

The Systemwide ILS Planning Project Working Group shared this report with the University of California (UC) Direction and Oversight Committee (DOC), first on April 26<sup>th</sup> and then again on May 23<sup>rd</sup>, for their review and feedback. Once finalized, it was submitted to the UC Council of University Librarians (CoUL) on June 01<sup>st</sup>, 2018 for their review and endorsement. CoUL endorsed the phase 2 report and recommendations on June 15<sup>th</sup>, 2018.

Phase 2 working group members:

- Chris Shaffer, University Librarian, UC San Francisco (Co-Chair)
- Günter Waibel, Executive Director & Associate Vice Provost, California Digital Library (Co-Chair)
- Donald Barclay, Deputy University Librarian, UC Merced
- Christine Barone, Collections Project Coordinator, Southern Regional Library Facility (Project Co-Manager)
- John Bono, Associate University Librarian, UC Santa Cruz
- Peter Brantley, Director of Online Strategy, UC Davis
- Lynne Grigsby, Head of Library IT, UC Berkeley
- Cathy Martyniak, Director, Southern Regional Library Facility
- Erik Mitchell, Audrey Geisel University Librarian, UC San Diego
- Aislinn Sotelo, Program Director for Metadata Services, UC San Diego
- Virginia (Ginny) Steel, Norman and Armena Powell University Librarian, UC LA
- Lena Zentall, Project & Product Manager, California Digital Library (Project Co-Manager)

## Executive summary and recommendations

The working group for phase 2 of the Systemwide Integrated Library System (SILS) Planning Project was charged to:

- Carry out a high-level technical exploration to confirm the likely technical scope and cost for a systemwide ILS implementation at the UC Libraries.
- Complete initial business case and return on investment (ROI) analyses.
- Draft a report that outlines the technical scope, cost, and business case for a systemwide ILS implementation project at the UC Libraries for the Council of University Librarians (CoUL) to review and endorse.
- Review the systemwide ILS planning project charge and roster for phase 3 activities, and recommend changes to CoUL if necessary.

Commencing in January 2018, the working group surveyed the UC campuses and the California Digital Library (CDL) to identify the expected technical footprint for a future UC systemwide ILS and to determine the current annual expenditures for core library systems that may be replaced by a systemwide ILS. The working group also interviewed similar library consortia that have implemented consortial ILSs to gather information about their RFP processes, costs for implementation and maintenance, and lessons learned. Initial cost and business case analyses were carried out with vendor-supplied data and product overviews from Ex Libris, Innovative Interfaces, Inc., and OCLC. The working group has not made a formal assessment of the viability of these consortial ILS systems but rather proposes that such an evaluation be done via an RFP in phase 3.

Key findings:

1. Total ongoing costs for a systemwide ILS are expected to be comparable to or less than the current annual expenditures by UC Libraries. A complete ROI analysis will require pricing data that can only be obtained via the request for proposals (RFP) process.
2. Essential components of a systemwide ILS include an integrated library system, discovery, electronic resource management system, usage statistics/aggregated reporting, consortial link resolver, and resource sharing.
3. Conducting both a request for information (RFI) and RFP in phase 3 is duplicative and impractical due to constraints on the UC IT Sourcing Committee. The SILS planning project RFP is in UC Procurement's queue and the working group is awaiting final confirmation on a start date when staff will be assigned to the project. The working group requested that procurement staff be assigned no later than July 2018.
4. There are clear perceived benefits to a systemwide ILS as well as risks that can be identified and contained. The survey of the campus libraries and CDL did not surface risks that were unique to UC libraries or which appeared to be out of scale with the identified opportunities.
5. Central staffing support will be required for a systemwide ILS. While it is not possible to quantify potential long-term impacts on campus staffing, implementation will require significant effort on the part of staff across the UC Libraries. Similar library consortia

expressed the belief that the shift to a systemwide ILS is helping them achieve new efficiencies and new and better models of support.

Working group recommendations:

1. Empower the existing working group to carry out the revised phase 3 charge.
2. Support participation, including travel costs, of all working, expertise, and campus liaison group members at a kickoff meeting at UC San Diego on Monday, September 10.
3. Charge the working group to expand upon [CoUL's principles and shared assumptions for investigating a systemwide ILS](#) to more directly guide the library staff developing shared policies, workflows, processes, and systems implementation in the proposed phase 3 expertise groups. The revised principles and shared assumptions will be submitted to CoUL for review prior to the kickoff meeting at UC San Diego where they will be finalized.
4. Charge the working group to investigate and document funding strategies both for the systemwide ILS implementation and for ongoing, centralized staffing for operations and support. These strategies should then be discussed as well as implemented by CoUL as part of phase 3.
5. Charge the working group to identify governance structures that will be needed during future exploration, implementation and operational phases of the systemwide ILS. This work should include creating and leveraging a structure appropriate to future phases that addresses campus and systemwide needs.

## **Investigating a systemwide ILS: CoUL principles and shared assumptions**

1. We reaffirm the value of 1 UC Library Collection: the UC Library Collection is an integrated, shareable user-centric collection that supports and enhances the mission of the University of California and whose strength is derived from the diverse nature of the individual campus library collections.
2. We recognize the technical unsustainability and inherent risks of our present patchwork of library systems as highlighted in the Future of Resource Sharing (April 21, 2017) and Shared Regional Library Facility ILS (June 12, 2017) reports.
3. We desire a transformative level of integration and/or centralization of library business processes and workflows, at both the local and systemwide level, in core functional areas of library services such as circulation, the management of print, media, and electronic collections, and resource sharing.
4. We recognize that movement to a next-generation systemwide ILS is fundamental to continued and future collaborations involving the development and management of UC library collections and collections-based operations and services.
5. We see the critical dimensions of this ILS project as not just technical and financial, but also policy harmonization and building and supporting a staff work culture that sustains systemwide efforts.
6. We acknowledge that local campus ILS transitions may need to happen while we explore a systemwide ILS and those do not negate our collective commitment to a shared system.
7. We recognize that a systemwide ILS will require significant one-time implementation funding. We assume, and will confirm, that the ongoing operation and maintenance of a systemwide ILS will cost no more than what the campuses and CDL currently devote to our independent library systems.
8. We commit to transparent and open communications across the system as we move forward with the investigation.

Last updated: 2017-10-10

# Charge: SILS Working Group - Phase 3: RFP / Harmonization

## Introduction

In late 2017, the Council of University Librarians (CoUL) charged and appointed a working group for the Systemwide ILS Planning Project (the SILS Working Group) to continue the work described in the Directions and Oversight Committee (DOC) report on the Future of Resource Sharing (June 9, 2017) and the report of the Shared Regional Library Facility ILS Six Month Exploration Period (June 12, 2017). Together these reports made a compelling case for a more thorough exploration of a systemwide Integrated Library System (ILS) for the UC Libraries.

The SILS Working Group was charged to carry out the activities and deliverables identified in phase 2 of the timeline. This phase of work focused on an analysis of the consortial ILS marketplace and UC's current library systems landscape to develop a high-level overview of the likely technical scope and cost for a systemwide ILS implementation at the UC Libraries. The SILS Working Group *Phase 2: Exploration - Final Report* lays out findings and makes recommendations for phase 3 governance, activities, and deliverables.

## Charge

The SILS Working Group is charged to carry out the activities and deliverables identified in phase 3: RFP of the timeline below. The SILS Working Group will create the phase 3 governance structure by charging six Expertise Groups, a Chairs Plus Group, and a Campus Liaison Group. Members of the Expertise Groups and the Chairs Plus Group will be appointed by the SILS Working Group, while each campus and RLF will appoint their Campus Liaison and local Campus Group(s).

The **Expertise Groups** will draft RFP requirements and identify areas requiring policy and procedure harmonization across the UC system. The six Expertise Groups will be:

1. Access Services, Circulation, and Resource Sharing
2. Acquisitions and Electronic Resource Management (ERM)
3. Analytics and Reporting
4. Cataloging and Metadata
5. Discovery Interface and Configuration
6. Systems and Development

In coordination with DOC, six members with appropriate functional knowledge will be appointed to each expertise group.

The **Chairs Plus Group** will harmonize the activities of the Expertise Groups and refine RFP requirements and policy/procedure recommendations prior to submission to the SILS Working Group for approval. It will be composed of the chairs of the Expertise Groups and the co-project managers. A member of the SILS Working Group will serve as chair of the Chairs Plus Group.

The **Campus Liaison Group** will be composed of the liaisons identified for the campuses, the California Digital Library (CDL), and the Regional Library Facilities (RLFs), the co-project managers, and one or two SILS Working Group members (one of whom will serve as chair). The group will serve as a representative point of contact for the Expertise Groups and Chairs Plus Group. Each group member will collect feedback from their local experts and Campus Groups on RFP requirements and policy/procedure harmonization.

Individual campuses and the CDL will form **Campus Group(s)** to respond to calls for feedback from expertise groups on RFP requirements and policy/procedure recommendations. The campus liaison will co-organize its campus groups and act as a single point of contact for the SILS Working Group and Expertise Groups. The campus liaison will also serve on the Campus Liaison Group.

## Reporting Line

The SILS Working Group reports to CoUL. CoUL and DOC representatives on the SILS Working Group will provide regular updates to their respective committees. At the end of each phase of work, CoUL will review and endorse the group's recommendations and deliverables.

## Timeline and Deliverables

Phase 1 (July - September 2017): Start-up (COMPLETED)

- Draft a statement of principles that articulate why the UC Libraries are investigating a systemwide ILS.
- Draft a charge for a Systemwide ILS Working Group that will define and recommend the processes and activities needed to investigate and plan for a systemwide ILS implementation for the UC Libraries.

Phase 2 (January-June 2018): Exploration (COMPLETED)

- Carry out a high-level technical exploration to confirm the likely technical scope and cost for a systemwide ILS implementation at the UC Libraries.
- Complete initial business case and return on investment analyses.
- Draft a report that outlines the technical scope, cost, and business case for a systemwide ILS implementation project at the UC Libraries for CoUL to review and endorse.
- Review charge and roster to ensure both support phase 3 activities; recommend changes to CoUL if necessary.

### Phase 3 (July 2018 - October 2019): RFP/Harmonization

- Engage library staff and constituents around the planning process, expectations, and needs.
- Expand upon the existing [CoUL principles and shared assumptions for investigating a systemwide ILS](#) to more directly guide the library staff developing shared policies, workflows, processes, and systems implementation in the proposed Phase 3 expertise groups.
- Carry out detailed planning around functional and technical needs, policy and procedure harmonization, communications, and business case needs; charge and appoint subgroups as necessary.
- Develop value propositions for migrating to a systemwide ILS, including the benefits to end users and the opportunity for future cost avoidance.
- Complete an RFP process in collaboration with UC Procurement.
- Propose and begin implementation of policy and procedures harmonization. Create a shared vision for a SILS.
- Identify funding strategies. Propose cost sharing models.
- Identify central staffing required for implementation and ongoing maintenance and draft position descriptions where appropriate.
- Recommend principles of a consortial governance model to support implementation and management in phase 4 and beyond.
- Draft a report detailing the recommended system(s) and initial implementation plan (phase 4) for CoUL to review and endorse.

### Phase 4 (November 2019-onwards): Implementation

- Details forthcoming (to be shaped in phase 3).

## Membership

The Working Group includes functional representation from public services, collections, business services and IT. The group also includes CoUL, DOC, CDL and RLF representatives. The roster is as follows:

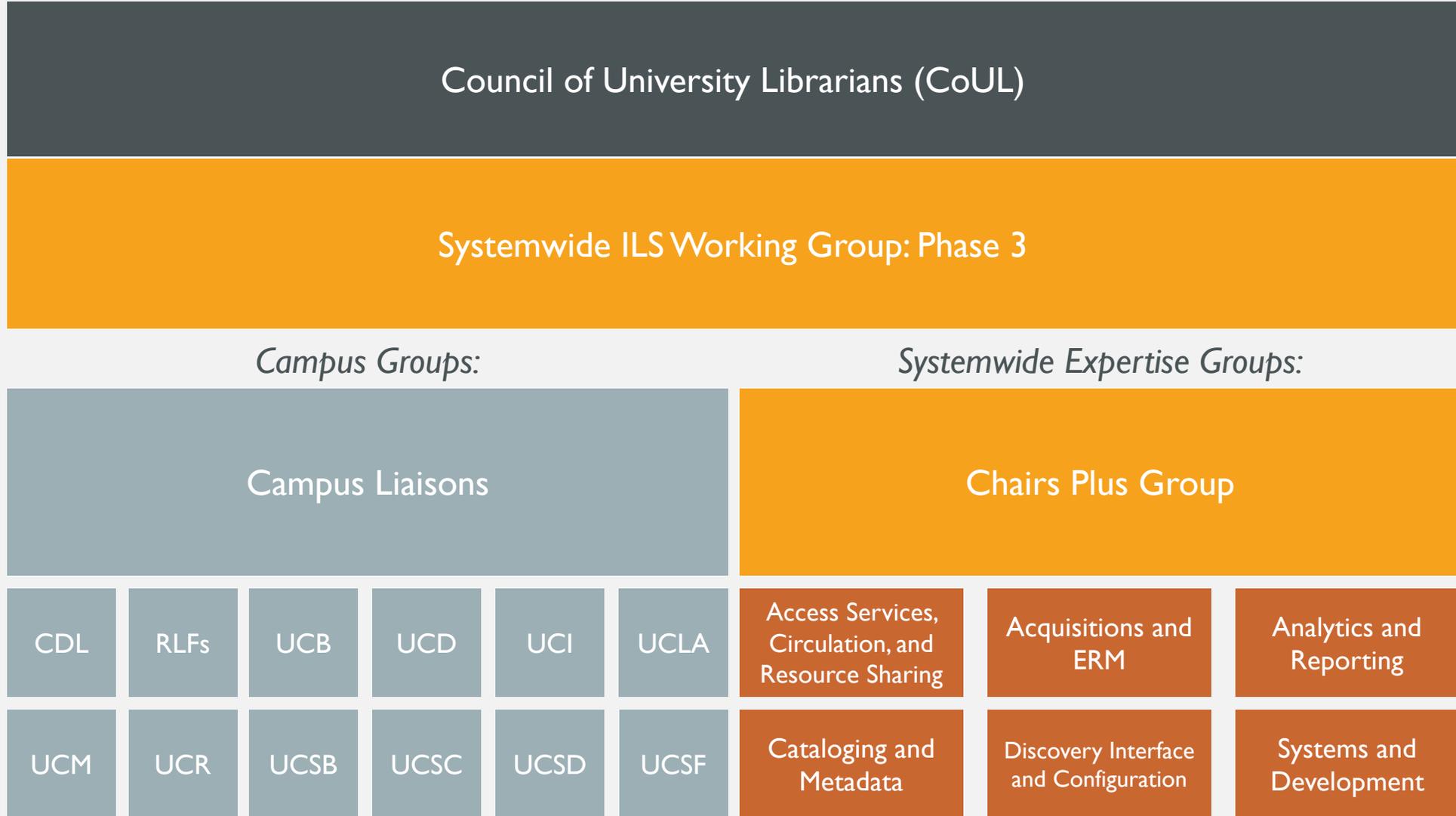
- Chris Shaffer, University Librarian and Assistant Vice Chancellor, UC San Francisco (Co-Chair)
- Günter Waibel, Executive Director & Associate Vice Provost, California Digital Library (Co-Chair)
- Donald Barclay, Deputy University Librarian, UC Merced
- Christine Barone, Collections Project Coordinator, Southern Regional Library Facility (Project Co-Manager)
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- Lynne Grigsby, Head of Library IT, UC Berkeley
- Cathy Martyniak, Director, Southern Regional Library Facility

## Systemwide ILS Planning Project – Phase 2 (Exploration) – Public Report

- Erik Mitchell, The Audrey Geisel University Librarian, UC San Diego
- Virginia (Ginny) Steel, Norman and Armena Powell University Librarian, UC Los Angeles
- Aislinn Sotelo, Program Director for Metadata Services, UC San Diego
- Danielle Westbrook, Systemwide Library Planning Analyst, California Digital Library (Communications Manager)
- Lena Zentall, Product Development Supervisor, California Digital Library (Project Co-Manager)

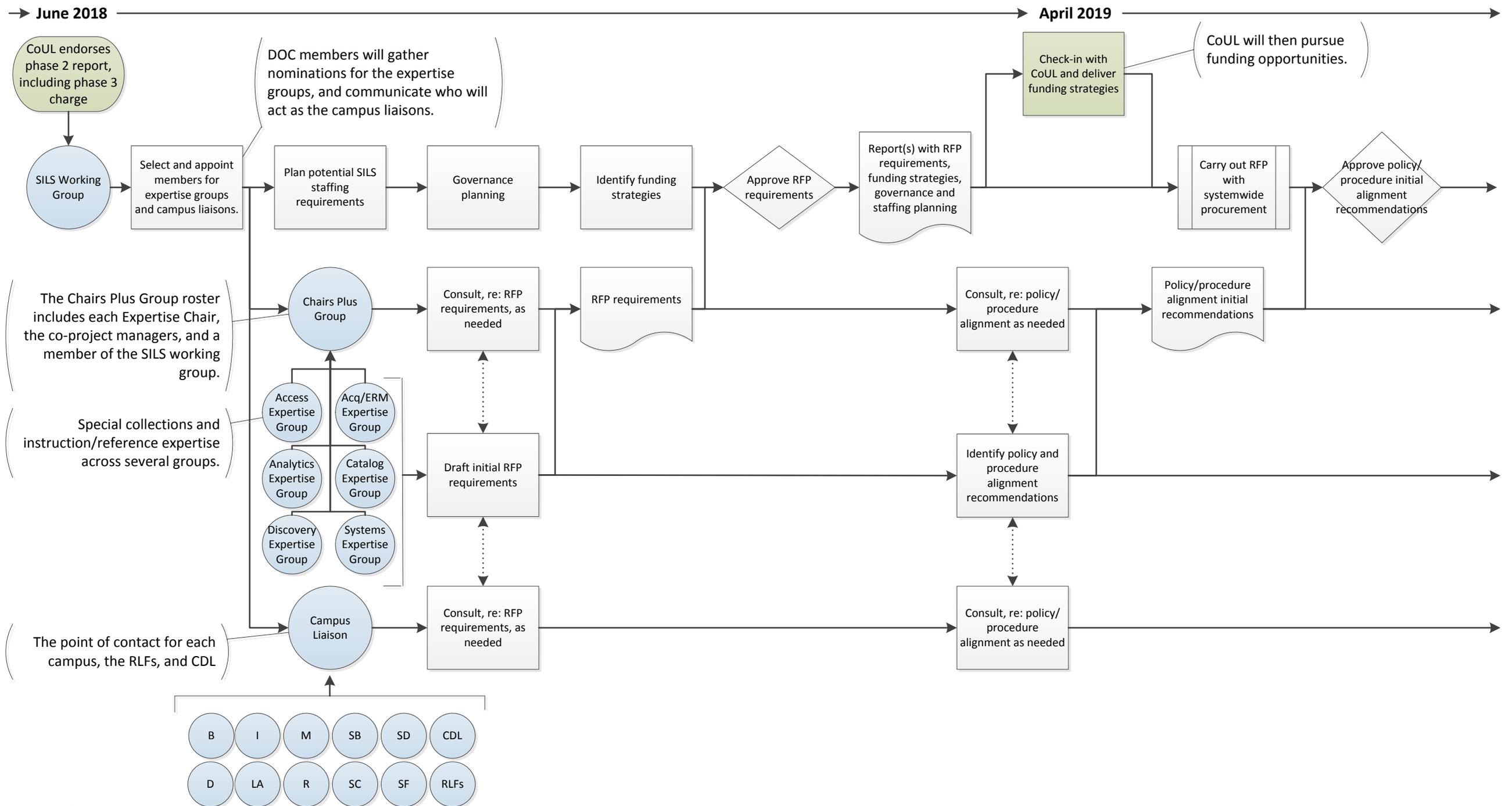
Working group members agree to make a sixteen-month commitment to carry out phase 3 activities.

# Systemwide ILS Phase 3 Organizational Structure



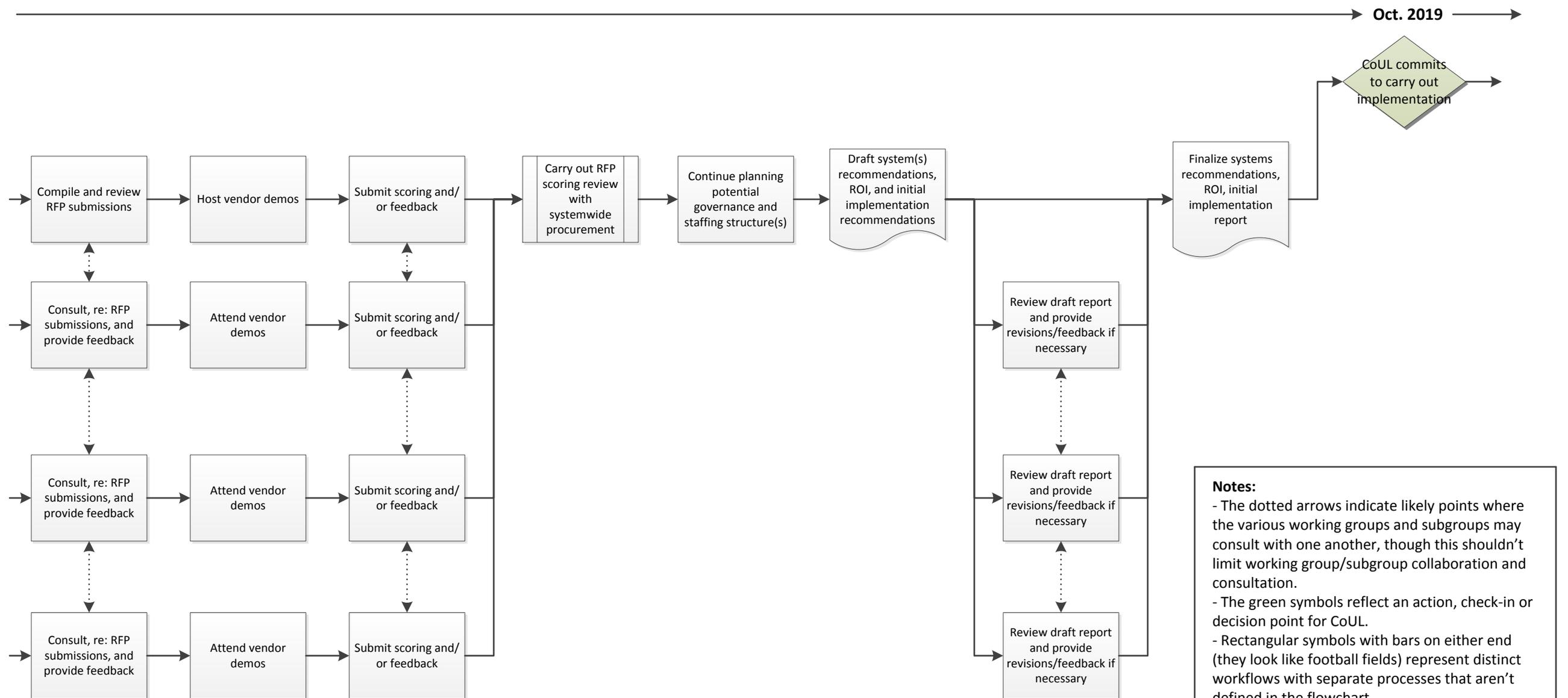
# Systemwide ILS Planning Project: Major Phase 3 Activities

June 15, 2018



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**Notes:**

- The dotted arrows indicate likely points where the various working groups and subgroups may consult with one another, though this shouldn't limit working group/subgroup collaboration and consultation.
- The green symbols reflect an action, check-in or decision point for CoUL.
- Rectangular symbols with bars on either end (they look like football fields) represent distinct workflows with separate processes that aren't defined in the flowchart.
- Although this flowchart is not a swim lane diagram, it can be read from left to right, and the activities that extend from the blue bubbles on the left are processes/actions/decisions taken by the groups/subgroups represented in the bubbles.