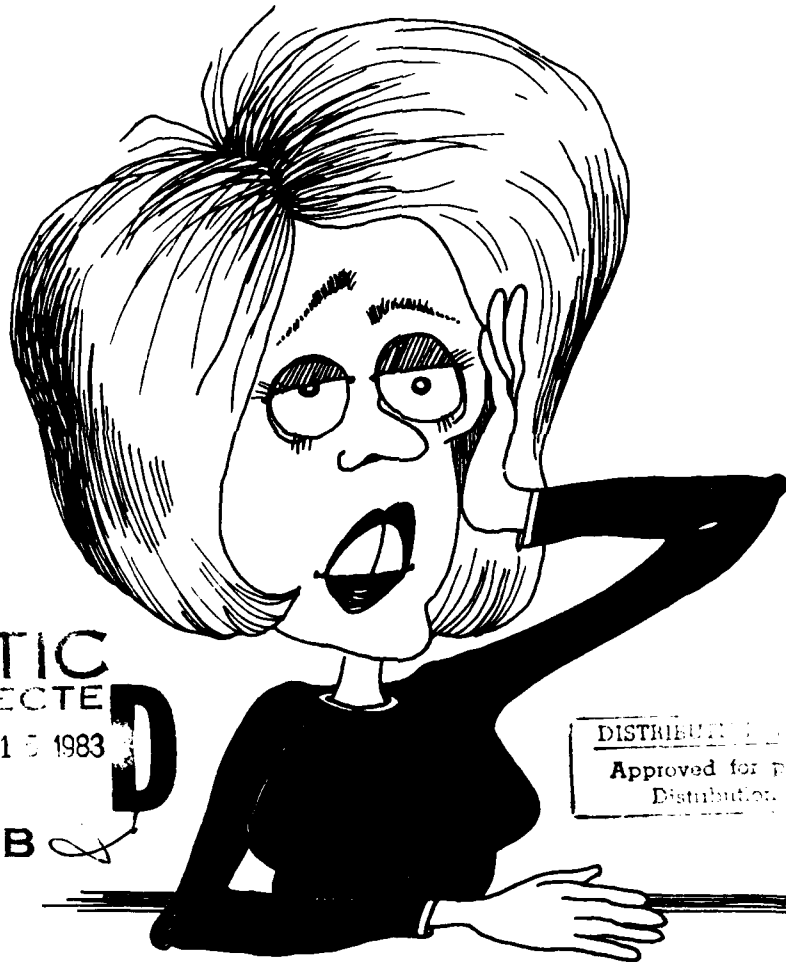


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Advanced RFP Writing



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*The Quick Way to
Lose Your Health & Sanity*

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Paper describes the acquisition process for Army libraries from conception of the idea to installation of the system. Detailed are the AR 18-1 documentation requirements, information to be included in the RFP, and papers required by procurement.		

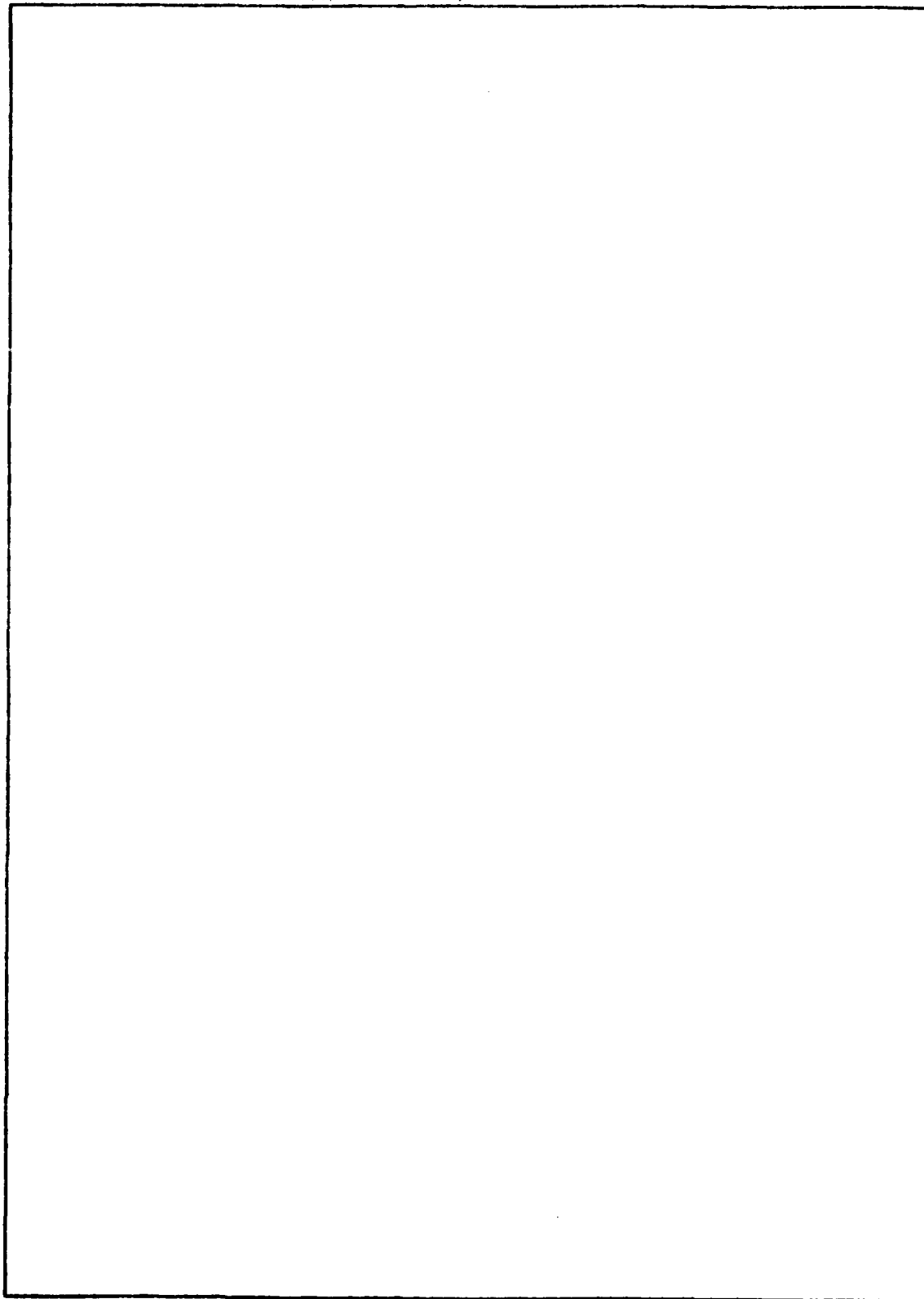
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ADVANCED RFP WRITING

or

The Quick Way to Lose Your Health & Sanity

VU #1

The stated topic of this mini-session is "Advanced RFP Writing". I have expanded this to include information from the conception of the idea through the procurement of the system. You will notice that this session is subtitled "The Quick Way to Lose Your Health and Sanity". The ADP acquisition process is long and complicated and at times seems designed to try the individual's patience and perseverance.

VU #2

During this session you will be given a general overview of the ADP acquisition process, the documentation required for acquisition, what the RFP should contain, and what happens once the RFP is completed. Finally, we'll touch on some of the lessons learned from the implementation of one concept for library automation.

Three years ago, at the 1980 Army Library Institute, in a moment of temporary insanity, I proposed to TRADOC that the libraries on the White Sands Missile Range, NM and Ft Bliss, TX be networked into an automated circulation system and on-line catalog. TRADOC, taking advantage of my aberrant behavior, approved the idea, little knowing the headaches and trying times ahead.



The network was named CIRCANET (Ft Bliss/White Sands Automated Circulation System and On-Line Catalog) and involves seven libraries and a technical processing center. Three major types of libraries, i.e., post, school, and technical, are represented as well as two major commands - DARCOM and TRADOC. The Department of the Army has mandated that the Integrated Library System (ILS) software be used for this system. CIRCANET is in the procurement channels with the solic-

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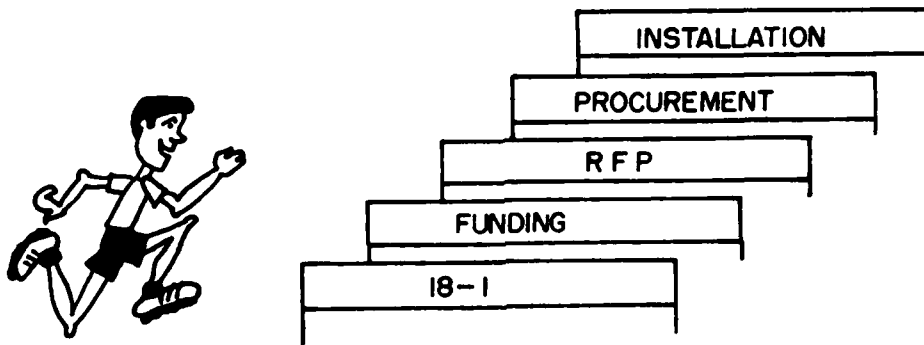


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itation request due soon. Because of these years as project manager of CIRCANET, I was asked to lead this session. What you will receive is hard won experience, since I've had no formal training in contracting or RFP writing.

VU #3

Shown in this vugraph are the major milestones or "roadblocks" to installation of an automated system. In the parentheses are the best guesstimates of the amount of time required for each step. This time is directly proportional to the size of the system and the number of management levels that are required to participate in the process. The most time-consuming steps are the approval documentation and the RFP.



VU #4

Once a library has determined that automation is the only way it can keep its head above water and give the patron the best service possible, a concept paper should be prepared. The concept paper forces the librarian to solidify what is required and establishes a vehicle for communicating this requirement to management. The information in the concept paper will be used as the building stone for the documentation required by AR 18-1. Three major points should be outlined by the paper:

- (1) A general description of the system and its basic requirements,
- (2) The justification or need for the system,

(3) The proposed phases and timeframe for acquisition.

VU #5

The automation life cycle is basically composed of four milestones with the Mission Element Need Statement (MENS) as milestone 0 and the System Decision Paper (SDP), with its revisions, being milestones 1-3. The final milestone, number 4, is the operational system and its revision. There are two documents that will be heartily despised before an automation project is completed:

- (1) AR 18-1, Army Automation Management, 15 Aug 80.
- (2) TB 18-100, Army Automation Life Cycle Management, Aug 81.

VU #6

Once management has approved the concept paper, milestone 0 is reached and a MENS may be required by the MACOM. TB 18-100, Appendix B, gives the format for this document. The MENS is a management tool which contains a very brief synopsis of the project. It should be written from the management point of view rather than the technical library point of view. A first associated document, which is a first associated document giving the originating agency, project name, project milestones, general functions of the system, location, proposed method of acquisition, and projected costs. The format for the Summary Sheet is in TB 18-100, Appendix D.



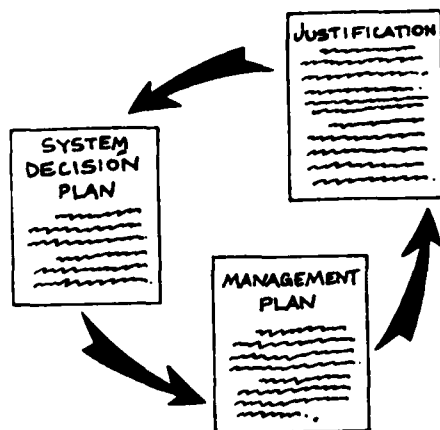
The MENS itself contains six major sections and should be no more than five pages in length. Its first major section is the MISSION. The missions and functions of the library(s) that will be impacted by the system will be listed here with the method in which the system will change it. The mission areas should reflect the published missions and functions statement of the library(s). The BASIS FOR NEED is a bibliography of regulations, studies, articles, etc. which document the requirement for the performance of the mission. The third section,

EXISTING AND PLANNED CAPABILITIES TO ACCOMPLISH THIS MISSION, is a concise statement of how the mission areas are being performed at the present time. The ASSESSMENT OF NEED gives the inadequacies of the present system. Be brief; great detail is not needed. Next, list all those occurrences which could impact the acquisition and implementation of the project under CONSTRAINTS. The final section is a projected RESOURCE AND SCHEDULE TO MEET MILESTONE 4. The MENS has to be submitted by the MACOM to HQDA for systems with certain dollar thresholds. If no response is received from DA within 15 days of submission, the MENS has been approved. The MACOM may not require a MENS for systems under \$100,000.

Once the MENS has been approved, a project manager (PM) is appointed. For CLASS IV systems and above, the MACOM will appoint the project manager. At the same time the project manager is appointed, a PM Charter is drafted and coordinated with all participating organizations. This charter contains the specific authority and responsibilities of the project manager for getting the system developed and installed.

VU #7

Once the MENS has been approved and the PM appointed, it is time to tackle THE major approval documents. These documents are:



- (1) The System Decision Paper (SDP),
- (2) The Management Plan (MP), and
- (3) The Justification to Acquire Specified ADP Equipment (the acquisition plan).

These documents are better known as the 18-1 documentation. Not all of documents may be required for the system the library(s) are proposing, so check with the Automation Management Office (AMO) before proceeding with the approval documentation.

For approval purposes, computer systems are divided into five

classes, based on cost and extent of the system. AR 18-1 defines these classes. Most library systems will either be a CLASS V or CLASS IV system.

CLASS V systems are local and cost less than \$100,000. Depending on the local approval threshold, systems in CLASS V may need only local approval or a maximum of MACOM approval. Also, CLASS V systems may not be required to complete the SDP or MP. CLASS IV systems which are local in nature with a cost between \$100,000 and \$300,000 will need MACOM approval. The majority of library systems will fall in this area. If the system costs exceed \$300,000 or involve more than one command, your troubles have just begun. These CLASS IV approvals must wind their way through channels to the Office of the Secretary of the Army for Installations, Logistics and Financial Management. CIRCANET went this route and it took exactly 18 months to the day from the date of submission to the date of approval. I have been told that this was quick.

VU #8

The System Decision Paper is the primary documentation for obtaining approval at milestones 1 - 3. It summarizes the project with the alternatives being considered and the progress to date. It records management decisions during the development of the system. Appendix C, TB 18-100, contains the format for the SDP. The SDP can't exceed 10 pages including appendices. REMEMBER, it is a management tool, not a technical paper. These SDPs are submitted to the approval authority which for CLASS IV systems will probably be the MACOM.

VU #9

Prepared by the PM in conjunction with the SDP, the Management Plan (MP) is the primary management document used to control the development of the project. This is not a static document which is automatically submitted for review and approval. The Management Plan initially provides the course of action and method of execution as well as naming the participating agencies. Since detailed data and schedules will not be available in the initial document, the MP is prepared in looseleaf form and updated as the data becomes available. For the MP format see Appendix E, TB 18-100. The basic sections of the MP are:

- (1) A brief description of what the project is about,
 - (2) A clear, concise statement of the tasks or goals of the project,
 - (3) The organization information on the participating entities,
 - (4) The proposed major method(s) or step(s) from conception to operation (the execution plan),
 - (5) Who is funding what,
 - (6) The point(s) of contact with phone number(s) and address(s),
- and
- (7) Annexes such as a telecommunications plan, security plan, economic analysis, software design and development plan, etc.

While the MP is not an approval document, when the acquisition plan is prepared, the material in the MP can be referenced rather than reported. The telecommunications plan will be required if terminals are to be located outside the building housing the computer. Also, just because the data in the computer is unclassified, don't neglect a security plan. AR 380-380 clearly states that there will be a system security officer for each ADP system.

The format of the economic analysis is in TB 18-109. At the time the CIRCANET documentation and economic analysis was written, this guidance was not available. Fortunately, I worked for an Activity which performs cost analyses. An analyst was assigned to the library project to assist in the economic analysis and to develop a simple method which any library could use. This method is documented in Appendix A of TRASANA TR 26-81 and is available from NTIS under AD A110 307. This format may be used in conjunction with TB 18-109 to prepare the economic analysis.

VU #8

Two documents are required for the Army ADP acquisition approval:

- (1) The Justification to Acquire Specified ADP Equipment (the acquisition plan) and
- (2) The economic analysis.

The format for the acquisition plan is in Appendix I, TB 18-100 and

will be used for all acquisitions in excess of \$50,000. There are three major sections in the acquisition plan:

- (1) The identification of the responsible organization(s), individual(s), and participating organization(s),
- (2) A description of the system required and the alternatives considered, and
- (3) A detailed justification.

The acquisition plan together with the economic analysis from the Management Plan, must be submitted to the MACOM or local approval authority. Until this plan comes back approved, procurement will not accept the RFP.

In August 1981, new guidelines for approval documentation were issued. These guidelines added the PM charter as well as the functional and management documents to the acquisition documentation requirements. CIRCANET was submitted under the old guidelines which means that the acquisition plan and the economic analysis were one document instead of two and no System Decision Paper or Management Plan were required.

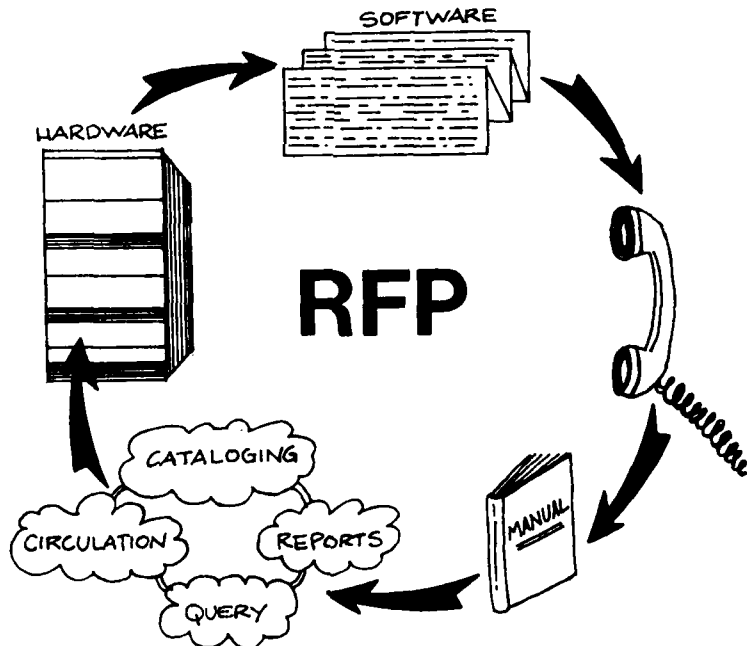
VU #10

For CLASS IV systems over the \$300,000 threshold, an additional document is required for procurement - the GSA *Delegation of Procurement Authority* (DPA). To acquire a DPA, an Agency Procurement Request (APR) must be prepared and submitted at the same time as the acquisition plan. Appendix G, TB 18-100, contains the format for the APR. Of the information required by the APR, the most interesting is the Software Conversion Study. This study describes the software of the system and delineates alternative approaches and what these approaches would cost. For example, ILS is written in MIIS, so an alternative would be to convert ILS to COBOL. This conversion cost is the meat of the Software Conversion Study. The format for the Software Conversion Study is in the Federal Procurement Regulations, 2nd edition, amendment 211, dated December 1980, part 1-4, sections 1109-13 and 1109-14.

VU #11

Once the 18-1 documentation and funding have been submitted, it is time to tackle one of the most difficult documents you will ever have to

write - the Request for Proposal (RFP). The RFP is the document which tells interested vendors exactly what is required and solicits a response of what can be supplied and what it will cost. The RFP can be written in general or specific terms. If you are knowledgeable about the available systems and know that each will fulfill your requirements, then be general. If you are like we were, unsure of the intricacies of the available systems, spell out your requirements specifically. The RFP should contain the minimum basic requirement for the system. DON'T include any desirable items. Keep in mind that the RFP becomes part of the contract and that you cannot hold a contractor to anything that is not in the contract. While writing the RFP, remember that the person reviewing the RFP will probably not be a librarian; so DON'T assume that the reviewer will know standard library operations and terms. Shown on this vugraph are the major areas which need to be considered when writing an RFP, regardless of which library area is being automated.



VU #12

An RFP of any appreciable size will need either a fairly detailed table of contents or an index. This table or index becomes more and

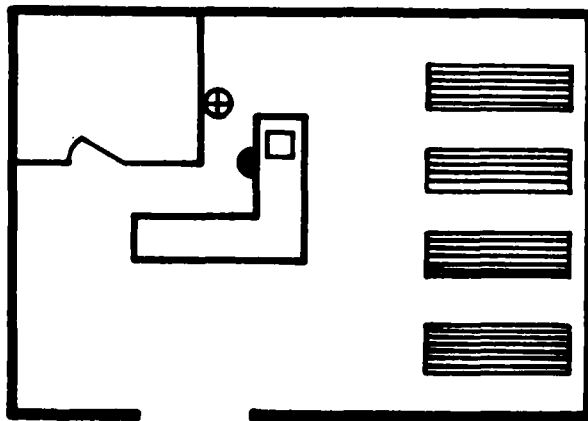
more valuable to the individuals working on the RFP as revisions are made, items are shifted around, removed, replaced, etc. Also, a table of contents makes a handy checklist to see if any important areas have been left out.

The preliminary pages may need to include a statement of the evaluation factors and the weight of each factor in the evaluation plan. The need for this narrative depends on the type of RFP being prepared. Contracting will define whether the evaluation factors are required. The evaluation plan will be discussed further on in this paper.

VU #13

One of the best methods of beginning an RFP is to give the vendor a description of the automation project and participants. Include in this section information about the library(s) involved, who they are, where they are located, what type of clientele they serve, and what they expect to obtain from the automation effort. In order for the vendor to determine the magnitude of the system required, include some statistics about the library(s) such as the number of patrons, the number of titles in the collection, the annual acquisition rate, and the number of items circulated in a year.

Orient the vendor to the library(s) by including maps showing the location of the library(s) on the installation; if terminals are to be located outside the library, pinpoint the buildings in which they will be located. Include floor plans which show the proposed terminal and computer locations in relation to the closest electrical outlet and



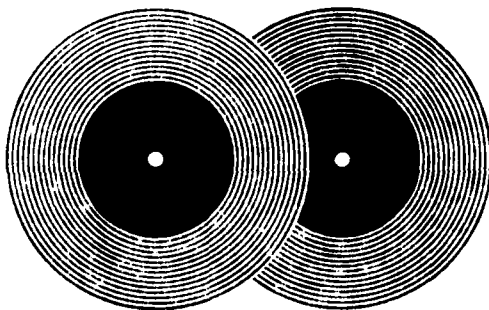
telephone junction box. The maps and floor plans must be drawn to scale so that the vendor can utilize them to help determine the amount of cabling required.

Another item which is helpful for getting your requirements across to the vendor is a flowchart of the general system requirements. If you will look at item 2 in the samples handout, there is a very general flowchart showing basic functions and information that might be required for a circulation system and catalog. Note the various symbols. Each of these symbols denotes a type of operation or data to a computer programmer. Also, note that the information required is called "data" not "files". The reason for this is that if you call them files, you are designing the system they would be required to furnish. You can buy the templet for drawing these flowcharts at any office supply store or through supply channels if there's no hurry.

One other type of information should be included in this opening section - general information that is required with the bid. This information can include: company financial statements, vitae on personnel who will work on the system, points of contact with operational systems, etc. REMEMBER, this first section is the introduction; include here anything that the vendor might need to know about the organization(s) involved and their requirements.

VU #14

There are various types of information or records that a library requires. One of these records is the bibliographic record. The RFP needs to answer several questions regarding these records:



(1) Are the records in machine-readable format? If so, what format was used in establishing the records? Are they MARC, OCLC MARC, NLM, etc.?

(2) What classification

system and subject authority does the library use?

(3) Will the full record be needed or an abbreviated record?

(4) In what format will the record(s) be furnished to establish the system and to update it? If on magnetic tape, what language and tape speed will be used?

Any library-unique modifications or expansions to established formats should be mentioned here and delineated in detail in an appendix. An example of an appendix delineating a library-unique modification is sample number 3 in the handouts. This sample describes the format that TRALINET has established for the 049 field.

Three distinct types of records are needed for circulation transactions: Patron, Item, and Status. The patron record basically reflects the demographic information required by the library for each patron. Item records contain information that would be kept on the shelflist about each item in the library. The status record is information unique to each item, e.g., the bar-code or OCR number, the location of the item, the list of people waiting for the item, etc. For each type of record, describe all the information required. Also, indicate where the information will need multiple occurrences, e.g., most libraries have more than one type of patron. If possible, state how many categories would be needed with the multiple occurrence information.

Another type of record which could be required is a temporary record. This is a record with skeletal information which could be used for circulation of uncataloged items, items on-order or wanted. Again, list the information that should be available in the record. The only other type of information that might be considered for this section are the workforms required to enter new records and data.

VU #15

The third section describes the functions the system must perform. For a circulation system, three major functions should be considered: circulation, inventory control, and cataloging. Within the circulation

area, list EXACTLY what operations are to be performed and in what manner. A good introduction to each subfunction is to define the process, e.g., the renewal function is the process for extending the date due for library materials upon a patron's request. Some things to consider here are:

- (1) How is the item to be charged-out and discharged?
- (2) What type of loan period(s) is to be used, what will be the automatic loan period, and how do you compute it?
- (3) How are renewals to be handled? Are limits on the number of renewals required? If so, what limits?
- (4) Will the library require a hold and/or reserve function and how will it be used?
- (5) How are overdue items to be handled?
- (6) Does the library(s) require the ability to block the use of a function for a particular patron, i.e., if a patron has too many overdue items.
- (7) How should items that have been reported lost or returned be handled?

Another function to consider is patron registration. How is the registration to be accomplished and what kinds of information needs to be retained upon deletion of a patron record?

The inventory control function is the process which allows the physical inventory of the collection through an interface with the automated system. A library may not want this function, but if it is required, the parameters for how it is to be handled and where it is to be used need defining in the RFP.

A cataloging interface is an optional function which may be required for libraries with automated cataloging systems such as OCLC. An example of this interface is the OCLC "black box" that is available with ILS. The box allows the transmission of the bibliographic record to both OCLC and the local system upon enabling the produce key at the

OCLC terminal. If such an option is required, detail how it will be used and what the requirements are.

VU #16

The ability to maintain the files is very important and should be given careful consideration. The method(s) for handling changes to existing records should be defined; also, address what type of editing and data replacement are required to meet the library's needs. Such processes as global replacement of subject headings, corporate authors, etc., replacement of existing records with updated records and correction and changes to patron records need to be included in this area.



VU #17

Once the files have been established, some form of query process needs to be available. If only a circulation system is required, a rudimentary query process may be all that is necessary; but if an on-line catalog is to be available, the query process is very essential and may require extensive capabilities. Determine the required retrieval points. The availability of the authority files to the patron should be considered as well as the requirement for the use of boolean operators/logic. If temporary records have been requested, should they be retrievable from the same retrieval points? Another possible requirement is for printing capability and limiting the quantity of a search. In order for the system to be user cordial, request prompts or help information. Another feature to consider is the ability to browse forward and backward from a specific point in the catalog.

VU #18

A computer can be programmed to spew forth reams of statistics in report formats that no one ever looks at. In considering what types of statistics and reports are required, be very selective and specific. REMEMBER who will read and use these reports! DON'T REQUEST ENOUGH REPORTS TO PAPER THE LIBRARY EACH MONTH.

There are three basic areas where reports could be useful or necessary; patron, circulation, or collection management reports. Some useful patron reports might include: a list of expiring patron cards, inactive patron records, and a list of the overdue notices, especially the final notices. Beside circulation reports by call number and patron type, the library(s) should consider purchase alerts, missing items, and hold or reserve reports. Some of the reports to consider relating to collection management are: the number of items and/or titles added to and withdrawn from the collection, a list of inactive titles, and items found missing during an inventory.

In stating what types of reports are necessary, include the method in which the reports are to be derived, i.e., if yearly totals are needed, specify whether it is by calendar year or fiscal year - if fiscal year, specify months. If cross totals as well as sub-totals are required, say so or you may not get it. BE SPECIFIC!

VU #19 Any automated system must be initialized and have the data converted into a format the system can accept, therefore, a statement needs to be made regarding how the library(s) wants the data and authority files established and, if necessary, what method will be used. This section may be tied into the section on records.

VU #20 The section dealing with software should address both the operating system and the applications programs. With ILS, the MIIS operating system is used and certain options are required:

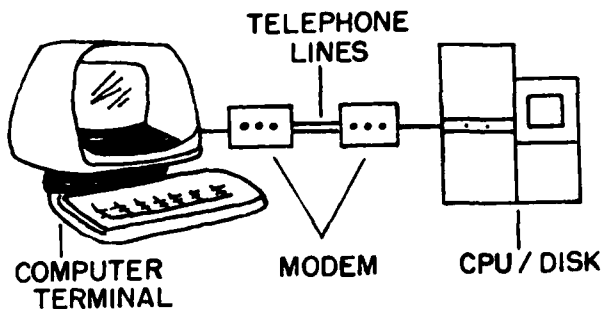
- (1) automatic upper and lower case
- (2) 2048 byte block
- (3) 8-bit code read for diacritics.

A statement should be included that any software developed under the contract and all data are the property of the government. Another area which could be included with the software section is how the library wants the back-up of the system to be accomplished and what

recovery is necessary.

VU #21

In multiple library systems or where remote terminals will be present, a schematic of the suggested telecommunications plan will give



the vendor a quick, graphic representation of the library's perceived requirements. This section should contain information on the types of ports and baud rates of the lines. It should also draw the

line between vendor and government responsibility.

VU #22

The hardware section gives the vendor the baseline of what type of equipment is acceptable to the library(s). Tell the vendor whether the system to be supplied is to include expansion and, if so, for how many years of growth. State the average size of the record. For full OCLC records, this size should be 1500 characters. (This figure allows overhead for the operating system and applications software.) Furnish the vendor with the minimum and maximum response times and request a proposed equipment configuration. For those of you on installations where radar is used, a plan from the vendor for minimizing the radio frequency interference/electromagnetic interference problem will be essential. Breakout the component pieces of the system and describe the minimum properties that are acceptable. Try not to use brand names of systems or equipment. A table listing the components and the initial and expansion quantities will be useful. Finally, give the environment in which this equipment is expected to work and require that any licences on the equipment and software be supplied to the government.

VU #23

There are five types of training the library(s) should consider requiring from the vendor:

- (1) Pre-installation
- (2) Computer operator
- (3) System analyst/programmer
- (4) User
- (5) Management

Pre-installation training is a basic overview and orientation to the system that should be taught not more than 30 days prior to the installation date. Its primary purpose is to alleviate the library personnel's apprehension that the first time they use it they will blow up the computer or that it will eat them. Computer operator training is required for those individuals who will be performing the daily operational requirements of the system. The system analyst/programmer training will be necessary if additional programming is planned which the vendor will not be tasked to perform. User training is a MUST. Hands on experience during this training should be required. Finally, the library may want to have vendor personnel present an overview of the system to the organizational managers following installation. A listing of the training sessions and estimated number of attendees may be included here. As for documentation, a minimum of two complete sets of computer operating manuals, hardware documentation, and programming documentation should be required. This documentation is the library's hedge against business failures and should be kept up-to-date.

VU #24

Contracting has standard requirements or boilerplates for areas such as maintenance, delivery, performance, etc. The library should obtain a copy of these standards for review. The RFP that is submitted to contracting should contain statements of special requirements or changes that should be made to these boilerplates.

VU #11

One final group of information that should be included with an RFP is a glossary which defines the library terms used and any other major term which has multiple meanings. These definitions should be library specific, not as defined in a dictionary. A good example of a confusing library term is reserve. In an academic library, reserve

will have a completely different meaning from when it is used in a public library. Also, remember that the private sector is not as acronym-happy as the government, so define all acronyms and abbreviations used.

Once the RFP is written, a method of evaluating the vendor's proposals may be needed. Procurement will try to push cost or lowest bidder. A point system with the highest total points or an algorithm in conjunction with point totals may be used. With these methods, the evaluation plan should be in writing and signed by each member of the evaluation team prior to the release of the RFP. Also, a synopsis of the factors and their weight must be prepared. In the samples handout is a copy of the evaluation factors used by the Denver Public Library. For this type of plan, the evaluation factors should correspond to the major sections of the RFP with the percentages based on the importance of the sections to the library(s).

Another type of evaluation is the binary evaluation where vendors must meet all the specifications of the RFP to rate technically responsive. Of those vendors rated technically responsive, award of the contract will be to the vendor with the lowest cost. No evaluation plan will be needed for a binary evaluation. Legal will formulate a narrative description for inclusion with the RFP.

VU #25

A quality RFP requires a team of experts in various areas. This team should ideally be headed by a librarian with computer experience or knowledge. If more than one library is involved, a librarian from each library should be a member. Also, a librarian with expertise in each library function that the automation effort will impact, should be included if available. Computer expertise in both hardware and software is essential. The local detachment of the Communications Command should be able to provide an advisor who is knowledgeable in computer telecommunications. One final member to consider is an individual from the command headquarters. In a command like TRADOC with



centralized cataloging, it was essential that the systems librarian participate. In any case, the command staff librarian should be aware of what is occurring and be given the option of a representative on the team.

VU #26

Once a good, complete working draft is completed, the RFP should be reviewed by as wide a variety of offices as possible including all offices which will be concerned with the systems procurement, installation, and operation. These offices may include:

- (1) The contracting office that will handle the procurement action,
- (2) The installation(s) Automation Management Office,
- (3) The facilities engineers who will be involved in site preparation,
- (4) The finance office, and
- (5) The organization(s) security office.

This draft should also be available to all library personnel who are interested in commenting. If the staff librarian has not included a representative on the team, a copy should be sent to that office. Do not expect the first working draft that is reviewed to lead to the final draft. Many revisions and reviews will be necessary before the RFP is ready for procurement.

VU #27

For those systems where more than one library is involved, but especially where more than one installation or command is involved, a Memorandum of Understanding (MOU) is necessary. This document establishes the responsibilities of the organizations involved in the system. Where different commands are involved, the MOU may act as the

documentation for an Interagency Agreement. Five basic elements are needed in the MOU:

- (1) The address for the controlling headquarters element(s),
- (2) The addresses of all participants involved,
- (3) A general description of the purpose and mission of the system,
- (4) The responsibilities of each participant in the system, and
- (5) Signatures of the individuals commanding the organization(s), i.e., the commanding general, commandant, and/or director.

For library systems, an appendix containing a more detailed description of the participants and the system functions may be necessary.

The package that is delivered to procurement for action must include the following documents:

- (1) The signed approval document,
- (2) The proposed RFP and evaluation scheme,
- (3) A list of the Federal Information Processing Standards (FIPS) that are applicable,
- (4) A DD Form 1423, Contract Data Requirements List,
- (5) A DD Form 254, Contract Security Classification Specification,
- (6) An independent government cost estimate,
- (7) A list of possible vendors, and
- (8) A DD Form 3953, Purchase Request and Commitment.

The computer expert from the RFP team should be able to compile the list of FIPS, but if not, FIPS may be ordered from the National Technical Information Service (NTIS). The DD Form 1423 describes the nature and number of documents that are required for the library and is used in conjunction with what manuals have been listed in the RFP documentation section. The DD Form 254 along with a system description, should be taken to the disclosures and security offices to be completed. The independent government cost estimate is required for contracting only and is a listing of the components of the system with quantity, purchase cost, and maintenance costs. It should be as accurate as possible since

the validity of the vendor's cost proposals may be based on this estimate. The DD Form 3953 should list the system hardware by major components, software, training, documentation, and maintenance with the quantity required and the estimated cost.

VU #28

Upon the delivery of the procurement package to procurement, a contracting officer is assigned. A negotiation process then ensues between the library representative and this officer as to what should and should not be in the RFP. Once all points have been settled, the package is reviewed by the legal office. The legal review will include:

- (1) How the RFP compares to the approval,
- (2) Ways in which the RFP is legally binding to the government - the loopholes, and
- (3) The evaluation mechanism to be used.

With the legal review completed, the RFP will be released for solicitation. Copies of the RFP will be distributed to the vendors on the furnished list as well as advertised in Commerce Business Daily. A pre-bid conference may be held after the RFP is released and the vendors have had time to evaluate the requirements. The purpose of this conference is to discover problem areas and clarify the specifications. The team that will evaluate the proposal will participate in answering the questions from the vendors. After the conference, the RFP may be amended to remove or restructure the problem areas. Copies of the conference minutes and RFP amendments will be sent to all vendors. Once the vendor proposals have been received, the evaluation team will use the evaluation scheme to determine either the technically qualified bidders or the best qualified bidder. With the determination of the "best" bidder, the contract will be awarded.

VU #29

Some of the lessons learned in the CIRCANET project are:

- (1) All steps in the procurement cycle take twice as long as expected due to lack of knowledge of procedures and the built in stumbling blocks in the system.

(2) A corollary to the above is to anticipate problems at each step and try to have back-up data ready.

(3) Alert the contracting office early in the RFP process and make sure they are in the review cycle.

(4) Since the automation life cycle is so lengthy, expect to lose key personnel - have more than one person who is fully knowledgeable in the system and the decisions made assist the lead individual. With CIRCANET, two of the key people left the project within two months of each other.

(5) No matter how many times the documents are reviewed, some requirements will be left out. A good example of this from CIRCANET is that at our supposed final review of the RFP, we discovered no mention had been made about initializing the system.

(6) The system originally envisioned is not the system that will be procured. Constant changes will be made to the proposed system as the involved personnels' expertise and knowledge of available equipment increase.

(7) No turn-key system on the market will exactly fit the library's requirements, so be prepared to compromise or pay through the nose for additional programming.

(8) The funding requirements estimated at the beginning of the cycle will not be adequate for the system required by the RFP - be prepared to acquire additional funds.

(9) Alert ALMO early and keep them in the review cycle for CLASS IV projects which require DA approval.

(10) Inform the library personnel of what is planned and bring them into the development process. Keep them informed of the progress. REMEMBER, the library could procure the best system on the market but unless the staff is actively behind the project, it will not work.

(11) Funding is a separate series of actions. The approvals of the concept paper, MENS, 18-1 documentation, etc. does not automatically ensure availability of funds.

(12) Just as no two libraries are alike, no two procurement packages will be alike - don't expect to be able to get another library's

RFP and be able to use it without modification.

(12) Finally, if you are appointed the project manager for the system, your first steps should be to make sure your Blue Cross is paid up then schedule a series of doctor's appointments scattered over the next five years to handle the ulcers you will develop.



I wish to acknowledge the able assistance of:

Gary Ridgell, System Librarian for TRALINET

Karen Wyatt, Medical Illustrator

Presented by Judy A. Hawthorne at the
1983 Army Library Institute, San
Antonio, TX, 23 June 1983.

VU#1

ADVANCED RFP COURSE
OR

*The Quick Way To Lose
Your Health And Sanity Course*



VU#2

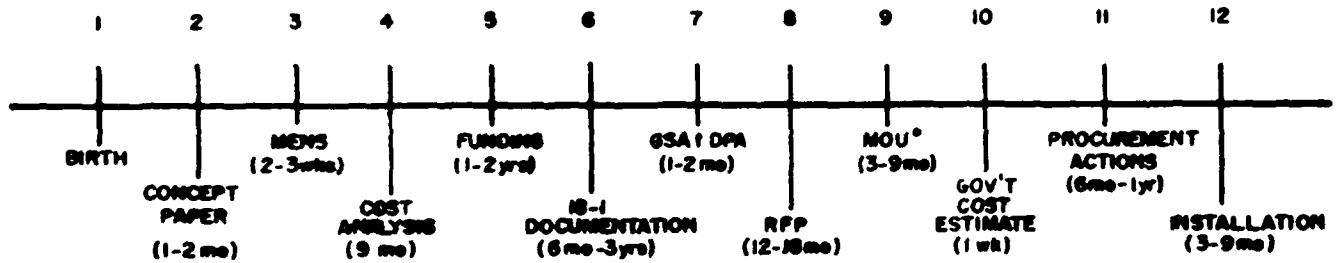
COURSE CONTENT

- **General Overview**
- **Documentation Requirements**
- **RFP Content**
- **Procurement Actions**
- **Lessons Learned**



VU#3

MILESTONES



* ONLY REQUIRED FOR LARGE SYSTEMS OR MULTIPLE LIBRARY SYSTEMS



VU#4

CONCEPT PAPER

- **System Proposed**
- **Reasons For Acquisition**
- **Phases**



AUTOMATION LIFE CYCLE

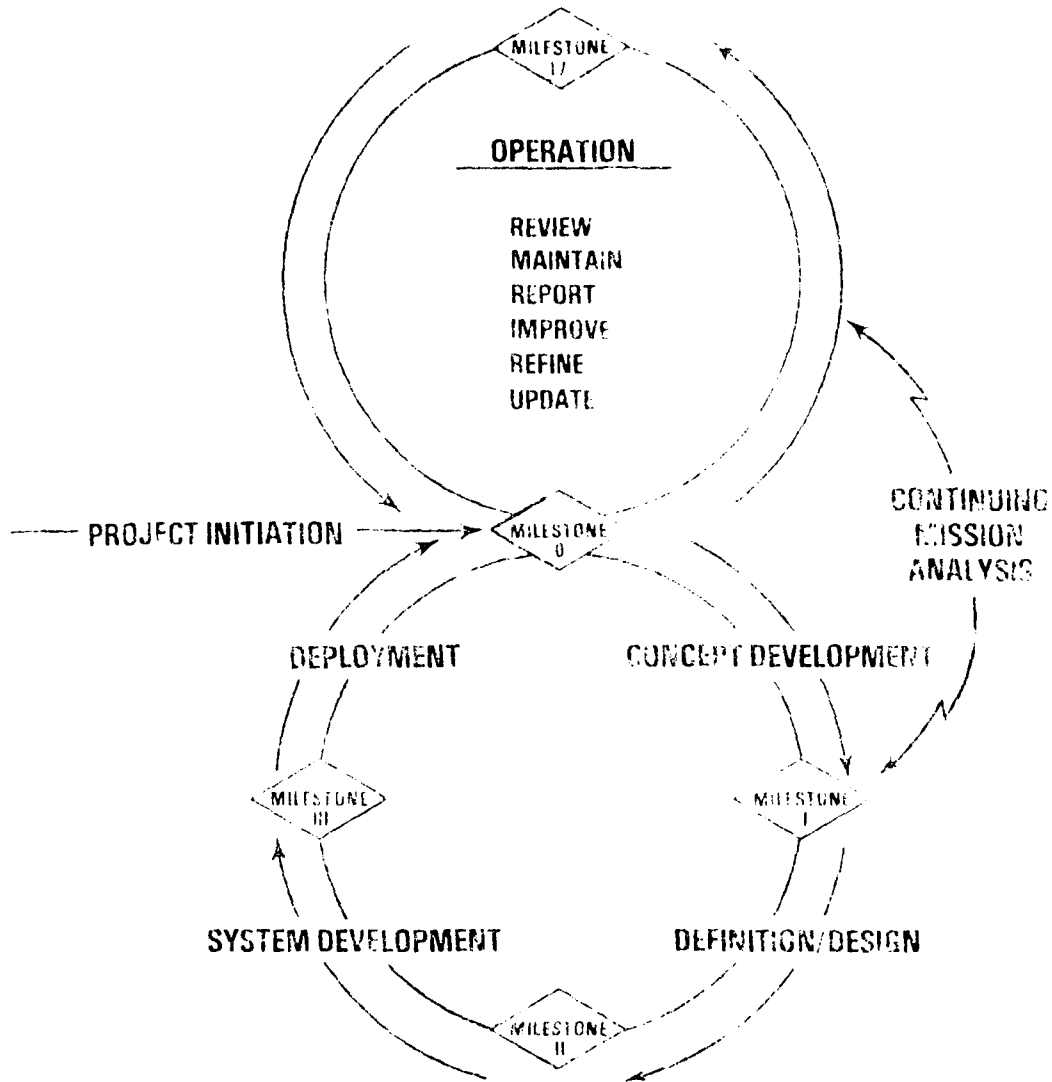


Figure 1. Automation Life Cycle Scheme

5701

VU#6

MENS

- **Summary Sheet**
- **Mission**
- **Basis For Need**
- **Existing & Planned
Capabilities**
- **Assessment Of Need**

SYSTEM CLASS	CRITERIA**	LEADERSHIP		MISSION ELEMENT REED STATEMENT (MENS-MILESTONE ZERO)			SYSTEM DECISION PAPER (SDP-MILESTONES I, II, III)				
		TYPE	APPOINTED BY	HQDA STAFF COORD	ARMY	OSD	HQDA STAFF COORD	ARMY	OSD	ARMY	OSD
CLASS I	DEFINITE BY SECDEF	PROGRAM ELEMENT MANAGER	SECDEF	DDMPS	SECDEF	SECDEF	ASARC	ASARC	SECDEF	SECDEF	SECDEF
CLASS II	OPERATIONAL SYSTEM ELEMENT MANAGED BY	PROJECT MANAGER	SECDEF	DDMPS	SECDEF	SECDEF	ASARC	ASARC	SECDEF	SECDEF	SECDEF
CLASS III	SYSTEMS OR TECHNOLOGY MANAGED BY DA	PRODUCT MANAGER	HQDA SENIOR FUNCTIONAL POLICY OFFICIAL	DDMPS	HQDA SENIOR FUNCTIONAL POLICY OFFICIAL	OSD FUNCTIONAL POLICY OFFICIAL	HQDA IPR	HQDA IPR	ASARC	ASARC	OSD PRINCIPAL
CLASS IV	SYSTEMS TO COM***	PRODUCT MANAGER	HQDA SENIOR FUNCTIONAL POLICY OFFICIAL	HQDA SENIOR FUNCTIONAL POLICY OFFICIAL	HQDA SENIOR FUNCTIONAL POLICY OFFICIAL	OSD FUNCTIONAL POLICY OFFICIAL	HQDA IPR	HQDA IPR	ASARC	ASARC	OSD PRINCIPAL
CLASS V****	SYSTEMS TO COM****	PROJECT OFFICER	MACOM COR-ARCTAF HEAD	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA	AS DIRECTED BY MACOM/HQDA

* THESE SYSTEMS MANAGED ACCORDING TO AR 1000.1 AND AR 70.1
 ** INCLUDES FUNCTIONAL, TELECOMMUNICATION, AND APP COSTS ATTRIBUTED TO THE SYSTEM FROM MILESTONE 0 THROUGH DEPLOYMENT TO ALL INITIAL SITES.
 *** AUTHORITY TO ACQUIRE APP EQUIPMENT, MAINTENANCE SERVICES, SUPPORT SERVICES AND SUPPLIES IS LIMITED BY PARAGRAPH 4-4
 **** HQDA AGENCIES SERVICED BY DD22 WILL COORDINATE CLASS V SYSTEMS WITH THE HQDA OFFICE SYSTEMS PLANNING GROUP

Just

VU#8

DOCUMENTATION (AR 18-1 & TB 18-100)

• Appendix C - System Decision Paper

•• Summaries

•• Annexes

• Appendix I - Justification

•• Identifying Information

•• ADP System Requirements

•• Justification

VU#9

● Appendix E - Management Plan

●● Organization Information

●● Project Description

●● Objective

●● Execution Plan

●● Funding

●● Points of Contact

●● Annexes

VU#10

GSA DPA

- **Agency Information**
- **Project Title & Description**
- **Acquisition Strategy**
- **Type Of Request, Total Cost,
System Life**
- **Regulations**
- **Software Conversion Study**

VU#11

RFP

- **Scope**
- **Records**
- **Functions**
- **Files Maintenance**
- **Query**
- **Reports**
- **Conversion/Initialization**
- **Software**
- **Telecommunications**
- **Hardware**
- **Training/Documentation**
- **Glossary/Abbreviations/Acronyms**

VU#12

PRELIMINARY PAGES

- **Table of Contents**
- **Mandatory Requirements**
- **Evaluating Factors/Points**

VU#13

SCOPE

- **Background**
- **Library Statistics**
- **Maps/Physical Layout (Scale)**
- **General Requirements**
- **Flowchart**

VU#14

RECORDS

● **Bibliographic**

● **Patron**

● **Item**

● **Status**

● **Temporary**

VU #15

FUNCTIONS

- **Circulation**
- **Inventory Control**
- **Cataloging**

VU #16

FILES MAINTENANCE

- **Method of Entry**
- **Editing**
- **Replacement**

VU#17

QUERY

- Retrieval Points
- Logic
- Prompts

VU#18

REPORTS

- **Patron**
- **Circulation**
- **Collection Management**
- **Method**

VU #19

CONVERSION/INITIALIZATION

- **Data Files**
- **Authority Files**
- **Method**

VU #20

SOFTWARE

- **System/Operating**
- **Application**

VU#21

TELECOMMUNICATIONS

- **Terminal Ports**
- **Lines**
- **Diagram**

VU#22

HARDWARE

- **Configuration Desired**
- **Minimums**
- **Licences**
- **Environment**

VU#23

TRAINING/DOCUMENTATION

- **Types Training**
- **Operating Manuals**
- **Hardware Manuals**

VU#24

RFP BOILERPLATES

- **Supplies**
- **Maintenance**
- **Delivery/Performance**
- **Payment**
- **COR**

VUF25

PERSONNEL

- **Library**
- **ADP (Hardware & Software)**
- **Communications**
- **Headquarters**

VU#26

REVIEW PERSONNEL

- **Contracting**
- **AMO**
- **Engineers**
- **Finance**
- **Security**

VU#27

MOU

- **Headquarters Element**
- **Action Agencies**
- **General (Purpose, Mission)**
- **Responsibilities**
- **Signatures**

VU#28

PROCUREMENT ACTIONS

- **Contracting Review**
- **Legal Review**
- **Release Of Solicitation**
- **Vendor Review**
- **Pre-bid Conference**
- **Amend RFP**
- **Vendor Review/Submission
Of Proposal**
- **Evaluation Conference**
- **Award Of Contract**

VU#29

LESSONS LEARNED

- **Alert Contracting Early**
- **Anticipate Problems At Each Step**
- **Takes Twice Time Planned**
- **Expect To Lose Key Personnel**
- **Forgot Something**
- **Library Personnel Involved/
Informed**
- **No System Fits Exactly**
- **No Procurements Exactly Alike**

SAMPLE

WEIGHTED FACTORS TO EVALUATE REQUEST FOR PROPOSAL, AUTOMATED LIBRARY CIRCULATION AND INFORMATION SYSTEM

<u>FACTORS AND SUB-FACTORS TO CONSIDER IN EVALUATING ALL BIDS SUBMITTED</u>	<u>PERCENTAGE RATIO OF SUB-FACTORS TO FACTOR</u>	<u>VALUE RANGE</u>	<u>PERCENTAGE RATIO OF FACTOR</u>
I. TOTAL COST TO BUYER			30%
A. Delivery and Installation Cost of Total System (includes associated costs of delivery)	70%	0 - 92.4	
B. Site Preparation Costs to Library	8%	0 - 6.6	
C. Maintenance Costs	10%	0 - 13.2	
D. Conversion Costs	10%	0 - 13.2	
E. Telecommunication Costs (within each system)	5%	0 - 6.6	
	<u>100%</u>	= 132.0	
II. SYSTEM HARDWARE AND RELIABILITY			25%
A. CPU Proposed (speed, memory, terminal capacity)	30%	0 - 33.0	
B. Printer (speed, line capability)	10%	0 - 11.0	
C. DiscDrive (storage, maximum capacity, transfer rate)	20%	0 - 22.0	
D. CRT's Proposed (screen size, speed, capabilities)	20%	0 - 22.0	
E. OCK Equipment	10%	0 - 11.0	
F. Portable Backup & Magnetic Cassette-Type Terminals	10%	0 - 11.0	
	<u>100%</u>	= 110.0	
III. SYSTEM SOFTWARE AND RELIABILITY			20%
A. Language(s) Used (operating system size, capacity for other languages, variable length fields, error de- tection and correction)	20%	0 - 17.6	
B. Multi-Programming Capability	20%	0 - 17.6	
C. Telecommunication Capability	20%	0 - 17.6	
D. Database Management System	20%	0 - 17.6	
E. Operating Response Time of System	20%	0 - 17.6	
	<u>100%</u>	= 88.0	

SAMPLE

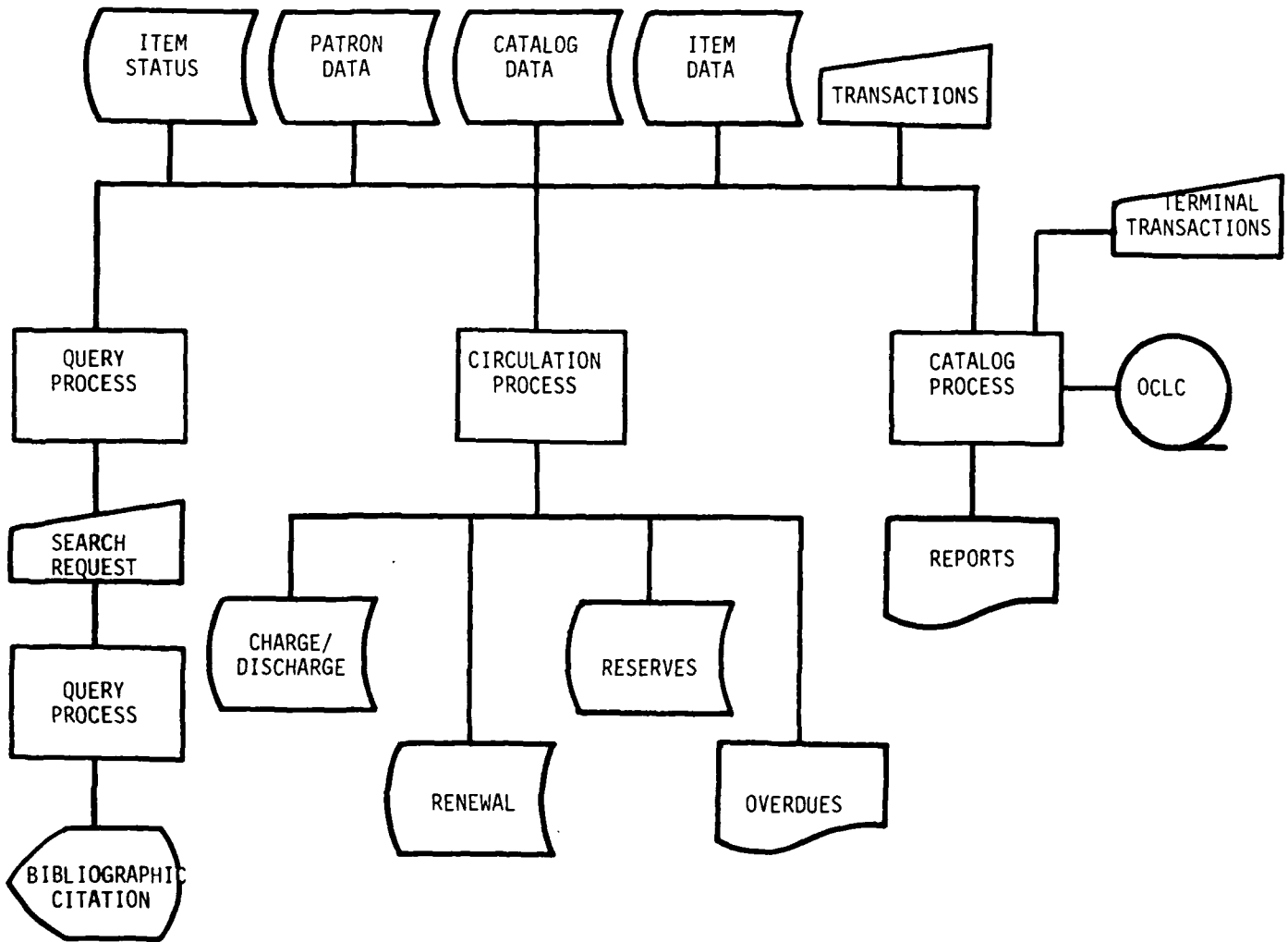
EIGHTED FACTORS, contined

ACTORS AND SUB-FACTORS TO CONSIDER IN EVALUATING ALL BIDS SUBMITTED	PERCENTAGE RATIO OF SUB-FACTORS TO FACTOR	VALUE RANGE	PERCENTAGE RATIO OF FACTOR
. VENDOR'S PROPOSED DELIVERY SCHEDULE AND ABILITY TO MEET IT			10%
A. Delivery of Basic System	70%	0 - 30.8	
B. Number of and Delivery Schedule of Enhancements Designed to Meet the Specifications of the RFP	<u>30%</u>	<u>0 - 13.2</u>	
	100% =	44.0	
. ORGANIZATION, PERSONNEL, AND FACILITIES FOR THE WORK REQUIRED HEREIN, GENERAL QUALITY AND RES- PONSIVENESS OF THE PROPOSAL, AND VENDOR'S PREVIOUS EXPERIENCE IN PERFORMING SIMILAR OR COMPARABLE WORK TO THAT REQUIRED			10%
A. Staff Training & Ease of Operation After Training	20%	0 - 8.8	
B. Organization Resources (qualifica- tion & experiences of vendor per- sonnel assigned)	10%	0 - 4.4	
C. Responsiveness, Quality, and Under- standing of the Requirements of the Bid (e.g. inclusion of required documentation)	10%	0 - 4.4	
D. Past Performance of Vendor on Projects of Similar Scope, Size, and Application (e.g. problem- solution response time)	<u>60%</u>	<u>0 - 26.4</u>	
	100% =	44.0	
. TECHNICAL SUPPORT GIVEN			5%
A. Installation Requirements - Ranges & Considerations (humidity, tempera- ture, electricity, proximity, & other, e.g. raised floor)	40%	0 - 8.8	
B. Conversion - Ease and Time Involved	<u>60%</u>	<u>0 - 13.2</u>	
	100% =	22.0	

440.0 = 100%

31

SAMPLE



SAMPLE CIRCULATION/CATALOG FLOWCHARD

APPENDIX A
TRALINET MARC FORMATTED TAPES AND 049 FIELD

The TRALINET Systems Center, Ft Monroe, VA, receives and processes monthly transactions tapes in MARC format from both OCLC and a cataloging contractor source. These tapes contain records for multiple TRADOC library sites. For the proposed CIRCANET system, the Data Processing Field Office (DPFO), also located at Ft Monroe, will extract bibliographic records and holding records pertinent to all participant TRADOC libraries. The DPFO will provide the vendor records for the initial file load, and file updates on a monthly basis or as mutually agreed on by both the government and the vendor. The government will provide magnetic tapes in ASCII, 1600 or 6250 BPI, and IBM standard label format.

All bibliographic records are maintained by individual library and branch, with all attendant local field information, (i.e., 090, 092, 590, 690, 691, 910 fields, etc.) included with each record. There is no consolidation of bibliographic records with identical record numbers for different libraries and branches. However, the latest date record (001 field positions 12-17) is accepted and overlays an existing bibliographic record with the same record number if the record has been used for the same library and branch. A record for the same library branch may have multiple 049 subfile "a's" with each subfile "a" having a different library holding code.

Data is currently divided into two files. These include the TRALINET bibliographic file and the TRALINET 049 file.

The TRALINET BIBLIOGRAPHIC FILE. The bibliographic file is structured in standard OCLC/MARC format. Control number field 001 Positions 0-2 contains the three characters "OCM" if the record is an OCLC-generated record. Control number field 001 Positions 0-2 contains the three characters "INF" if it is a contractor generated record. "INF" stands for Informatics. Other contractor codes may be added at a future date. There may be duplicate record numbers between "OCM" and "INF" records as cataloging is coming from two sources. Specific libraries and branches are determined by subfield "a" of the 049 field.

The TRALINET 049 File. This file contains shelflist information for each unique item in a fixed format 92 positions long. These positions include:

Position 1 - Vendor Code
 A - OCM
 B - INF
Position 2 - 9 Record Number (Mandatory Fill)
Position 10 - 13 Holding Library code (Mandatory Fill)
Position 14 - 17 Copy Number (Mandatory Fill)

SAMPLE

Position 18 - 20 Volume Number (Optional Fill)
Position 21 - 24 Year (Optional Fill)
Position 25 - 27 Edition (Optional Fill)
Position 28 - 31 Supplement/Part/Issue (Optional Fill)
Position 32 - 34 Volume to Supplement/Part/Issue (Optional Fill)
Position 35 - 36 Media Type (Optional Fill)
Position 37 - 42 Price (Optional Fill)
Position 43 - 48 Special Data field (Optional Fill)
Position 49 - 59 Accession Voucher Number (Optional Fill)
Position 60 Procurement Type (Optional Fill)
Position 61 - 80 Contract/Delivery/Order Number (Optional Fill)
Position 81 - 91 Cancellation Voucher Number (Optional Fill)
Position 92 Change Code (Mandatory)

The WSMR TECHNICAL LIBRARY 590 FIELD

The WSMR Technical Library enters local holdings information in the OCLC 590 field ; this information includes a voucher number and volume and copy number.

- SAMPLE

43

END

DATE
FILMED

9 - 83

DTI