

# UC Office of the President

## Works from UC Libraries SILS Project

### **Title**

Phase 4 Midterm Report (Public Version). Summary of Work.

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## Phase 4 midterm report (public version) Summary of work

As part of its [phase 4 charge](#), the Systemwide Integrated Library System (SILS) Working Group shared this mid-term report outlining work completed so far with the University of California (UC) Direction and Oversight Committee (DOC) and Council of University Librarians (CoUL) on April 23, 2021 for their review. This report covers work completed during the first 12 months of phase 4 from March 2020 through March 2021.

Executive summary

Financial: campus cost forecasts and central staffing

SILS timeline for phase 4 - *Revised*

Implementation phases completed

Changes to shared governance structure

Tasks completed from the project manager operation leads work plan

Training and end-user outreach activities

Communications/engagement

Data Privacy Task Force

Innovative Contract Extension Task Force

RLF Configuration Task Force

Shared Governance Task Force

Appendices

Appendix A: SILS Principles and shared assumptions ([July 2020](#))

Appendix B: SILS Project Manager Operation Leads work plan ([June 2020](#))

Appendix C: Training Documentation Hub ([February 2021](#))

Appendix D: Resource Lake ([March 2021](#))

Appendix E: UC Library Search Frequently Asked Questions ([FAQs](#))

Appendix F: End User Naming Subgroup charge and recommendation ([November 2020](#))

Appendix G: Data Privacy Task Force charge ([March 2021](#))

Appendix H: Innovative Contract Extension Task Force charge ([July 2020](#))

## Executive summary

During the first year of phase 4 (March 2020 to March 2021) the SILS Working Group has focused on guiding the project in three distinct areas: 1) implementation, 2) policy and practice, and 3) training and outreach.

The cohort's timeline has been driven by a go-live date of July 27, 2021 which was approved by the Implementation Coordinators in consultation with their campuses and in consultation with ExLibris during the onboarding phase.

As a best practice for consortia adopting a SILS, phase 4 work began with a vanguard phase of five campuses, one "already Alma/Primo" and four new to ExLibris as a service provider, from June to October 2020.

The current test phase for all 10 campuses, two RLFs and the CDL is prioritizing the minimal viable product required for go-live, as directed by the Policy and Practice Coordinators.

Internal (staff) training began with the vanguard phase and has continued with mandatory Alma/Primo certification by representatives at all campuses, complemented by ExLibris-hosted workshops open to interested systemwide staff.

The majority of work charged to the Working Group in phase 4 is continued oversight and guidance of the project groups without specific actions assigned. Three deliverables with assigned actions have been completed:

1. SILS implementation principles were approved by the working group on July 1, 2020 and approved by CoUL as a consent agenda item at their July 2020 meeting (Appendix A)
2. SILS groups were successfully launched and briefed on the project, and the project managers developed and facilitated phase 4 kickoff cohort meetings
3. In January 2021 the Working Group fulfilled its charge to consider shared branding of the SILS through an end-user facing name – UC Library Search – and accompanying wordmark

The Working Group also recognized the need to supplement the phase 4 organizational structure with additional groups to support specific project objectives. These new groups, which include both existing and new SILS cohort members, are:

1. Innovative Contract Extension Task Force to reduce financial burden for existing Innovative customers
2. End User Naming Subgroup to research and propose an end-user name for the SILS discovery platform
3. Data Privacy Task Force to make recommendations related to data privacy as pertaining to Alma and Primo
4. A Regional Library Configuration Task Force (RCTF) to investigate how to configure RLF materials and make recommendations to the Working Group.

As SILS Phase 4 enters its final 100 days before go-live, the Working Group wants to acknowledge that heightened workloads and COVID-19 constraints continue to impact staff at both the cohort and local levels, and the continued importance of local messaging around the potentially variance in staff performing their duties with full efficiency immediately post go-live.

At this time, no recommendations by CoUL are being requested in the below report.

## **Financial: campus cost forecasts and central staffing**

CDL did not submit a revised Major Projects and Initiatives (MPI) funding proposal to the Office of the President (OP) during this reporting period.

Implementation and ongoing SILS costs covered by OP are:

- Central staffing support for the SILS product manager (hired) and data analyst (forthcoming)
- Full SILS implementation costs to the vendor, Ex Libris
- [NISO Circulation Interchange Protocol](#) script costs to the vendor (OCLC) for campuses in FY20/21 and FY21/22
- Financial on-ramp assistance for campuses that see a cost increase in migrating to the SILS (OP will cover 100% of the FY 21/22 contractual cost increase, and 50% and 25% in FY 22/23 and FY 23/24)
- Parallel systems costs in FY 21/22 (commencing July 01, 2021 OP will pay local, standalone system costs for the applicable contractual periods; all libraries will benefit from this support)

Implementation and ongoing SILS costs covered by the campus libraries and CDL are:

- In-kind staffing costs
- All data clean-up and migration costs
- Local systems integration costs (if any)
- Local (pre-SILS) standalone ILS and discovery contract costs up until June 30, 2021 (OP parallel systems coverage will commence at the start of FY 21-22)
- SILS contract costs starting July 01, 2021

CDL held two meetings (October 2020 and March 2021) with campus financial officers to provide information about the costs borne by OP and those charged to campuses as well as provide the process by which campuses will be charged for their share of SILS costs.

Through CDL, OP will make direct payment to Ex Libris for the vendor implementation cost. CDL will also manage the payment to Ex Libris for ongoing SILS contract costs and will recharge each campus annually for the net payment (ongoing SILS contract fee, new system on-ramp support and parallel systems support). At the beginning of the fiscal year, CDL will confirm the annual recharge payment with campuses. CDL will recharge SILS costs by the end of the first quarter of each fiscal year.

### **Central staffing**

CDL was successful in recruiting for and hiring for the SILS Service Manager position, funded by the Office of the President. Caitlin Nelson started in the position on July 1, 2020 as planned. The second position funded by the Office of the President, a data analyst, was originally set to begin work July 1,

2021. However, due to the hiring freeze at UCOP, CDL now believes a realistic start date may be January 2022.

### SILS timeline for phase 4 - *Revised*

The phase 4 timeline is based on the implementation roadmap developed with Ex Libris and is subject to change. The phase 4 end date, originally stated in charges as “concluding sometime between September and December 2021”, is in active discussion with the Shared Governance Task Force and Working Group. On April 7, SGTF sought feedback at the SILS Chairs group on when phase 4 should conclude, and the topic will be discussed at the April 16 Working Group meeting. The phase 4 end date will be included in the ongoing shared governance final package to CoUL.

Table 2. Phase 4 Implementation and go-live

<b>SILS phase 4 (March 2020 - TBD)</b>	
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: <ul style="list-style-type: none"> <li>- Data cleanup and preparation</li> <li>- Harmonization of high priority migration topics</li> <li>- Third-party system integrations preparation</li> <li>- Configuration of new SILS</li> <li>- Workflow development</li> <li>- Training</li> <li>- Communications, including stakeholder engagement</li> </ul>
Jun - Jul 2021	Final stage implementation of a production SILS will include: <ul style="list-style-type: none"> <li>- Early public services access to production SILS for revising instruction and outreach materials</li> <li>- Technical freeze on current databases</li> <li>- Cutover from legacy systems</li> <li>- Go-live July 27</li> </ul>
Aug - Dec 2021	Work immediately following the SILS go-live will include: <ul style="list-style-type: none"> <li>- Harmonization of post-go-live priority topics</li> <li>- Continued data cleanup</li> <li>- Switchover to Ex Libris support by end of Oct</li> <li>- Finalize ongoing SILS shared Governance (i.e. UCLAS-integrated governance)</li> </ul>

## Implementation phases completed

### Onboarding March 2020-May 2020

Phase 4 of the SILS project was officially launched in March 2020. Kickoffs were staggered with the first wave taking place in late February to early March for the SILS working group, Implementation Coordinators (ICs) and the Project Manager Operations Leads (PMOL). In April 2020, the second wave of kickoffs took place for the remaining SILS groups.

Key tasks for this phase included:

- Provisioning sandbox environments
- Completing initial implementation and migration forms
- Choosing vanguard institutions
- Completing the [Getting to Know Alma](#) training

### Vanguard June 2020-October 2020

A subset of our 10 campuses and CDL carried out a test migration as proof of concept. The campuses that participated in the vanguard were:

- UCSB (existing Primo/Alma campus)
- UCB + NRLF
- UCLA + SRLF
- UCSF
- UCSD
- CDL (central records management)

Vanguard test environments were delivered to all participating campuses and CDL between September 4th and September 7th, 2020 with the exception of UC Berkeley's which was not delivered until September 18th. A root cause analysis revealed that issues stemming from an Oracle upgrade interfered with Berkeley's data loading correctly into their test environment. This delay also impacted the delivery of the vanguard Network Zone which could not be built until UC Berkeley's data was successfully loaded. The delay in receiving Berkeley's vanguard environment also negatively impacted the start of some testing. Making modifications to records affecting the Network Zone was postponed an additional week to allow Berkeley time to validate their data.

Campuses participating in the vanguard phase did not make decisions for the 10 campuses and CDL; rather, the lessons learned from their participation were shared broadly and their experience was used to inform implementation decisions that we make as a system during the implementation phase of work.

Key tasks for this phase included:

- Preparing data for migration (vanguard institutions)
- Building and testing vanguard Institution Zones and the shared Network Zone
- Test data load in September 2020
- Reviewing test environment, data and policies
- Sharing lessons learned, such as the need for clear communication between the UCs and Ex Libris, the value of continued data cleanup, and coordinating work so that data extracts don't bring down production systems

While only a subset of campuses participated in the vanguard, all campuses were involved in work during this phase, including testing data, policy and practices coordination, and training activities.

### **Test Load November 2020-May 2021**

The implementation test load is currently underway. Details will be shared in the phase 4 final report.

### **Changes to shared governance structure**

As the project cohort began to work within the framework of the [SILS Phase 4 Shared Governance Structure](#), it became clear that a few of the theoretical constructs would need to be adjusted for the structure to work well in practice. These changes arose organically and adjustments were made as they were identified.

Changes made to the SILS Phase 4 Shared Governance Structure included:

- Allowing Step B members of functional groups to attend meetings and to vote at the discretion of the functional group co-chairs. Using a stepped approach to membership proved to be complex and was not easy to apply in practice, for example, recognizing which members were Step B, preventing Step B members from attending meetings, and excluding Step B members from voting.
- Disbanding the Training and Outreach Coordinators (TOC) group when it was realized that the Internal Training and End-User Outreach Subgroups (EUOS) did not need to coordinate to accomplish their goals
- Using the embedded project manager designated for TOC as the embedded project manager for both ITS and EUOS individually. This allowed for better project coordination with the Ex Libris project manager and ITS and the SILS project managers and EUOS
- Creating two new groups to improve cross-project communication: SILS Chairs which includes all chairs in the SILS cohort, and Coordinators which consists of the co-chairs of the Implementation Coordinators and the Policy and Practice Coordinators as well as the co-project managers

### **Project management**

The SILS Project Manager Operation Leads delivered their work plan to the SILS Working Group for review and endorsement at the June 12, 2020 meeting (Appendix B). Work is divided into three stages: 1) planning and kickoff work from March to May 2020, 2) project support June 2020 to July 2021, and 3) post-go-live work from August to December 2021.

Stage 1 work is complete. Tasks included:

- Setting up project collaboration tools
- Designing documentation templates and best practices, including for minutes and tracking action and decision items, to be shared with all cohort groups for their use
- Kicking off all groups
- Designing a “taking the temperature” survey for group chairs to assess the baseline understanding of the project by members
- Completing pre-mortems and risk mitigations

Stage 2 work supporting the project is underway and includes:

- Managing and refining the overall project timeline

- Managing and refining the implementation timeline and meeting and training schedules working with the Ex Libris project manager and in consultation with coordinator groups
- Serving as embedded project managers on the coordinator level teams (Implementation Coordinators, Policy & Practices Coordinators, Training groups) and providing guidance to the groups and subgroups that correspond with their applicable coordinator group
- Reporting on project status; onboarding new SILS cohort members that join mid-phase
- Managing offboarding and serving as the point of contact for project questions and issues

## Communications / engagement

The SILS Communication operation leads were appointed to the project in April 2020, and their deliverables to date include:

- A comprehensive SILS Project Phase 4 communication [work plan](#) and a [communication flow diagram](#), outlining all the communication channels and content among project stakeholders
- An [abbreviation guide](#) for the main terms used in the SILS project
- Intake meetings with all SILS group chairs, to determine and discuss their groups' communication needs
- Thirteen [SILS News announcements](#) released between April 2020 and February 2021
- [SILS Value Propositions](#) document, for communication with UC-wide constituent groups not embedded in our UC Libraries infrastructure. The document provides an overview of SILS, as well as its value on three different dimensions: service, financial and library infrastructure
- Six monthly SILS Cohort Town Halls, attended by over 70 participants per session
- Two quarterly Town Halls open to all UC Library staff, attended by over 250 participants per session
- Organized and optimized the structure of the [SILS Confluence wiki space](#)

## Training and end-user outreach activities

After meeting for several months, the Internal Training (ITS) and End-User Outreach Subgroups (EUOS) determined they did not need to coordinate their work. Rather, it was more useful for each group to create a steering meeting for their respective groups than to meet together as the Training and Outreach Coordinators group (TOC). Therefore, TOC was disbanded in July 2020. The project manager (PM) assigned to TOC was reassigned to a dual appointment as the embedded PM in ITS and EUOS.

### Internal Training Group

- Due to the COVID-19 pandemic, Ex Libris workshops were converted from in-person to live remote workshops. The change to remote workshops eliminated the need for train-the-trainer sessions as all local staff could directly attend their campus training if approved by their managers.
- Held a series of Ex Libris-led Alma and Primo VE live remote training, beginning with Vanguard campuses in July 2020 and continuing with the Spring workshops in March 2021.
- A UC SILS Training Documentation Hub has been introduced to provide information about training and workflow documentation related to the UC's implementation of Alma and Primo VE (Appendix C).
- Tracked Alma and Primo VE certifications required before cutover to Alma in July 2021. All campuses have completed their certifications as of March 2021.
- Note: the Internal Training Subgroup is not responsible for local training plans. Local training is being managed internally by each campus.

#### End User Outreach Subgroup (EUOS) Work

- Developed a communication plan with coordinated news releases and corresponding website updates. Sent out the first monthly news release on February 16, 2021.
- The End User Outreach Subgroup and Communication Operation Leads introduced a new “Resource Lake” for library patron-facing outreach materials, including the UC Library Search wordmark (Appendix D).
- Established locally-organized End User Outreach teams at each campus to customize communication materials based on specific local needs in December 2020.
- Created UC Library Search Frequently Asked Questions website to respond to end-user questions in February 2021 (Appendix E).

The End User Naming Subgroup (EUNS) was formed in November 2020 to propose an end-user name for the SILS discovery platform (Appendix F). On January 29, 2021, CoUL formally approved UC Library Search as the patron-facing name for the discovery platform.

#### **Data privacy task force**

The SILS Phase 4 Data Privacy Task Force was charged in January 2021. (Appendix G) Members include Salwa Ismail (UC Berkeley, Chair), Peter Brantley (UC Davis), Todd Grappone (UC Los Angeles), Chris Shaffer (UC San Francisco), Kent Wada (UC Los Angeles). The Data Privacy Task Force was charged for phase 4 work only.

The transition by the UC Libraries to a shared SILS environment offers new opportunities for data analytics to support decision-making in individual libraries and across the UC system. Concurrently, the privacy of library patrons and others need to be considered alongside the development of such analytics to safeguard against misuse and unintended consequences. This creates the need for a consistent set of expectations about responsible and appropriate use of such data for SILS, in conjunction with information security and other compliance obligations. To ensure that new analytics opportunities can be proposed and reviewed while aligning with privacy expectations, the task force was charged to describe the current landscape of data privacy policies and practices and to identify those issues that are already addressed by existing policies and practices, or contractually via the agreement with the vendor (Ex Libris).

This task force has been charged to make recommendations by July 2021 for:

- Initial operating principles that will guide SILS in enabling the UC Libraries to leverage opportunities for data analytics to support decision-making while meeting statutory and regulatory obligations in a manner respectful of individual privacy
- Governance (to be shared with Shared Governance task force), including scope and authority, and necessary surrounding processes, including transparent mechanisms to review new data analytics requests, resolve conflicts, align policy and practice across SILS, and respond to the changing privacy landscape
- Specific actions or practices needed to implement this framework as policy and communicate it to the UC community

The task force has met twice so far. Initial discussions have been around governance, scope, and operating principles. The task force plans to invite representatives from other consortia to discuss how they have approached privacy issues.

### **Innovative contract extension task force**

The Innovative Contract Extension Task Force was charged in July 2020 to consider issues related to the extension of contract for the current Innovative Millennium customers and make a recommendation to the SILS Working Group about next steps. (Appendix H)

The taskforce initially agreed to the following goals:

- Negotiating together on behalf of all affected campuses (UCSD, UCSF, UCB, UCD Law)
- Preference for a four-month contract extension for all campuses (7/1/21 - 10/31/21), including a four-month hosting extension for UCD Law and a two-month hosting extension for UCSF
- No service disruption or support disruption
- Preference for pure prorated cost, for the partial-year renewals

Final result:

- Although III initially insisted on extensions that we found to be incompatible with our goals, we were able to obtain straight prorated pricing and extensions for the number of months preferred by each campus

### **RLF SILS planning group (RSPG) / RLF configuration task force (RCTF)**

The RLF SILS Planning Group (RSPG) was originally charged in January of 2020, prior to the finalization of the SILS Phase 4 governance structure. The six-member group first met in February and was tasked with investigating various options for managing RLF bibliographic, holdings and item records in the Alma/Primo VE environment. Early work from the committee included review of orientation readings and interviewing like consortia. By June, it became clear that communication of the existence and role of the group within the overall SILS project was hindered by RSPG placement outside the governance structure. The group discussed where within the structure we should be placed and settled on a task force since we are very cross functional and have a clearly defined deliverable. The group drafted a proposal for Working Group in September that included the following recommendations:

- Retain original charge
- Move RSPG into the Phase 4 structure as a task force
- Change name to RLF configuration task force (RCTF)
- Maintain current membership

SILS Working Group gave preliminary approval to the first three recommendations and suggested one additional member in the area of Public Services/Collection Development. Vanguard testing caused significant workload issues for many of our members and our Resource Management member needed to leave the group. The group unanimously agreed to pause activity in order to focus on vanguard issues and find two new members. The two co-chairs continued to attend SILS all-chairs meetings during the pause. Two new members were identified, vetted by DOC and approved by WG by January of 2021. New member orientation took place that same month.

As of March 2021, the group is working on survey questions. The survey will gather data from the various RCTF stakeholder communities including campuses, the RLF staff, CDL shared print staff and systemwide groups. The co-chairs are beginning to outline the structure of the final deliverable, due this Fall.

The Shared Library Facility Board (SLFB) was provided with an update on the work of the RCTF at their March 2021 meeting.

## **Shared governance task force**

For phase 4, the Shared Governance Task Force (SGTF) was charged to integrate SILS shared governance, which is currently a CoUL-charged project structure, into the standing UC Libraries Advisory Structure (UCLAS) and specifically to design the ongoing (i.e. post-go-live) shared governance model for the SILS.

### **SILS Shared Governance Assessment & High-Level Findings**

To inform this work and how to best transition to an ongoing governance model, the SGTF carried out a mid-phase assessment of the current SILS phase 4 project structure. The task force utilized an assessment poll to focus on the following work areas:

- A. Decision-making
- B. Governance
- C. Communication

The SGTF Assessment Poll for Planning Ongoing SILS Governance was released in mid-October 2020 and remained open for two weeks. Depending on demographic information, respondents were asked two open-ended questions and upwards of 12 likert-scale questions.

The poll achieved an outstanding response rate, with almost 60% of SILS cohort members completing the poll. The 373 poll respondents were divided into three demographic groups: systemwide SILS cohort members (N = 90), local SILS cohort members (N = 123) and non-SILS participants (N = 160).

Relatively few negative responses were submitted, particularly among systemwide and local SILS cohort members. The strong majority of systemwide SILS respondents answered all questions positively (either strongly agree or agree); most questions were answered positively by local SILS respondents, and the remaining were answered positively by a plurality and with most remaining respondents answering neutrally (“neither agree nor disagree”). Of the 5 questions asked of non-SILS participants, three questions received a neutral response (with the majority or plurality answering neither agree nor disagree) and two questions received a positive response by a majority and plurality, respectively. More non-participants answered negatively to questions than any other respondent group (between 13% and 40% across all five questions asked).

#### *Findings specific to developing ongoing, post-go-live governance*

While poll findings affirm the ways in which the current project structure supports SILS work, findings also highlight potential areas of improvement that should be considered for ongoing governance, including:

- A. SGTF should consider how inter-group information-sharing and engagement might be improved in the ongoing structure.

- B. SGTF should consider, in establishing an Operations Team and CDL Operations Center in ongoing governance, how these two entities interact and share information to ensure a clear delineation of roles and responsibilities.
- C. SGTF and SILS-WG should consider how [systemwide priorities](#) (e.g. standardization, operational efficiency and diversity, equity and inclusion) are reflected in ongoing SILS principles and charges to guide SILS strategy and operations.
- D. As SILS is integrated into the UCLAS governance structure, SGTF and DOC should consider how a broader understanding of systemwide governance can be achieved.

*Findings specific to the current, phase 4 structure and work underway*

While the primary objective of the poll was to inform the development of ongoing governance, some findings may inform phase 4 work underway, including:

- E. SILS WG should consider increasing outreach tailored to UC Libraries employees not involved in SILS at the local or systemwide levels.
- F. SILS WG should consider engaging the SILS Implementation Coordinators to ensure that they are being appropriately informed and consulted with by the SILS Cohort in decision making.

That said, the phase 4 shared governance structure has worked well; all cohort decisions have been made at the appropriate level of group expertise.

**Upcoming SGTF Deliverables: Finalized Charges and a Transition Plan**

The SGTF had continued to build out roles and responsibilities for the UCLAS-integrated SILS governance and operations structure, and together with the SILS Working Group and SILS All Chairs group, are discussing what the transition from the project structure to the ongoing structure should look like. The working assumption is that the transition will not coincide with SILS go-live, but instead occur a few months later. The following deliverables will be completed and submitted by June: UCLAS-integrated SILS organizational structure and charges, work practices, and a plan and charge for a transition team.

SGTF expects to make a recommendation to CoUL of December 22, 2021 as the end date for the phase 4 cohort.

## **Appendices**

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