:</i> _____			
<i>Accepted By:</i> <i>OCLC, INC.</i>			
_____		<i>Effective Date:</i> _____	
<i>Bruce Crocco, Vice President</i>			
<i>Notice Address for OCLC:</i> OCLC. 6565 Kilgour Place Dublin, Ohio 43017-3395 FAX: 614-764-0740 Attention: Legal Department E-mail: <a href="mailto:legal@oclc.org">legal@oclc.org</a>			

## Section 2 Scope & Construction

This Agreement establishes the general terms and conditions for the provision of Products and Services. Additional Product or Service-specific terms and conditions are set forth in one or more schedules (“Schedules”), and are made a part of this MSA. In case of a conflict in terms between the MSA and any applicable Schedule, the terms and conditions of the Schedule shall prevail. If Institution orders additional Products or Services after its initial order and such order includes a master services agreement with the Schedule, this initial, executed MSA controls in lieu of such attached master services agreement.

## Section 3 Definitions

- 3.1 Bibliographic Data** means all the bibliographic data (including subject data, such as local key words and subject headings), descriptive metadata, relationship metadata and other metadata of the type stored in WorldCat.
- 3.2 Holdings Data** means all the ownership and license data in relation to Institution’s collection (including electronic resources).
- 3.3 Hosted Services** means the hosted services made available by OCLC which Institution may access pursuant to this Agreement. The Hosted Services are described in detail in the applicable Product Descriptions but do not include services (including API’s and the like) provided by third parties.
- 3.4 Institution Data** means (i) the Holdings Data in relation to Institution’s collection; (ii) all the data that forms part of the library process or the internal operations of the Institution, such as circulation, patron, and acquisition data; and (iii) all other data and content that is produced, sent or reproduced through the Services by the Institution or made available to OCLC in connection with the Services.
- 3.5 Internal Data** means Institution Data intended exclusively for internal use by the Institution.
- 3.6 Product Descriptions** means the descriptions of the Products and Hosted Services as made available at [www.oclc.org](http://www.oclc.org) and as updated from time to time by OCLC.
- 3.7 Products** mean the OCLC software, hardware, and other products licensed to Institution pursuant to this Agreement. The Products are described in detail in the applicable Product Descriptions but do not include products provided by third parties.
- 3.8 Professional Services** means the services that OCLC provides to Institution under this Agreement in connection with the Products or Hosted Services, such as data migration, configuration, consultancy, support, and training.
- 3.9 Services** mean the Hosted Services and Professional Services.
- 3.10 Shared Data** means the Institution Data made available by Institution to the public or to third parties selected by the Institution (such as other participants or users) or that by its nature is intended for use outside the Institution’s organization, such as Bibliographic Data, Holdings Data, and other data not considered Internal Data.
- 3.11 Systems** mean the facilities, server(s), equipment, operating software, and connectivity used to provide the Services.
- 3.12 WorldCat** means the databases of Bibliographic Data, Holdings Data, and related files maintained by OCLC.

## Section 4 Products and Services

- 4.1 General.** OCLC will provide Institution those Products and Services to which it subscribes, in accordance with this Agreement and as described in the version of each Product or Service’s respective Product Description active on the Effective Date. Product Descriptions and brochures can be found at <https://www.oclc.org/en/services.html>. Institution shall provide OCLC with the assistance and information OCLC reasonably needs to perform the Services properly or where OCLC otherwise reasonably requests. OCLC shall not be liable for any failure to perform its obligations arising from Institution’s failure to provide such assistance or information.
- 4.2 License.** Subject to the terms of this Agreement and the applicable Schedule(s), Institution’s license to use the Products and Services identified in the executed Schedules may be pursuant to a hosted license (for Hosted Services) or a non-hosted license (for Products). For Products paid for by Institution, OCLC grants Institution a nonexclusive, nontransferable license to install and use the Product solely for the noncommercial purposes described in the Product Description and the applicable Schedule. For Hosted Services subscribed to by Institution, OCLC will provide access to the Hosted Service, and if applicable a license to install and use any local software components of the Hosted Service, all solely for the noncommercial purposes described in the Product Description and the applicable Schedule.
- 4.3 Modifications.** OCLC may change or modify a Product or Service from time to time in its discretion. OCLC shall notify Institution should there be any material changes to the respective Product or Service by such means as reasonably determined by OCLC. Any new Product or Service functionality made available by OCLC shall be subject to this Agreement.
- 4.4 Support.** Support services will be provided in accordance with the support service description available at <http://www.oclc.org/support/home.en.html>. Generally email support is available at [support@oclc.org](mailto:support@oclc.org) and telephone support is available at 1-800-848-5800.
- 4.5 OCLC Intellectual Property.** OCLC and/or its licensors or suppliers are the exclusive owners of and retain all right, title, and interest (including all copyrights, trademarks, patents, and any other proprietary rights) to the Products, Services, WorldCat, and all other materials produced or provided by OCLC. All rights not expressly granted by OCLC are reserved.
- 4.6 Limitations.** Institution shall only use the Products and Services in accordance with the terms of this Agreement and for the purposes specified in the Product Descriptions.

## Section 5 Term and Termination

- 5.1 Term.** This Agreement shall commence on the Effective Date and shall remain in full force and effect until all active Schedules are terminated in accordance with Section 5.2. Unless otherwise specified in a pricing document, individual Schedules shall commence upon execution and shall remain in full force and effect for the duration that Institution has access to the applicable Products or Services.
- 5.2 Termination.** This Agreement or individual Schedules may be terminated in one of the following ways:
- By either party, effective at the end of the initial subscription period or any renewal period, by providing the other party with at least 30 days prior written notice of its desire to not renew a Product or Service;
  - By either party if the other party becomes insolvent, makes a general assignment for the benefit of creditors, suffers or permits the appointment of a receiver for all or a substantial part of its property, is subject to any proceeding under any bankruptcy or insolvency law, or has wound up or liquidated, voluntarily or otherwise;
  - By the non-breaching party if a party commits a material breach of its obligations under this Agreement and has not cured such breach or failure within 30 days of receiving written notice from the non-breaching party. OCLC reserves the right, however, to immediately suspend Institution's access to the OCLC Services in the event of Institution's material breach until such time as the material breach is cured; or
  - As otherwise explicitly provided in this Agreement.
- 5.3 Effect of Termination.** Termination of this Agreement shall terminate all Schedules, termination of a Schedule will not terminate the Agreement or any other Schedule. Upon termination of this Agreement or any Schedule, the rights granted by OCLC in the applicable Schedule or Agreement are terminated unless otherwise provided in such Schedule. After termination and upon request, OCLC will promptly return or destroy all applicable Institution Data, except however, OCLC may retain Institution Data in back-up files provided that the confidentiality and security obligations contained herein shall apply. OCLC will provide Institution access to Institution Data for 90 days after the effective date of termination, after which, OCLC shall have no obligation to maintain any Institution Data.

## Section 6 Fees and Payment Terms

- 6.1 Fees.** Institution shall pay the applicable charges based on their agreed upon pricing document or, in the absence of an agreed upon pricing document, OCLC's prevailing price for the Products and Services. Fees are exclusive of any taxes and shall be paid in the currency and to the address stated on the invoice. Institution shall pay such tax to OCLC or other entity, as appropriate. Institutions exempt from taxation shall supply a valid exemption certificate upon request. Institution's failure to fully pay any fees or taxes within 60 days after the applicable due date will be deemed a material breach of this Agreement, justifying OCLC's suspension of Products and Services.
- 6.2 Price Changes.** OCLC reserves the right to change any price/fee, provided that OCLC provides Institution written notice of the change at least 60 days prior to the date the change is to become effective. Notwithstanding the foregoing, OCLC will not change any prices/fees contained in an agreed to price quote or renewal notice prior to the expiration of the quote or renewal notice.
- 6.3 Non-refundable.** Institution will not be entitled to a refund of any implementation or pre-paid fees under this Agreement unless (i) OCLC terminates the Agreement or a Schedule pursuant to Section 5.2 (a), or (ii) Institution terminates the Agreement or a Schedule pursuant to Section 5.2 (c); in which event, OCLC will refund that portion of fees pre-paid by Institution corresponding to the period after termination.

## Section 7 Disclaimer

EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, THE PRODUCTS AND SERVICES ARE PROVIDED "AS IS" AND OCLC AND ITS THIRD PARTY SUPPLIERS DO NOT MAKE ANY REPRESENTATIONS OR WARRANTIES OF ANY KIND, EXPRESS OR IMPLIED, WITH RESPECT TO THE PERFORMANCE OF THE PRODUCTS OR SERVICES, INCLUDING, BUT NOT LIMITED TO, ANY IMPLIED WARRANTY OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, NON-INFRINGEMENT OR ANY IMPLIED WARRANTY ARISING BY USAGE OF TRADE, COURSE OF DEALING OR COURSE OF PERFORMANCE. OCLC MAKES NO REPRESENTATIONS OR WARRANTIES THAT THE PRODUCTS AND SERVICES WILL ALWAYS BE ACCESSIBLE, FREE OF HARMFUL COMPONENTS, ACCURATE OR ERROR-FREE. IN NO EVENT WILL OCLC BE LIABLE FOR ANY LOSS ARISING OUT OF FAILURE OF THIRD PARTY PRODUCTS OR SERVICES OR OTHER EVENTS OUTSIDE OF OCLC'S REASONABLE CONTROL. THIS SECTION WILL NOT APPLY TO DAMAGES THAT CANNOT BE EXCLUDED BY LAW (IN WHICH EVENT THE LIABILITY SHALL BE LIMITED TO THE FULLEST EXTENT PERMITTED).

## Section 8 Privacy and Security

- 8.1 Data Security.** OCLC has implemented and shall maintain commercially appropriate, reasonable and customary controls to ensure the security, confidentiality, and protection against unauthorized access to, use, or disclosure of Internal Data. Institution shall obtain and maintain all necessary consents from all users for OCLC to provide the Service and for Institution's and users' access, monitoring, use, disclosure, and transfer of Internal Data.
- 8.2 Audit.** OCLC will (i) implement administrative, physical, and technical safeguards in accordance with accepted industry practices including conducting audits in accordance with the ISO/IEC 27001 standard (or subsequent comparable standard) and (ii) as reasonably requested by Institution, provide Institution with a copy of the certificate of registration for such standard along with any relevant reported deficiencies regarding non-compliance together with corrective action plans for addressing such deficiencies identified in the report.

- 8.3 Nondisclosure of Internal Data.** OCLC shall hold all Internal Data in strict confidence and with the same standard of care it uses to protect its own information of a similar nature and shall not use Internal Data for any purpose other than to provide the Service or as may be authorized in writing by Institution. OCLC shall not disclose Internal Data to any other party except: (a) to OCLC employees, agents, subcontractors and service providers, to whom Internal Data needs to be disclosed for the purpose of providing the Service; (b) as required by law, or to respond to duly authorized information requests of police and governmental authorities or to comply with any facially valid subpoena or court order; (c) to protect the rights or property of OCLC or OCLC customers, including the enforcement of OCLC agreements or policies governing Institution's use of the Service; (d) to involve and cooperate with law enforcement or the appropriate legal authorities in investigations, and to protect Systems and OCLC's customers, or (e) as authorized by Institution in writing.
- 8.4 Prohibitions.** Institution expressly warrants that it will not enter, submit, transfer, or store in the Service any of the following types of information: Social Security Numbers (or other national identification numbers), financial account numbers, credit card or debit card numbers. OCLC will have no liability, and Institution expressly releases OCLC from any liability, associated with the loss, theft, disclosure or misuse of such information.
- 8.5 Data Transfer.** As part of providing Services, OCLC may store and process Institution Data in the United States or any other country in which OCLC or its affiliates, subsidiaries, or agents maintain facilities. By using the Service, Institution consents to this transfer, processing, and storage of Institution Data to or by OCLC, its service providers, and affiliates subsidiaries or agents, over state and international borders as necessary to provide the Service in accordance with OCLC's standard business practices.
- 8.6 Unauthorized Disclosures.** OCLC will promptly notify Institution in the event of a verified breach of non-public personal data unless such breach is unlikely to result in material harm to Institution or the data subject, or as otherwise provided by law. Institution agrees that it shall be Institution's sole responsibility to determine whether a breach is subject to state, federal or national breach notification laws and requires breach notification ("Breach Notification"). In the event that Institution determines that a breach requires Breach Notification, OCLC agrees that it will reasonably cooperate with Institution in regards to Institution's Breach Notification obligations as specified in the applicable law, including Institution's investigation, enforcement, monitoring, document preparation, Breach Notification requirements, and reporting. Institution shall be solely responsible for notifying all individuals subject to Breach Notification, however OCLC reserves the right to first review all notifications before they are sent.

## Section 9 Limitation of Liability

OCLC WILL HAVE NO LIABILITY FOR ANY INDIRECT, CONSEQUENTIAL, EXEMPLARY, SPECIAL, INCIDENTAL, OR PUNITIVE DAMAGES FOR ANY MATTER ARISING FROM OR RELATING TO THIS AGREEMENT OR THE PRODUCTS AND SERVICES, INCLUDING BUT NOT LIMITED TO ANY UNAUTHORIZED ACCESS TO, OR ALTERATION, THEFT, LOSS, INACCURACY, OR DESTRUCTION OF INFORMATION OR DATA COLLECTED, STORED, DISTRIBUTED, OR MADE AVAILABLE VIA THE PRODUCTS AND SERVICES, INSTITUTION'S USE OR INABILITY TO USE THE PRODUCTS AND SERVICES, ANY CHANGES TO OR INACCESSIBILITY OF THE PRODUCTS AND SERVICES, ANY DELAY OR FAILURE OF THE SERVICES, OR FOR LOST PROFITS, OR COSTS OF PROCUREMENT OF SUBSTITUTE GOODS OR SERVICES, EVEN IF OCLC HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES. IN ANY EVENT, OCLC'S LIABILITY TO INSTITUTION FOR ANY REASON AND UPON ANY CAUSE OF ACTION WILL BE LIMITED TO THE AMOUNT INSTITUTION ACTUALLY PAID OCLC FOR THE INDIVIDUAL IMPLICATED OCLC PRODUCTS OR SERVICES COVERED UNDER THIS AGREEMENT OVER THE 12 MONTHS PRIOR TO WHICH SUCH CLAIM AROSE. THIS LIMITATION APPLIES TO ALL CAUSES OF ACTION IN THE AGGREGATE, INCLUDING, BUT NOT LIMITED TO, BREACH OF CONTRACT, BREACH OF WARRANTY, NEGLIGENCE, STRICT LIABILITY, MISREPRESENTATIONS, AND OTHER TORTS. FEES UNDER THIS AGREEMENT ARE BASED UPON THIS ALLOCATION OF RISK. THIS SECTION WILL NOT APPLY TO DAMAGES THAT CANNOT BE LIMITED OR EXCLUDED BY LAW (IN WHICH EVENT THE LIABILITY SHALL BE LIMITED TO THE FULLEST EXTENT PERMITTED).

## Section 10 Use of Products and Services

### 10.1 Institution Data

- a) **Ownership.** Institution, and/or its suppliers and affiliates, retains all right, title and interest (including, without limitation, all proprietary rights) to Institution Data, except for rights granted to OCLC and its affiliates under this Agreement. Institution is solely responsible for the accuracy, completeness, and legality of Institution Data. Institution is responsible for obtaining all permission and other rights necessary to provide Institution Data to OCLC. Institution will not provide OCLC with Institution Data that Institution does not have the right to provide for use in connection with the Products or Services.
- b) **License Rights.** Institution grants OCLC a global, non-exclusive, royalty-free, transferable and sub-licensable right to use the Internal Data to the extent necessary for the provision of the Products and Services. Institution grants OCLC, OCLC participants, non-participant users, and OCLC designees a global, perpetual, non-exclusive, royalty-free, transferable, and sub-licensable right to host, reproduce, transmit, store, publish, distribute, modify, create derivative works from, and otherwise use Shared Data. Institution Data shall be supplied to OCLC in a format compatible for use with the Products and Services.

**10.2 Confidentiality.** Institution agrees to maintain the confidentiality of OCLC’s pricing information for 3 years from receipt by Institution. It shall not be a violation of this section to disclose information as required by applicable law (including public records acts), valid court order, or legal process.

### **10.3 Acceptable Use Policy (“AUP”)**

- a) **General.** Institution agrees not to use, and not to allow third parties including users to use the Products or Services: (a) to distribute viruses, worms, Trojan horses, corrupted files, or other items of a destructive or deceptive nature; (b) to engage in or promote any unlawful, invasive, infringing, defamatory, or fraudulent activity; (c) to violate, or encourage the violation of, the legal rights of others; (d) to interfere with the use of a Product or Service, or the equipment used to provide Products or Services; (e) to use the Products or Services, or any part thereof, in a manner that violates the terms of service of any other Products or Services; (f) to generate, distribute, publish or facilitate unsolicited mass email, promotions, advertisements or other solicitations (“spam”); (g) to alter, reverse-engineer, interfere with, circumvent, copy, or create a derivative work of, any aspect of the Product or Service (except with the express, written consent of OCLC or applicable law specifically prohibits this restriction); (h) to omit, obscure or hide from any user any notice of a limitation of warranty, disclaimer, copyright, patent, trademark, trade secret or usage limitation or any splash screen or any other terms or conditions intended to be displayed to a user by OCLC or OCLC supplier; or (i) to post, send, or make available software or technical information in violation of applicable export controls laws. Institution agrees that OCLC is authorized to monitor communications into and out of the System to prevent the introduction of viruses or other hostile code, to prevent intrusions, provide support, and to otherwise enforce the terms of this Agreement. Institution agrees to reimburse OCLC for all reasonable and verifiable costs associated with OCLC’s compliance with governmental requests relating to Institution or Institution Data, including, but not limited to, warrants, subpoenas, and judicial orders. Notwithstanding the foregoing and to the extent permitted by law and law enforcement, OCLC will make reasonable efforts to notify Institution when a disclosure of Institution Data has or is to be made.
- b) **Credentials.** Institution shall exercise all commercially reasonable efforts to prevent unauthorized use of the Products and Services and is solely responsible for any and all use, including unauthorized use, of the Products and Services initiated using Institution’s credentials. Institution shall immediately notify OCLC of a suspected or actual loss, theft or disclosure of any credentials and of any unauthorized use of a Product or Service. Should OCLC become aware of unauthorized use of Institution’s credentials or unauthorized access to a Product or Service, OCLC may notify Institution and deactivate affected credentials. OCLC will provide Institution with administrative credentials to access and use the applicable Product or Service. Institution is responsible for authorizing user access to the Products or Services, assigning privileges, and creating, maintaining, and terminating accounts.
- c) **Enforcement by OCLC.** OCLC reserves the right to: (i) investigate any violation of this AUP or misuse of Products or Services; (ii) enforce this AUP; and (iii) remove or disable access, screen, or edit any Institution Data that violates these provisions. Without limitation, OCLC also reserves the right to report any activity (including the disclosure of appropriate Institution Data) that it suspects violates any law or regulation to appropriate law enforcement, regulators, or other appropriate third parties. OCLC may cooperate with appropriate law enforcement by providing network and systems information related to allegedly illegal or harmful content. VIOLATION OF THIS AUP MAY RESULT IN THE SUSPENSION OF OCLC SERVICES AND SUCH OTHER ACTION AS OCLC REASONABLY DEEMS APPROPRIATE. REPEATED OR WILLFUL VIOLATION OF THIS AUP MAY, IN OCLC’S SOLE DISCRETION RESULT IN THE TERMINATION OF THE AGREEMENT, ANY SCHEDULE, OR OCLC SERVICE.

## **Section 11 Warranties**

OCLC warrants that any Professional Services will be performed in a professional and workman-like manner and that, when operated in accordance with the Product Description, the Products and Hosted Services will be capable of performing substantially in accordance with the functional specifications set forth in such Product Description. If any Products or Services fail to comply with the warranty set forth above, OCLC will make reasonable efforts to correct the noncompliance provided that OCLC is given notice of the noncompliance within 30 days and OCLC is able to reproduce the noncompliance. If OCLC is unable to correct the noncompliance, Institution may terminate the Schedule for the relevant Product or Hosted Service in accordance with Section 5.2(c) and, as its sole remedy, will be entitled to a refund of an equitable portion of fees paid for the relevant Product or Hosted Service after such noncompliance was reported. OCLC and Institution each warrant that its entry into this Agreement does not violate any other agreement to which it is a party, and that its performance under this Agreement will be in conformance with all applicable laws and government rules and regulations. Institution warrants that it possesses all rights necessary to enter into this Agreement and grants the rights described in this Agreement such that OCLC will not infringe upon or otherwise violate any intellectual property rights or other rights of a third party or violate any laws by exercising the rights and licenses granted under this Agreement. To the extent permitted by law, Institution hereby indemnifies OCLC from any such claims in this respect.

## **Section 12 General**

**12.1 OCLC Membership.** As a subscriber to OCLC’s Services and Products as described in this Agreement, Institution – and each library owned or operated by Institution – may be eligible for membership in the OCLC cooperative. Membership qualifications for the OCLC cooperative can be found at <http://www.oclc.org/content/dam/oclc/membership/Membership-Criteria-FY15.pdf>. If Institution’s subscription qualifies it as a member, Institution permits OCLC Member Relations to contact its library staff directly in separate communications, to provide new member information regarding voting and updates, Member groups, councils, and events, for OCLC Global and Regional Councils specific to Institution’s region. As a member, Institution agrees to abide by the requirements and policies applicable to OCLC members.

- 12.2 No Assignment.** Institution may not assign, without the prior written consent of OCLC, any rights, duties, or obligations under this Agreement to any person or entity, in whole or in part.
- 12.3 Independent Contractors.** The relationship of the parties is that of independent contractors, and no agency, employment, partnership, joint venture, or any other relationship is created by this Agreement.
- 12.4 Force Majeure.** Neither party shall be responsible for losses or damages to the other occasioned by delays in the performance or the non-performance of any of said party's obligations (other than the obligation to make payments when due) when caused by acts of God, acts of the other party or any other cause beyond the control of said party and without its fault or negligence.
- 12.5 Non-Waiver.** A failure or delay in enforcing an obligation under this Agreement does not prevent enforcement of the provision at a later date. A waiver of a breach of one obligation does not amount to a waiver of any other obligation, and it will not prevent a party from subsequently requiring compliance with that obligation.
- 12.6 Severability.** If any provisions of this Agreement shall be found by any court of competent jurisdiction to be invalid or unenforceable, the invalidity or unenforceability of such provision shall not affect the other provisions of this Agreement.
- 12.7 Entire Agreement.** This Agreement and any Schedules constitute the complete agreement between the parties and supersedes and replaces all prior agreements, oral and written, between the parties relating to the subject matter of this Agreement. If Institution's accounting representatives require the use of a purchase order to facilitate payment for Products and Services contemplated in this Agreement, Institution agrees any and all terms and conditions contained in such purchase order are null and void, and do not apply to this Agreement. OCLC will provide invoices in response to purchase orders solely to facilitate payment and for the convenience of Institution; in no case, however, will OCLC's issuance of an invoice constitute an acceptance of terms contained in a purchase order. OCLC provides Services and Products to Institution solely pursuant to this Agreement; OCLC shall never provide Services or Products pursuant to, or as a result of, a purchase order. Except as otherwise provided herein, this Agreement may not be amended or supplemented except in a writing duly executed by both parties.
- 12.8 Notice.** Except as stated elsewhere in the Agreement all notices shall be in writing and shall be deemed sufficient if (a) received by a party via e-mail to the e-mail address for such party set forth in Section 1, (b) delivered by hand, or (c) sent by certified or registered mail, return receipt requested, to the address for such party set forth in Section 1, or to such other address as has been furnished by means of a notice given in accordance with this Section.

*Notice Address for OCLC:*

*OCLC*

*6565 Kilgour Place*

*Dublin, Ohio 43017-3395*

*FAX: 614-764-0740*

*Attention: Legal Department*

*E-mail: [legal@oclc.org](mailto:legal@oclc.org)*

- 12.9 Counterparts.** This Agreement may be executed in counterparts and/or via facsimile transmission or electronic copy, any one or form of which will be deemed to constitute an original, but all of which will constitute one instrument.

### **Section 13 Special Terms for Group Orders Only**

Where a lead institution in a consortium (the "Group Administrator") is ordering on behalf of itself and other consortium members, Section 13 applies:

- 13.1 Ordering.** Group Administrator may order the Service on behalf of consortium members by completing the relevant portions of the agreed upon pricing or order document and agreeing to this Agreement. Group Administrator also orders and allocates authorizations and passwords for the Service on behalf of consortium members listed on the agreed upon pricing or order document. Group Administrator is not a buyer of the Service for resale. Any material change in group membership or group participation may result in commensurate changes in the fees for the applicable Service.
- 13.2 Consortium Member's Agreement.** Group Administrator warrants, as the consortium agent, that it is authorized to and hereby binds consortium members to this Agreement and shall indemnify OCLC from all loss, expense and damage arising from a breach of such warranty. Group Administrator shall provide each consortium member with a copy of this Agreement prior to Product and Service activation. Each order for consortium members shall constitute a binding contract between OCLC and the consortium member.
- 13.3 Payment by Group Administrator.** Group Administrator shall be liable for paying to OCLC all charges and applicable taxes for consortium members for the Products and Services in accordance with the terms of this Agreement.
- 13.4 Non-exclusivity.** Nothing herein shall limit OCLC's right to distribute any Products or Services independent of Group Administrator.

## ATTACHMENT A – OCLC SERVICE LEVEL AGREEMENT

This Service Level Agreement sets forth the service level and performance objectives of OCLC in providing the Hosted Services (as listed in Section 1 of this SLA) to Institution (the "Systems"). OCLC will use commercially reasonable efforts to meet the following service level and performance objectives to support the operation of the Systems.

### 1. Covered OCLC Services

This SLA applies only to Hosted Services that are: (1) listed below; and (2) subscribed to by Institution.

WorldShare Acquisitions  
WorldShare Circulation

WorldCat Discovery Services  
Hosted CONTENTdm  
Hosted EZproxy  
WorldShare Interlibrary Loan  
WorldShare License Manager  
WorldShare Collection Manager  
WorldShare Record Manager  
Tipasa

### 2. Uptime Commitment

OCLC will use commercially reasonable efforts to ensure that the Hosted Services are available 99.5% of the time (the "Uptime Commitment"). Availability will be measured as follows:

- Availability = (T-D)/(T) \* 100%
- T = the total number of minutes in the respective month.
- D = the total number of minutes of downtime in the month excluding planned outages for scheduled maintenance, telecommunications or power disruptions caused by third parties, any other causes beyond OCLC's reasonable control, and excluding other times described herein.

OCLC will notify Institution promptly of any factor, occurrence, or event coming to its attention likely to affect OCLC's ability to meet the Uptime Commitment, or that is likely to cause any material interruption or disruption in the Hosted Services.

Scheduled maintenance may occur any Sunday during a 4-hour window and may occasionally be extended. Notice of scheduled maintenance shall occur 3 days prior to scheduled downtime. In the event planned emergency maintenance is required, OCLC will make commercially reasonable efforts to notify Institution in advance.

### 3. Systems Management

**3.1 Monitoring.** OCLC will monitor and maintain the Systems in working order each day (24 x 7). OCLC will proactively manage and monitor all application server hardware devices and software to ensure optimal performance and reliability as well as to detect abnormal events or exceeded utilization or performance thresholds.

**3.2 Maintenance.** OCLC will operate, monitor and administer all servers, applications and networks supporting the OCLC Services. In order to provide such coverage, OCLC may utilize a mixture of on-site and on-call support staff, automated server monitoring and automated paging technology.

**3.3 Change Control.** OCLC will install new equipment, software, releases, upgrades, fixes, patches and other items necessary to maintain the Systems to industry standards. OCLC will proactively gather information from appropriate server, peripheral, operating system or database vendors regarding upgrades, defect patches or fixes.

**SCHEDULE 2**  
**WorldShare Metadata/ OCLC Cataloging**

**DESCRIPTION**

OCLC's cataloging and metadata services give Institution the tools needed to effectively manage the metadata for Institution's collection.

**DEFINITIONS**

- A. "Guidelines" means the "Guidelines for Contributions to WorldCat" as modified from time to time. A current copy of the Guidelines is available at: <http://www.oclc.org/worldcat/community/guidelines.en.html>
- B. "Policy" means the "WorldCat Rights and Responsibilities for the OCLC Cooperative" as modified from time to time as a result of the policy review process described therein. A current copy of the Policy is available at: <http://www.oclc.org/en/worldcat/cooperative-quality/policy.html>.
- C. "Principles" means the WorldCat Principles of Cooperation as modified from time to time. A current copy of the Principles is available at: <http://www.oclc.org/worldcat/community/principles.en.html>
- D. "WorldCat Data" is defined as set forth in the Policy.

All capitalized terms not defined herein shall have the same meaning ascribed to them in the Master Services Agreement.

**ADDITIONAL TERMS AND CONDITIONS**

- 1) **Responsibilities of Institution**
  - A. Institution shall create bibliographic records and related data for entering information into WorldCat consistent with the Guidelines maintained by OCLC and its advisory groups.
  - B. Institution using the Systems for cataloging agrees to abide by the Principles and the Guidelines.
  - C. Institution agrees that the use and transfer by the Institution of WorldCat Data is subject to the Policy.
  - D. If, during the term hereof, an Institution informs OCLC that bibliographic records it furnishes to OCLC for addition to WorldCat will be subject to usage or transfer restrictions beyond or in addition to those applicable under this Schedule, and if OCLC nevertheless elects to accept such records for addition to WorldCat, OCLC will so notify Institution, after which Institution's rights to access, use and transfer such records will be subject to said usage and transfer restrictions.



**Initials:** \_\_\_\_\_ **Date:** \_\_\_\_\_



**SCHEDULE 3**  
**WorldCat Discovery Services**

**DESCRIPTION**

WorldCat Discovery Services is a suite of cloud-based applications that enable people to search WorldCat® and discover more than 2 billion electronic, digital and physical holdings in a single search.

**Additional Terms and Conditions:**

All capitalized terms not defined herein shall have the same meaning ascribed to them in the Master Services Agreement.

**1) Discovery Service:**

- a. The Bibliographic Data, Holdings Data, OCLC and/or 3<sup>rd</sup> party databases and other content available through the Service may change from time to time and are subject to OCLC and/or third-party claims of copyright and other rights and may be subject to supplemental terms and conditions. The Product Description, documentation, features and/or functionality of the Service, and/or the WorldCat.org service may also change from time to time. In the event any such change materially reduces Institution's rights with respect to the Service or the WorldCat.org services Institution may terminate this Schedule by providing written notice to OCLC. Certain databases may only be accessed if Institution subscribes to that database through a third party.
- b. Bibliographic Data may not be stored other than temporarily as required for use authorized by the Agreement and shall not be otherwise transferred, or accessed by any other person not an Authorized User.
- c. Use of the Service for cataloging purposes is expressly prohibited. Institution may not resell the Service or the Bibliographic Data or other content accessible through the Service.
- d. Certain parts of the Service function properly only when interacting with a local library system which is compatible with and supported by the Service. A list of local library systems which are compatible with and supported by the Service is available from OCLC. Prior to placing its order, Institution should verify that its local library system is compatible with and supported by the Service.
- e. In the event Institution's local library system is or becomes incompatible with or unsupported by the Service at any time during the term of this Agreement OCLC may if requested by Institution make reasonable efforts to resolve the issue at OCLC's then current rates. If such efforts are unsuccessful OCLC or Institution may terminate this Schedule upon written notice to the other party.

**2) Third Party Database Terms:**

- a. **British Library Database.** Bibliographic Data made available from the British Library is licensed solely for non-commercial use. For the purpose of this Section "Non-Commercial Use" means internal or personal use solely for the purpose of resource discovery, learning, teaching, academic, or scientific research, private study, verification of bibliographic information, and/or the identification of materials to be ordered via interlibrary loan, from document vendors, or from other sources from which materials may be acquired, and specifically excludes transmission, selling on, redistribution or circulation of any form outside of Institution's organization or use in violation of the Agreement.
- b. **National Library of Medicine (NLM Database).** Organizations or institutions may download NLM-produced citations and reuse these records within their organization or institution. NLM suggests that organizations limit the number of records to 1,000 per month. Since NLM makes corrections and enhancements to and performs maintenance on these records at least annually, you should plan to replace or correct the records once a year to ensure that they are still correct and searchable as a group.

NLM databases are produced by a U.S. government agency and as such the contents are not covered by copyright domestically. They may be copyrighted outside the U.S. Some NLM produced data is from copyrighted publications of the respective copyright claimants. Users of the NLM databases are solely responsible for compliance with any copyright restrictions and are referred to the publication data appearing in the bibliographic citations, as well as to the copyright notices appearing in the original publications, all of which are incorporated by reference. Users should consult legal counsel before using NLM-produced records to be certain that their plans are in compliance with appropriate laws.



**Initials:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**SCHEDULE 6**  
**CONTENTdm®**

**DESCRIPTION**

**CONTENTdm** is used by an Institution to build and publish their unique collections on the Web.

**ADDITIONAL TERMS AND CONDITIONS**

All capitalized terms not defined herein shall have the same meaning ascribed to them in the Master Services Agreement.

- 1) Subject to this Schedule and the Agreement, OCLC will provide Institution the Products and Services as specified in the CONTENTdm Order Form.
  
- 2) **Adobe.** Institution acknowledges that Adobe is the owner of certain proprietary information and intellectual property rights included in the Adobe products and the documentation. Adobe is a third party beneficiary entitled to enforce OCLC's rights and Institution's obligations hereunder and to seek appropriate legal and equitable remedies, including but not limited to, damages and injunctive relief, for Institution's breach of such obligations. In any dispute in which Adobe is a properly named party, this Schedule will be governed by and construed in accordance with the substantive laws in force in the state of California and the courts of Santa Clara County, California shall have non-exclusive jurisdiction over any such dispute.



**Initials:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**SCHEDULE 14**  
**WorldShare Interlibrary Loan Services (ILL)**

**DESCRIPTION**

WorldShare Interlibrary Loan is a resource sharing network to lend and borrow resources which allows users to quickly obtain global library content located in Institution's collections and the collections of other ILL libraries around the world. WorldShare Interlibrary Loan simplifies tasks such as sharing of e-resources, automating request and entry processes, managing ILL fees, analyzing borrowing and lending patterns, and delivering documents easily and securely through Article Exchange.

**ADDITIONAL TERMS AND CONDITIONS**

All capitalized terms not defined herein shall have the same meaning ascribed to them in the Master Services Agreement.

Subject to this Schedule and the MSA, OCLC will provide Institution with the Products and Services as specified in the ILL agreed upon pricing document.



**Initials:** \_\_\_\_\_ **Date:** \_\_\_\_\_