To conclude phase 3 reporting, the Systemwide Integrated Library System (SILS) Working Group shared this final report with the University of California (UC) Direction and Oversight Committee (DOC) and Council of University Librarians (CoUL) on July 27, 2020 for their review. This final report covers work completed during phase "3.5" from November 2019 to March 2020. Confidential information has been struck from this public version of the SILS Phase 3 final report.

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Executive summary

In October 2019, CoUL extended the SILS Working Group's phase 3 charge to cover "phase 3.5," which included the following activities to be carried out between November 2019 and March 2020 (Appendix A; Recommendation #2):

a) Charge a Contract and Negotiation Task Force to develop a statement of work and negotiate a SILS implementation and operations contract with Ex Libris;
b) Extend and adapt the charges for existing phase 3 groups as needed for activities such as implementation and harmonization planning;
c) Plan a phase 4 kickoff meeting; and
d) Submit a final report to CoUL in spring 2020, briefly outlining the work carried out and further recommendations.

In addition, CoUL authorized the California Digital Library to submit a revised MPI to the Office of the President, based on revised costs (Recommendation #3) and empowered the SILS Working group to charge and staff some phase 4 teams in advance of the actual start of phase 4 in consultation with DOC to populate these rosters (Recommendation #4). This work has been completed with the submission of this final report. This report serves to summarize the activities of phase 3.5 and does not present any recommendations to CoUL.

Harmonization pilots

The SILS Harmonization (SILS-H) subgroup was formed to focus on harmonization planning for workflows, practices and policies affecting the SILS. The subgroup has concluded their final deliverables, consisting of two harmonization pilots, in phase 3.5. They documented their findings and recommendations to inform the Shared Governance Task Force (SGTF) in their work on defining decision-making structures and processes.

The harmonization pilots were created to test fundamental harmonization processes including gathering experts, selecting topics, discussing potential areas of alignment, and coming to some agreement on next steps. Two pilot teams were created: an access services pilot, focused on investigating the alignment of loan periods; and a cataloging and metadata pilot, focused on the alignment of 9XX MARC bibliographic fields. Each team limited their scope of work to a "bite-size" topic as a proof of concept that could be concluded within the six month pilot.

A summary of each team's work was prepared in October 2019: Access Services Harmonization Pilot Final Report (Appendix B) and Cataloging & Metadata Harmonization Pilot Final Report (Appendix C). In addition, the SILS Harmonization Pilots Final Report (Appendix D), submitted to the working group in November 2019, provides an overview of the pilots along with significant observations and recommendations.

SILS-H worked with the pilot teams and the working group earlier in the process to draft harmonization principles, which were delivered in the SILS Phase 3 October report to CoUL.

Contract Negotiation Task Force

The working group received CoUL's endorsement to pursue negotiations with the apparent awardee, Ex Libris, in October 2019.

The Contract and Negotiation Task Force (CNTF) assisted UC Procurement Services with negotiating and drafting the SILS contract, including the contractual statement of work. The working group re-engaged phase 3 teams, notably the expertise groups, to assist with the development of the contractual statement of work. CNTF negotiated a contract within cost expectations and with strong accountability terms to ensure the vendor meets the agreed-upon deliverables before payments are made.

The contract with Ex Libris was approved by CoUL and signed on December 20, 2019.

The task force concluded their work with the execution of the contract and finalized statement of work. CNTF achieved their charged deliverables as follows:

1. Creation of a negotiation plan that is ratified by SILS working group and UC Procurement.
2. Negotiation of a statement of work (SOW) that appropriately supports UC SILS migration, implementation, and ongoing service.
3. Execution of a contract with the apparent awardee to support implementation as well as the MPI process.
4. Establish initial relationship with the apparent awardee and facilitate hand-off to appropriate groups within UC.

In support of #4, the working group appointed the CDL Discovery & Delivery group as the UC Libraries contact with Ex Libris to coordinate communications and the beginning of implementation processes, as well as the contact with UC Procurement to finalize all remaining issues.

SILS timeline for phases "3.5" and 4 - *Revised*

In carrying out phase 3.5, the SILS timeline for negotiations, planning, implementation and go-live was revised (see table 1). The phase 3.5 timeline below represents the actual timeline for this phase of work. The phase 4 timeline is based on the implementation roadmap developed with Ex Libris and is subject to change.

Table 1. Phases 3.5 (negotiations and preparation for implementation) and 4 (implementation and go-live)

SILS phase 3.5 (November 2019 - February 2020)	
Oct	Prepared for negotiation with apparent awardee
Nov - Dec	Conducted contract negotiations
Dec	CoUL approved finalized contract; signed contract December 20, 2019
Jan	Revised MPI submitted with finalized contract costs on January 14, 2020
Jan	CoUL approved charges and DOC nominated members for early "first wave" groups: Project Manager Operation Leads and Implementation Coordinators Group
Nov - Feb	Prepared shared governance and implementation models
Feb	CoUL approved shared governance structure and charges for phase 4 on February 19, 2020
Nov - Feb	Continued ILS data clean-up activities

Nov - Feb	Continued harmonization preparation activities
SILS phase 4 (March 2020 - TBD, likely through December 2021)	
Feb-Mar 2020	"First wave" group kickoffs for Project Manager Operation Leads and Implementation Coordinators Group the last week of February 2020; SILS working group, the first week of March.
Mar 2020	Kick-off phase 4 and implementation of the SILS
Mar 2020	DOC nominated members of SILS phase 4 cohort Feb 21-Mar 13, 2020
Apr 2020	"Second wave" kickoffs for remaining SILS groups
Mar 2020 - Aug 2021	Hire new SILS product manager Implementation, clean-up and harmonization will include: - Data cleanup and preparation - Harmonization of high priority migration topics - Third-party system integrations preparation - Configuration of new SILS - Training - Communications, including stakeholder engagement
Jun - Aug 2021	Final stage implementation of a production SILS will include: - Early public services access to production SILS for revising instruction and outreach materials - Cutover from legacy systems - Go-live (by early August, in advance of the fall semester start at UCB and UCM)
Sep - Dec 2021	Work immediately following the SILS go-live will include: - Harmonization of post-go-live priority topics - Continued data cleanup - Finalize ongoing SILS shared Governance (i.e. UCLAS-integrated governance)

Funding strategies (the MPI) and central staffing - *revised*

On behalf of the UC Libraries, CDL submitted a revised Major Projects and Initiatives (MPI) funding proposal to the Office of the President (OP) in January 2020 with revised actual costs and updated estimates.

One-time funds - *revised*

The **vendor implementation cost** for the SILS software was finalized through a successful contract negotiation; the finalized cost was reflected in the MPI revision.

The **SILS cost on-ramp** to reimburse campuses that are absorbing an increased expense with the new system was revised. This updated estimate is informed by the following factors: the known contractual SILS license costs; a final cost share model for the SILS contract agreed upon by the UC Libraries in

September 2019; and a 10% buffer because we cannot perfectly forecast financial renewal terms for campuses with year-to-year contracts. The operating principle for the cost on-ramp continues to be a 100% subsidy for all cost increases in year 1, declining to 50% and 25% in years 2 and 3, consistent with the approved MPI.

The **parallel systems cost**, have been reforecast for FY 21-22. This updated estimate is informed by the appraisal of the project working group that based on the vendor selected, planning on a maximum overlap period of 6 months (instead of 1 year) is appropriate.

All other costs remain forecast at the same level as in the approved MPI.

RLF SILS Planning Group proposed

The Regional Library Facilities (RLFs) hold a significant portion of the physical collections of the UC libraries. Over 400 monographs and journal articles are delivered to patrons every week day from the RLFs. To investigate the best way to manage the fourteen million items in the RLF collection in the upcoming SILS, an RLF SILS Planning Group (RSPG) was proposed to and approved by the SILS Working Group in January 2020. Gathering the information necessary to draft a fully informed set of recommendations around RLF record management may take the entirety of SILS Phase 4 (March 2020 to Fall 2021). Therefore, the SILS Working Group has approved that RLF records will continue to be managed with their host campuses and will migrate with UCLA and UCB records during the actual SILS migration in summer of 2021. During SILS phase 4 implementation discussions and decision making, the RLFs will be represented by UCB and UCLA staff. Any changes recommended by the RSPG and approved by SILS Working Group and other appropriate groups (e.g., Shared Library Facility Board) would need to be implemented in the Fall of 2021 or after.

Shared governance

The phase 3 work of the SILS Shared Governance Task Force (SGTF) concluded with CoUL's endorsement of the phase 4 shared governance structure, charges and work practices in February 2020 (Appendix E). Recommendation #4 from the Phase 3 October report stated "Empower the SILS Working Group to charge and staff some phase 4 teams in advance of the start of phase 4 (March 2020); the SILS Working Group will work with DOC to populate these rosters." Accordingly, the SGTF engaged CoUL in January 2020 for endorsement of the Project Manager Operation Leads and the Implementation Coordinators charges so that these teams could commence work in advance of the start of phase 4.

UC Davis Mabie Law Library joined SILS

In February 2020, a proposal was brought to the SILS Working Group requesting that UC Davis Mabie Law Library be included in the SILS implementation. Although the deadline for adding new affiliated libraries to the implementation had passed, the Working Group agreed to support an investigation into the impact and costs associated with adding UC Davis Law. Satisfied that the inclusion would not delay the implementation timeline or prohibitively impact ongoing SILS costs, the Working Group agreed to the inclusion of UC Davis Law on March 11, 2020. An amendment to the SILS contract with Ex Libris was signed in May 2020 which specified the conditions for their inclusion in SILS implementation and training. CoUL endorsed inclusion of Davis Law SILS subscription costs in the systemwide cost share.

Appendices

Appendix A: Phase 3 October Report - public version (October 2019) (link)

Appendix B: Access Services Harmonization Pilot Final Report (October 2019) (link)

Appendix C: Cataloging & Metadata Harmonization Pilot Final Report (October 2019) (link)

Appendix D: SILS Harmonization Pilots Final Report (November 2019) (link)

Appendix E: Shared governance structure, charges and work practices (February 2020) (link)