## Appendix A: Specification of Requirements

**INTRODUCTION**

The Library is at the heart of University provision as an academic Library of excellence, a physical and digital destination for knowledge acquisition, curation, and creation. The digital experience of the Library requires enhancement to match user expectations as a core service for a future-fit University.

We require a replacement Library Management Solution, matching or exceeding our specification as defined within this document, to be delivered before the start of Academic Year 2022-23.

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We require a replacement Library Management Solution, matching or exceeding our specification as defined within this document, to be delivered before the start of Academic Year 2022-23.

To deliver excellence in the digital Library service we are running an open above-threshold process, awarding a 5-year contract (with the option to extend by a further 3 + 2 years), on the principle of the Most Economically Advantageous Tender (MEAT).

**SPECIFICATION**

**Overview**

The existing LMS infrastructure is complex with hosting provided both externally and within UoD’s Data Centres. The desire is to move to a Cloud-only approach with key system integrations fully delivered to our requirements. The LMS should offer an excellent online library experience for students, staff and visitors. The solution should also create efficiencies for key library workflows, especially in e-resource management, circulation, document delivery, metadata management and data analysis.

The solution will be highly scalable to meet the demands of the institution and should have excellent business system integration capabilities using proven API technologies.

The Library Team are keen to engage with a partner who will ensure that on a day-to-day and more long-term basis, the partnership is driven by student satisfaction and continuous improvement. We would like to contract with a forward-thinking, innovative partner who provide regular updates in terms of their industry and sector knowledge, and who maintain an excellent support and development roadmap for their customers.

Please Note: Concurrently to this project, there is an RFQ for the replacement of Self-Service equipment within the libraries. The outcome of the Self-Service RFQ will result in either new Bibliotheca or Telepen equipment being installed. The LMS must integrate with both possible solutions.

Please Note: All Essential requirements must be met in your response to Phase 1 Evaluation, and will be confirmed by you answering PASS/FAIL Questions within Phase 1 of the evaluation. The relative importance of each criteria in Phase 2 of the tender evaluation is for information only, so that the evaluation team can determine a score based on our desired outcomes and criteria advertised here. This also provides a guide for bidders to determine how important each requirement is to the University.

**Reading List Management System and Discovery System**

As part of the solution for a new LMS, the University is also seeking to replace the reading list management system (RLMS) and discovery service. The University is seeking an integrated solution – a single solution that can offer an LMS, RLMS and discovery service. In this scenario the digitisation service will move to DCS from the existing supplier.

**LMS high level requirements**

The LMS will be an integrated system, providing opportunity for our students to discover collections and take full advantage of library resources in an accessible way. The LMS will be flexible and adaptable to ensure we deliver a future focussed service. The LMS will streamline library functions to create the right experience for our students to support their learning.

The high level requirements for a Library Management Solution are provided below. There also follows more specific technical criteria to adhere to, and their relative importance.

Acquisitions

* Selection, purchasing and receipting
* ERM (including licence management)
* Serials management (print and digital)
* Funds management
* Electronic resource collections
* Inter Library Loans
* Supplier management
* Ability to link through EDI with supplier platforms (e.g. Oasis, VLeBooks)

Cataloguing

* Creating, importing and exporting catalogue records
* Access to a pool of existing catalogue records
* Bulk edits to catalogue records, including bulk edits to urls
* Interactive authority control
* Native marc/Bibframe editor
* Withdrawal, suppression, deletion of catalogue records
* Local subject index creation
* Integration with MarcEdit

Circulations

* Circulation policy (local management parameters)
* Item history
* Borrowing
* Renewals
* User management (borrower information)
* Fines and Fees
* Reservations
* Integration with self-service machines

Compatibility

* RFID pads
* Remote book lockers
* Self-service kiosks
* Click and collect book lockers
* University of Derby mobile app platform – Campus M
* Security gates – current systems Juno and Sentry oRFID tags and Tattle tap

Reporting

* Suite of delivered reports
* Create customised reports
* Locally defined parameters for reports
* Ability to run one off queries
* Business intelligence Dashboard

User Management

* At least 70 user accounts
* Allow different user roles (e.g. circulation, acquisitions, admin role)

**RLMS high level requirements**

Integrations

* Integrate with suppliers to provide pricing, availability of stock and purchasing options
* Ability to feed purchasing criteria into system to automatically calculate amount of copies to purchase and in which formats.
* Integrate with digitisation system to provide and track digital scans of physical materials and provide working links to scans on RLMS.
* Ability to integrate with VLE to show accurate student numbers associated with each list.

User Management

* Ability to leave messages or notifications for list owners to see and track progress of reviews of lists and stock availability.
* Ability to for library staff to independently review Reading Lists and leave notes for students and colleagues

Reporting

* Track student and academic colleagues engagement with lists to see how well used they are.
* Ability to track usage of resources on lists e.g. amount of links clicked
* Ability to track how often a list has been edited and reviewed.
* Track average turnaround times for reviews
* Option to filter results to monitor engagement at school or departmental level
* Provide options to monitor how many items are within a list and the types and formats of resources on lists.

**Discovery service high level requirements**

General

* Multiple profiles (live (HE), test and live option for FE)
* Advanced and basic search options
* Customisable branding
* Ability for users to create personal user accounts (to save articles, searches etc)
* Ability to customise search settings and results page settings
* Ability to manage links and create custom links
* Embedded link resolver

Authentication

* Ability to manage authentication methods (IP, EZproxy, Shibboleth, OpenAthens etc).
* Ability to create/manage APIs that link to external services
* LTI integration for VLE

Holdings management

* Ability to add/remove resources
* Ability to edit holdings (dates, embargoes, links, notes)
* Ability to export holdings

Integrations

* Integrate with BrowZine and LibKey
* Integrate with LMS, RLMS, RapidILL, external forms (such as LibWizard)
* Integrate with referencing software (EndNote, Zotero, Mendeley etc.)
* Integrate with repository (Haplo)

Reporting

* Usage reports and analytics for discovery service (Counter R5)
* Link resolver statistics

**TECHNICAL REQUIREMENTS / CRITERIA**

1. **Core Library Management System Functionality**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 1.1 | Refer to High Level Requirements detailed above for the LMS | Essential |
| 1.2 | LMS with easy, out-of-the-box support for models of Library stock selection and acquisition, such as selection, purchasing and receipting but also patron-driven or evidence-based acquisition. | Essential |
| 1.3 | Data reporting capabilities; tracking expenditure across budgets and fund codes, status of orders, format of orders and circulation history. Ideally these data sets will integrate with other data sets to show usage of resources and reading list availability and engagement. | Essential |
| 1.4 | The system must integrate with the reading list management platform to simplify acquisitions workflows for acquiring materials on lists. | Essential |
| 1.5 | System needs in-transit functionality (Derby has a multi-site system) | Essential |
| 1.6 | It must be easy to upload & remove large eResource or eBook packages (subscriptions) with the ability to work on bulk | Highly Desirable |
| 1.7 | Financial year reflects prepayments across the budget / fund codes | Highly Desirable |
| 1.8 | Full EDI functionality – ordering and invoicing directly with suppliers; orders can be placed on vendor websites and transmitted/recorded on LMS. Invoices from suppliers can be uploaded on their servers and downloaded via LMS. | Highly Desirable |
| 1.9 | Electronic Resource Management capabilities, being able to store licence information and terms and conditions of collections, payment details, usage data and order history in one system. | Highly Desirable |
| 1.10 | A customisable dashboard a) depending on the type of user e.g. circulation staff and b) at user level allow customisation too | Desirable |
| 1.11 | Ability to track usage data / report on CPU for online resources | Desirable |

**2. RLMS and Discovery service**

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| --- | --- | --- |
| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 2.1 | Refer to RLMS high level requirements above | Essential |
| 2.2 | Refer to Discovery service high level requirements above | Essential |

1. **Integration Capabilities**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 3.1 | Single solution for LMS, discovery system and reading list management system – unified Library services platform | Essential |
| 3.2 | Solution must integrate with Bibliotheca self-service and Telepen gate software | Essential |
| 3.3 | Integration with Blackboard VLE (show Library data to students, book loans etc) | Essential |
| 3.4 | Integration with Peoplesoft Students (Import user records) | Essential |
| 3.5 | Integration with Campus M (show Library data to students, book loans etc) | Essential |
| 3.6 | Integration with ProSolution for FE students (Import user records) | Essential |
| 3.7 | Integration with iTrent HR (Import user records) | Essential |
| 3.8 | Integration with Oracle Finance (Export spend data, import budgets etc) | Highly Desirable |
| 3.9 | Integration with Haplo research information management solutions | Highly Desirable |
| 3.10 | Integration with MarcEdit | Desirable |
| 3.11 | Native integration with RapidILL | Desirable |

1. **Technical Infrastructure & Security**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 4.1 | Solution must be hosted in the Cloud (SaaS) | Essential |
| 4.2 | All data and services must be hosted within secure TIA-942 Tier3 (min) UK-based Data Centres | Essential |
| 4.3 | All data in transit must be encrypted with 256-bit SSL | Essential |
| 4.4 | Single Sign-On functionality is required (Azure Active Directory) | Essential |
| 4.5 | The successful bidder will be required to complete a Data Privacy Impact Assessment prior to the award of contract | Essential |
| 4.6 | Compliance with Data Protection Act (GDPR) 2018 | Essential |
| 4.7 | Provision of at least one ‘non-production’ Environment (sandbox, test, dev, training etc…) with full replication of data | Essential |
| 4.8 | Provision of multiple non-production environments | Highly Desirable |
| 4.9 | All personal data to be anonymised in all non-production environments | Highly Desirable |
| 4.10 | Suppliers with a current Cyber Essentials Accreditation | Highly Desirable |

1. **Student Experience**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 5.1 | The solution is required to be compliant with Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018 | Essential |
| 5.2 | One point of entry / interface for all discovery (no need for separate Catalogue) | Essential |

1. **Future System Developments & Innovation**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 6.1 | Regular updates and improvements to functionality of LMS (such as to circulations or acquisitions) | Essential |
| 6.3 | Limited / no downtime during updates | Highly Desirable |
| 6.4 | Greater data analytics pulled across all systems to link to user profiles and help identify users who may be struggling or need extra support e.g. by pulling together usage stats, circulation history, time spent in library, combined with time spent reading materials and compared to grades. | Desirable |
| 6.5 | A.I with the ability to personalise the learning journey and make content suggestions to users to aid their development, based on modules they are undertaking and circulation history. | Desirable |
| 6.6 | Ability to integrate with supplier’s catalogues and to feed our purchasing criteria into RLMS so that reviews can be automated and a list of required content, availability and formats can simply be approved rather than painstaking reviewed line by line as manual reviews. Ideally this process could run across all lists twice a year allowing the Library to ensure all Lists have full coverage and the budget can be more accurately forecasted and managed. | Desirable |

1. **Service, Support & Maintenance**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 7.1 | Regular updates to provider software are required to fix bugs/issues affecting our service, and to provide security fixes to ensure our data is protected | Essential |
| 7.2 | Service level agreements - timely responses to queries | Essential |
| 7.3 | Significant experience providing Library Management Solutions within the UK HE Library sector. | Essential |
| 7.4 | Significant UK LMS market share in HE academic libraries. | Essential |
| 7.5 | Significant UK RLMS market share in HE academic libraries | Essential |
| 7.6 | Requirement for additional ‘hyper-care’ or enhanced support during the early period post Go-Live to ensure no issues are encountered | Essential |
| 7.7 | Implementation charges to be invoiced upon successful deployment of the new solution. Training charges to be invoiced upon completion. Annual charges to be invoiced 12 months in advance. | Highly Desirable |
| 7.8 | System availability 99.9% across the year | Highly Desirable |
| 7.9 | Agile responses to suggested improvements or enhancements | Desirable |

1. **Implementation & Project Management**

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| **ID** | **Description** | **Relative Importance**  Essential / Highly Desirable / Desirable |
| 8.1 | The new system is required to be operational and fully functional in August 2022 in preparation for the 22-23 academic year. | Essential |
| 8.2 | Data migration from existing systems – Capita (LMS) and Talis (reading lists) | Essential |
| 8.3 | Supplier to provide Project Management resource to implement the agreed technical deliverables, adhering to agreed milestones, and risk/change approaches. | Essential |
| 8.4 | Supplier’s Project Manager to work collaboratively with University of Derby Project Team and Senior Supplier. Available to provide updates and attend meetings per agreed frequency. These could be remote or face to face. | Essential |
| 8.5 | Supplier’s Project Manager to lead technical activities relating to system and data (incl. migration, testing and cutover) in line with their solution requirements. | Essential |
| 8.6 | Robust, tried and tested test plans for all elements of the solution to be provided, with lessons-learned from previous installations. | Essential |
| 8.7 | Test plan will be agreed and signed off by key UOD stakeholders before Go-Live | Essential |
| 8.8 | Supplier’s Project Team to provide training materials and deliver training. | Desirable |
| 8.9 | Supplier to provide a training environment (Sandbox or other) | Desirable |