REQUEST FOR INFORMATION INTEGRATED LIBRARY SYSTEM REPLACEMENT FOR THE UNIVERSITY SYSTEM OF MARYLAND AND AFFILIATED INSTITUTIONS

The University System of Maryland and Affiliated Institutions (USMAI) seeks to replace the Aleph integrated library system currently shared among its members, and is conducting an investigation to gain information from qualified organizations regarding software or services they offer with the potential to meet the complex automation needs of the consortium. This Request for Information (RFI) intends to elicit responses that describe the conceptual and organizational principles that underlie the design of any proposed next-generation system, its ability to meet the functional requirements of the members of the consortium, and its technical characteristics and architecture. Responses to this RFI will be used to refine specifications of critical and desirable features of a next-generation library system, and to identify potentially qualified systems. After the USMAI analyzes responses to this RFI, the final selection process will begin, and may include a Request for Proposals (RFP).

About the University System of Maryland and Affiliated Institutions
The University System of Maryland and Affiliated Institutions (hereafter USMAI) is a consortium of the libraries at the 16 public universities and colleges in the State of Maryland (see list below). Its mission is to provide unified, cost effective and creative approaches to the acquisition and sharing of information and knowledge resources across the 16 libraries. The USMAI supports the shared mission of our member campuses to contribute to the intellectual and cultural growth of our students, faculty and staff.

The libraries range in size from the flag ship University of Maryland, College Park campus to a two-room facility at the Center for Environmental Studies. Campuses are located across the state. Consortium funding is provided by annual contributions from the participating institutions.

The consortium is governed by the Council of Library Directors, consisting of the Director of each member library, and an executive director. Management and administration of the consortium is currently coordinated by the University of Maryland Libraries Information Technology Division, located on the College Park campus.

<table>
<thead>
<tr>
<th>Institution</th>
<th>Titles</th>
<th>Items</th>
<th>Enrollment</th>
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<tr>
<td>Bowie State University</td>
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<td>Coppin State University</td>
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<td>Salisbury University</td>
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<td>St. Mary's College of Maryland</td>
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</table>
Current Automation Environment

USMAI seeks a new automation environment capable of delivering efficiencies of sharing resources and able to handle divergent policies, and to interoperate with a variety of business and information systems.

Consortium members are interested in gaining optimal benefits from sharing resources among its membership, but also value local institutional identity. Each maintains separate collection and access policies and operates within different campus enterprise environments, each with its own authentication services, business systems for finance, personnel or student management, learning management platforms, or other systems.

USMAI libraries share a single Aleph ILS, version 20.01 from Ex Libris Group. The ILS is administered and managed from the Information Technology Division housed at McKeldin Library, University of Maryland, College Park. Currently there are over 546,000 borrowers and 1,411 staff accounts defined in the Aleph ILS. The system supports a single bibliographic record structure with a shared patron database. The total number of bibliographic records is 3,862,926. Patron authentication is handled through EZproxy, Shibboleth, and other solutions, and 14 of the libraries also use Ex Libris’ MetaLib, OpenURL linking with SFX, and ILLiad tools. Some libraries are also using additional products such as Serials Solutions’ 360 services. Campus Enterprise Resource Planning (ERP) systems include Banner, PeopleSoft, Kuali Financial System, and Jenzabar.

Electronic collections are also managed through a combination of centrally administered and distributed processes. The Ex Libris SFX link resolver is hosted at the College Park Information Technology Division, and most campuses maintain their own instances of the SFX Knowledge Base. MetaLib knowledgebase updates, database creation, and off-campus access are centrally managed by the Information Technology Division.
Consortial Collections and Resource Sharing

USMAI maximizes resources through a robust patron-driven book borrowing service based on the “title-level hold,” and consortial licensing of some database and e-journal subscriptions. Libraries in the USMAI maintain separate public catalogs as well as a global catalog based on shared bibliographic records. Some policies and procedures have been set at the consortium level, such as cataloging policies; others are managed locally including many loan policies and parameters. Electronic collections are also managed through a combination of centrally administered and distributed processes.

Current Discovery Services

All of the USMAI libraries are currently using, or are in the process of implementing, OCLC’s WorldCat Local or the EBSCO Discovery Service. Some use both. There are separate instances of the products for each campus in each case.
Vision for Library Automation

USMAI seeks an automation environment well suited for its current needs and that will adapt responsively to the changes anticipated for the next decade. It seeks a system to help manage its collections comprised of electronic, print, and digital components in the most efficient way. The libraries have a longstanding strategic emphasis on sharing their print materials, reflected by the development of a program of unmediated patron placed holds for titles, with technology support that calculates the best copy to fulfill the request. The consortium requires an automation environment that will maintain and increase resource sharing opportunities. The libraries value precise control of their collections, managed through a database of high-quality bibliographic and other descriptive records or metadata structures, often customized to meet specific needs of individual libraries within the consortium.

This RFI includes statements about broad areas of expected functionality for a next-generation USMAI library system, based on features that are either already present in the current automation system or are deemed essential for the future. Beyond the replacement of its current Aleph ILS, USMAI seeks a system that will address its automation needs in a holistic and unified way. Responses should address how the system proposed might integrate a variety of knowledge bases, OpenURL resolution services, electronic resource management, metadata repositories, or other areas of functionality that might subsume automation components currently operated separately within the USMAI automation infrastructure.

USMAI requires an open system that the consortium’s members can fully exploit beyond the functionality delivered through its default or built-in interfaces. The system must offer well documented Application Programming Interfaces in addition to the standard protocols traditionally supported in library automation products, to provide flexibility in the future for new modes of extracting and manipulating data from the system. Responses should explain how the proposed system might support emerging practices within libraries such as Linked Open Data and FRBR.

University of Maryland, College Park, is a partner in the Kuali OLE software development project and may decide to implement OLE apart from the other consortium members. The consortium is interested in exploring ways that would enable the selected system to interface with OLE to maintain consortial resource sharing.

In addition to the requirements outlined in this RFI, vendors are encouraged to explain their vision of next generation ILS systems and services and how their proposed solution achieves that vision.

RFI Deadline and Contact

Written responses must be received by September 16 as email attachment (preferably in PDF format), sent to cthomas@usmd.edu. Respondents are strongly urged to follow the prescribed format and numbering provided in the sections below.
Executive Summary of Responses

Please provide the information outlined in the “Qualifications of the Respondent” below. Please give a general description of the proposed system and an executive summary of how it addresses the questions raised and the statements of expectation and critical functionality provided in the areas listed below.

Qualifications of the Respondent

A. Name of the Respondent
B. Name of the individual to whom questions should be addressed
C. Address: US mail, email
D. Number of years in business related to the RFI
E. Type of operation (partnership, corporation, nonprofit corporation, consortium, etc.)
F. Company-wide sales volume and number of employees
G. Demonstrated expertise in supporting similar services
H. Demonstrated history as a partner to libraries and other cultural institutions
I. List of subcontractors (if any) and their roles

Critical Functionality

The features listed below refer to current and desired platform functionality. Not all specifications or details have been included. Vendors are encouraged to include information on features not mentioned below but are unique to the proposed next generation library system. Responses should provide information that explain vendor platform functionality but do not need to be a detailed summary. Attention to support for consortium functions is important. Please indicate whether features are currently available or when they are expected to be ready for production.

1 Circulation and Resource Sharing

The mission of the USMAI is to support effective access to library resources by providing and promoting a range of resource sharing services which support the objectives and maximize resources of the individual libraries of the member institutions. All USMAI institutions participate in consortium-wide resource sharing. Each institution determines which collections are available for resource sharing, and each library sets its own lending, fines, and associated policies.
1.1 Title-Level Consortial Borrowing
The current ILS manages patrons with multiple affiliations, supports recalls, and provides patrons with the ability to place unmediated requests for materials at the title level (including individual volumes of multi-volume sets). The requests are fulfilled by a process that automatically selects the appropriate titles, delivers the materials to any consortium library and return them to the owning library.

1.1.1 USMAI expects future systems to offer unmediated requests for materials that would continue consortial resource sharing as described above and to manage fulfillment policies that apply to circulation transactions and other policies for consortial requests.

1.2 Global Resource Access
The consortium is interested in the ability to share collections beyond consortium members. Please describe how the system connects to various global ILL services and resource sharing management products including connections to patron account profiles. How does the system interoperate with copyright management tools and handles DRM?

1.3 Circulation
USMAI expects the full set of features associated with traditional library circulation operations, well integrated with other fulfillment activities such as direct consortial borrowing or interlibrary loan.

1.3.1 A desirable feature is the ability to support distributed policy management, allowing individual libraries to set policies that apply to their patrons and materials without the intervention of a central system administrator. Policy profiles set by each library will apply to borrowers from other USMAI libraries.

1.3.2 Please describe the system’s financial management capabilities for fines and fees.

1.3.3 The system must interoperate with self-service equipment, and support either barcoded or RFID tags for item identification.

1.3.4 USMAI also expects flexible and powerful capabilities for searching, managing and updating patron accounts according to each library’s policy.

1.4 Course Reserves and Online Course Management Systems
USMAI expects the ability to manage course reserves in a variety of ways directly through the system, through third party course reserve systems, and through institutional learning management platforms.

1.4.1 Describe how the system handles course reserves materials in all formats using the system itself or it interoperability with external products.
1.4.2 The system should have the ability to expose library materials and a variety of services through Blackboard and other learning management platforms, including MOOCs.

1.5 Patron Records Management
1.5.1 The patron management facility must provide efficient ways to transfer and synchronize records from the institutional business systems on each campus including mechanisms to maintain and organize the data and de-duplication of records.

1.5.2 The system must also provide a dynamic personalization and self-service environment for library patrons. Please describe patron self-service capabilities offered by the proposed system for patrons to manage their own account.

1.6 Asset Management & Reservations
Describe the functionality available to allow library personnel or patrons to schedule or place requests to reserve meeting rooms, equipment, and possibly event registration.

2 Collection and Resource Management

2.1 Resource Management
The system must be powerful and nuanced enough to meet the needs of very large libraries such as the University of Maryland College Park without making processes overly complex for its smaller member libraries

2.1.1 The system must support the ability for individual libraries within the consortium to select workflow options or configuration details independently.

2.2 Content Formats & Metadata Structures
2.2.1 The system must support all of the metadata formats associated with a wide range of collection materials, including MARC21, Dublin Core, VRA, EAD and ISAD(G) and should include the capability to describe and link records of varying granularity for collections or objects with complex or hierarchical relationships.

2.2.2 The system should support current cataloging standards including AACR2 and RDA, and be adaptable to emerging standards.

2.2.3 Describe the system’s ability to load, edit, delete, merge, and export sets of records via batch processes.

2.2.4 Describe how the system supports authority control, and handles Linked Open Data, Semantic Web technologies, etc.

2.3 Collection Description Workflows
2.3.1 Describe the general workflows involved for cataloging items added to the collection, including handling non-Roman scripts, sources of records from various bibliographic services.
2.3.2 The consortium currently relies on a model of shared bibliographic records. Describe options for workflow and support of shared bibliographic records while providing for library-specific data for local discovery for all formats.

2.3.3 Describe the functionality available related to digital archives or institutional repositories.

2.4 Procurement Workflows
2.4.1 Support a variety of different procurement models, including direct purchase, licensing through annual subscriptions, open access, donations of materials, approval plans, standing orders, and government deposit for both print and e-titles.

2.4.2 Describe how the system handles a consortium model for demand-driven acquisitions (DDA) at the campus and consortium levels.

2.4.3 The system must handle funds designated for the consortium, individual campuses or institutions, departments, disciplines, or any other category or grouping. All accounting workflows must conform to standard auditing requirements. Procurement transactions must link to the appropriate funding accounts, including the option for the cost of any given item to be divided across multiple funds.

2.4.4 Describe how data related to the funds management and procurement tasks performed within the system can be transferred or synchronized with institutional ERP modules. The system should support EDI order creation and EDI invoicing.

3 Reporting and Analytics

It is important that robust reporting capabilities be available to authorized staff without intervention by a central systems administrator.

3.1.1 Describe the ability for authorized users to easily generate reports that address data within any part of the system in support of administrative and operational decision making, the reports should be scoped to the collections or activities of a specific library or the consortium as a whole.

3.1.2 Proposed systems should include powerful, customizable statistics and report generation capabilities that support multiple common output formats.

4 Electronic Resources
The system must provide functionality designed for the specific tasks and workflows involved in the management of electronic resources and that is well integrated into the bibliographic, procurement, and fulfillment components.

4.1.1 Describe how the system handles management of electronic resources throughout their life cycle and any knowledge base that might be included with the system that assists the library in the management of electronic resource
5 System Interface and Staff Interface

5.1 The USMAI expects the system to support both centralized and distributed systems administration. While certain system configuration may require specially trained personnel with system-wide responsibilities, USMAI is interested in aspects of system configuration that may be administered by each library by authorized personnel without in-depth training.

5.2 The USMAI expects the system to provide an interface for its staff members that allows them to perform their tasks efficiently through an interface that is easily understood. Describe how the interface for staff access to the system is deployed.

6 Technical Architecture and Interoperability

The system must be delivered through a platform based on current technology components and through a service-oriented architecture.

6.1 Responses must describe the major technology components that underlie the system, such as database management systems, search and retrieval technologies, Web servers or containers, business logic or workflow components. A diagram should be provided that describes a generalized view of the system architecture.

6.2 If the system is available through Software As A Service, describe the hosting environment, data security capabilities, and whether the service is offered through a multi-tenant arrangement.

6.3 If the system is available for on-premises installation, describe the hardware configuration, operating system, database architecture, and any available relational database options.

6.4 Describe whether USMAI system administrators have unrestricted access to the database and methods available for accessing data beyond the standard staff interface.

6.5 Describe list of APIs, web services, and any compliance and support with standards (such as NCIP) that can be used to extend functionality, enable interoperability with external systems and to support reporting capabilities.

6.6 Describe the system’s ability to interoperate with other enterprise institutional business applications. The list of systems currently used by each campus is on pages 2-3.

6.7 Describe the system’s ability to support multiple mechanisms for single sign-on patron authentication to access their account and associated content and services. Authentication currently in place include EZProxy and Shibboleth.

6.8 Describe any interoperability capabilities with digital collection management applications such as CONTENTdm or the ability to manage digital collections directly within the system.
6.1.9 The consortium is interested in exploring ways that would enable the selected system to interface with OLE to maintain consortial resource sharing. Please describe the proposed system’s ability to facilitate this process.

7 Discovery Services
The current investigation focuses primarily on the library management capabilities and not on discovery services. Responses may optionally include information on discovery products that may be used in addition to or instead of the ones currently in place. This RFI does not aim to provide the full requirements of a discovery service, but an opportunity for responders to describe their offerings in this area.

7.1.1 Please describe how the collections will be discovered, either via a traditional Web-based online catalog or a discovery service.

7.1.2 Any new system must be compatible with any of the major discovery services including WorldCat Local and EBSCO EDS to fully expose relevant content and functionality.

7.1.3 The resource sharing capabilities described in section 1.1 and a comprehensive view of all materials within the consortium, with their real-time availability status must be expressed through third party discovery services. Please describe how the proposed system enables this process.

Price Estimate
Provide a non-binding estimate of the pricing that USMAI can expect should it select the system and any formula or factors used to calculate the price. Include all applicable one-time or ongoing fees for hosting, support, data backups, or any additional modules or services needed to implement and operate the system.

Open source providers should include a list of projected cost considerations including staffing requirements to implement and maintain a system, third-party hosting, consultants to assist with implementation, etc.