

**Request for Information**

**For**

**OCUL Collaborative Futures Project**

**Request for Information No.: 2015-01**

**Issued: April 17, 2015**

**Submission Deadline: May 11, 2015, 5.00 pm EST**

## Summary

The Ontario Council of University Libraries ("OCUL") is developing a business case for the implementation of shared next generation library services platforms for Ontario's 21 university libraries. We are issuing this Request for Information (RFI) to assess the current market and identify potential partners so that we can move forward with a planned procurement process and implementation in 2016-2017.

## Introduction

OCUL, through the "Collaborative Futures" project, is undertaking the development of a shared vision of the future of library management systems in Ontario's academic libraries – a vision that articulates new possibilities and builds on a decade-long history of collaboration and cooperation. This approach builds upon the success of existing OCUL-wide collaborative initiatives such as Scholars Portal technology and collaborative licensing, as well as smaller-scale initiatives such as shared ILS systems and print storage facilities. We define this new vision by the existence of a distributed and shared collaborative approach to print and electronic/digital resource management. The keys to achieving this vision are:

- Implementing shared next generation library services platforms (LSPs).
- Collaborating to manage and preserve print resources in a sustainable system.
- Collaborating to effectively use shared systems to manage electronic and print resources.

**OCUL requests information from software vendors and other organizations that are interested in and able to provide creative, innovative, and future-driven solutions to help us achieve our Collaborative Futures vision.** We have intentionally defined this RFI at a broad level to gain a better understanding of the current LSP market and to assess the options for collaboration between our institutions. Respondents are invited to include any information relevant to the Collaborative Futures project not explicitly covered by this RFI.

Responses to this RFI, and possible follow-up consultations, will be used to build a business case for proceeding to the next phase of the Collaborative Futures project:

Phase 1: Feasibility Study (November 2014 - July 2015)

Phase 2: Implementation Plan (August 2015 - July 2016)

Phase 3: RFP and Implementation (April 2016 - December 2017)

For more information about Collaborative Futures, see: <http://www.ocul.on.ca/projects/collaborative-futures>.

## About OCUL

**Collaborate - Innovate – Deliver:** OCUL is one of the most dynamic, highly successful academic library consortia in North America. The OCUL vision is to be a recognized leader, provincially, nationally and globally, in the transformative development and delivery of scholarly resources and innovative services. The OCUL mission is to collaborate in the development and delivery of enhanced, innovative, and effective information services and resources for Ontario's universities.

There are excellent, progressive and innovative programs in place at Ontario university libraries and OCUL. OCUL has a long history of being at the forefront of initiatives that leverage the creativity and resources of multiple institutions to build services greater than any could deliver on its own, for the benefit of students, faculty and other researchers.

OCUL's extensive information collection which covers a range of formats and disciplines is delivered to students across the province through the technological infrastructure of OCUL's Scholars Portal. Through Scholars Portal, OCUL is at the forefront of digital resources and research data preservation, and is able to support innovative research, now and into the future.

For more information about OCUL, visit: <http://www.ocul.on.ca/>.

## Instructions

Responses should be emailed as attachments to [kathy.scardellato@ocul.on.ca](mailto:kathy.scardellato@ocul.on.ca) no later than **Monday, May 11, 2015**. Responses should follow the structure of the "RFI Response Format" in Appendix A and include acknowledgement of acceptance of the Disclaimers set out in Appendix B which acknowledge, among other things, that this RFI and any Respondent submissions shall not create a legal relationship or obligation regarding the procurement of any good or service.

## Contact

Amy Greenberg - Project Manager, OCUL Collaborative Futures  
[amy.greenberg@ocul.on.ca](mailto:amy.greenberg@ocul.on.ca)

Kathy Scardellato - OCUL Executive Director  
[kathy.scardellato@ocul.on.ca](mailto:kathy.scardellato@ocul.on.ca)

## Appendix A: RFI Response Format

Respondents are strongly urged to follow this format in their responses to this RFI.

### 1. Executive Summary

Provide an executive summary of your response and recommended solutions.

### 2. About the Respondent

Provide an overview of your qualifications and business operations, and list any expected subcontractors.

### 3. Strategic Fit

Help us to understand how your solution is a strategic match for the Collaborative Futures vision, addressing the following points:

- How the proposed solution will benefit the consortium, library staff, and library users.
- How it will take us into the future.
- How it will help us collaborate in ways to meet the vision.
- Why it is the best match for us, including any special/unique features.
- What are the characteristics of your solution/s that define them as "next generation"?
- Relationship with Scholars Portal. Scholars Portal preserves and provides access to information resources collected and shared by Ontario's university libraries; for more information and a description of services see <http://scholarsportal.info/> How can the proposed system leverage, integrate with, and build on the services and potential of Scholars Portal?

### 4. System Functionality

Help us assess the capabilities of your system(s) by providing key information on functionality. For each function listed below, provide a **narrative description** of the function within your system(s) and indicate the **availability status** ("available", "in development" - include timeline, "not available").

- Unified management of all library-owned and library-licensed resources (print and electronic), including digital assets.
- Robust selection, acquisition, metadata management and fulfillment functions across all resource types.
- Integrated knowledge base and link resolution services.
- Robust statistics and reporting functionality

- Tools for collaborative technical services (selection, acquisition, metadata management), collection management and resource sharing within a consortial setting.
- Metadata management and resource sharing both within and beyond the consortium (e.g. interlibrary loan, getting MARC records from/linking holdings to OCLC).
- Interoperability with institutional systems such as student information, finance, etc.
- Discovery layer for end user functions such as search, account management, request, etc.
- Documented open architecture (such as APIs) that supports custom development and integration with third party products.
- Fully English-French bilingual interfaces for both library staff and end users.
- Compliance with accessibility requirements as set out in the [Accessibility for Ontarians with Disabilities Act \(AODA\)](#).
- Linked data: ingestion and publishing capabilities; vocabularies
- Can ingest, index, and correctly present to users various metadata formats (e.g., MARC, Dublin Core, MODS, other XML-based metadata schema)
- Provides the ability to input, index, and present to users institution-specific information (e.g., notes relating to an institution's specific holding, such as donor or provenance).
- Ability to present users with only those resources that they are entitled to access (i.e., we don't all license the same e-resources).
- Ability to store and manage vendor license information (contracts) and display terms of use to the public.

## 5. Consortial Models

What implementation model(s) do you propose for your solution? For example:

1. Single shared / fully integrated system
2. Distributed systems with shared components
3. Individual linked systems
4. Hybrid
5. Other?

Describe your recommended implementation model(s):

- Architecture: database(s), software instance(s), communication between systems/components.
- Infrastructure: locally hosted, cloud-based SaaS, other.
- Implications for integration and/or separation of components, such as discovery layers, link resolvers, local catalogues, resource sharing systems, etc.

- Implications for sharing vs. autonomy: opt-in/opt-out, levels of sharing, requirements for standardization, etc.
- Implications for privacy: access to patron files, acquisitions and funds, etc.
- Migration: simultaneous, phased cohort, other.
- Development: relationship with the consortium or individual institutions in enhancing system(s) to meet requirements.
- Opportunities for enhanced sharing and collaboration within the consortium.
- Support or best practices related to developing workflows for your solutions.

Additionally, please provide consortial pricing model(s) for your solution, noting that we do not require specific cost information at this time.

## **6. Reference Sites**

Provide one or more reference sites that are comparable to the OCUL context and demonstrate implementations similar to the model(s) proposed in section 5.

## **Appendix B: Disclaimers**

In responding to this RFI each Respondent should submit a completed and signed Response that, among other things, acknowledges its acceptance of the RFI Terms of Reference as contained hereunder:

### **1. Request for Information Not A Formal Competitive Bidding Process**

This RFI is issued for information gathering purposes and is not intended to be a formal legally binding bidding process. Without limiting the generality of the foregoing, this RFI will not necessarily result in any subsequent negotiations, direct contract award, invitational tendering process or open tendering process and does not constitute a commitment by the Ontario Council of University Libraries, the Council of Ontario Universities (COU), and COU member institutions to procure any goods or services. Any pricing figures submitted by Respondents shall be for general information purposes and will not be binding on firms.

### **2. RFI Shall Not Limit Pre-Existing Rights**

This RFI shall not limit any pre-existing OCUL, COU, and COU member institutions' rights. Without limiting the generality of the foregoing, OCUL, COU, and COU member institutions expressly reserve the right, at their discretion:

- to seek subsequent information or initiate discussions with any firm, including firms who did not respond to this RFI;
- to initiate direct negotiations for the procurement of any good or service with any firm or firms regardless of whether the firm or firms responded to this RFI;
- to contact a limited number of firms, which may be limited to those who responded to this RFI, or may include firms who did not respond to this RFI, for the purpose of a competitive procurement for the procurement of any good or service;
- to elect to proceed by way of open tender call where all potential firms, including those who did not respond to this RFI, are eligible to compete for the award of a contract for the supply of any good or service; or
- to elect not to procure the good or service that is the subject of this RFI.

These expressly reserved rights are in addition to any and all other rights of OCUL, COU, and COU member institutions that existed prior to the issuance of this RFI.

### **3. Pricing Information For General Information Purposes Only**

Any pricing information provided by Respondents is for general information purposes and is not intended to be binding on Respondents. Any legally binding pricing or purchasing commitments will only be established where specified by the express terms of a subsequent tender call process or where established through the execution of a written agreement.

### **4. Information Only an Estimate**

OCUL, COU, and COU member institutions and their advisors make no representation, warranty or guarantee as to the accuracy of the information contained in the RFI or issued by way of addenda. Any quantities shown or data contained in this RFI, or provided by way of addenda, are estimates only provided as general background information.

### **5. Parties Shall Bear Their Own Costs**

OCUL, COU, and COU member institutions shall not be liable for any expenses incurred, including the expenses associated with the cost of preparing responses to this RFI. The parties shall bear their own costs associated with or incurred through this RFI process, including any costs arising out of or incurred in: (a) the preparation and issuance of this RFI; (b) the preparation and making of a submission; or (c) any other activities related to this RFI process.

### **6. Accuracy of Responses**

The Respondent acknowledges that the information provided is, to the best of its knowledge, complete and accurate.

### **7. Submissions Property of Ontario Council of University Libraries**

Except where expressly set out to the contrary in this RFI or in the Respondent's submission, the submission and any accompanying documentation provided by a Respondent shall not be returned.

### **8. Confidential Information of the Consortium**

All information provided by or obtained from in any form in connection with this RFI either before or after the issuance of this RFI: (a) is the sole property of OCUL, COU, and COU member institutions and must be treated as confidential; (b) is not to be used for any purpose other than replying to this RFI; (c) must not be disclosed without prior written authorization from OCUL, COU, and COU member institutions; and (d) shall be returned by the Respondents to OCUL, COU, and COU member institutions immediately upon the request of OCUL, COU, and COU member institutions.



A Respondent may not at any time directly or indirectly communicate with the media in relation to this RFI without first obtaining the written permission of OCUL, COU, and COU member institutions.

## **9. Freedom of Information and Protection of Privacy Act**

The Respondent consents to OCUL's collection of the information as contemplated under the RFI for the uses contemplated under the RFI.

Information provided by a Respondent may be released in accordance with the Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c.F.31, as amended. A Respondent should identify any information in its submission or any accompanying documentation supplied in confidence for which confidentiality is to be maintained by OCUL, COU, and COU member institutions. The confidentiality of such information will be maintained by OCUL, COU, and COU member institutions, except where an order by the Information and Privacy Commission or a court requires OCUL, COU, or COU member institutions to do otherwise. The Respondent consents, pursuant to subsection 17 (3) of the Freedom of Information and Protection of Privacy Act, to the disclosure, on a confidential basis, of this submission by OCUL, COU, and COU member institutions to advisers for OCUL, COU, and COU member institutions retained for the purpose of evaluating or participating in the evaluation of this submission.

The Respondent acknowledges that OCUL, COU, and COU member institutions may make public the name of any and all Respondents.

## **10. Governing Law**

This RFI process shall be governed by and construed in accordance with the laws of the Province of Ontario and the federal laws of Canada applicable therein.

## Acknowledgement

The Respondent hereby agrees to the terms set out in the Disclaimers and in the RFI.

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Signature of Witness

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Signature of Respondent Representative

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Name of Witness

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Name and Title

Date of Signature:

I have authority to bind the Respondent.