SWAN BOARD MEETING AGENDA

July 23, 2021 9:30 a.m.
Thomas Ford Memorial Library
800 Chestnut Street
Western Springs, IL 60558-1430

1. Call to Order, Roll Call

2. Introduction of Visitors/Public Comment

   Public comment is allowed at SWAN meetings

3. Action Item – Acceptance of the July 23, 2021 SWAN Board Meeting Agenda

   RESOLVED, THAT THE SWAN BOARD ACCEPTS THE JULY 23, 2021 SWAN BOARD MEETING
   AGENDA AS PRESENTED

4. Action Item – Appointment of SWAN Board Officers and Committee Members (Exhibit pg. 3)

5. Action Item – Approval of SWAN Financials, June (Exhibit pgs. 5-11)

   a. Balance sheet and detail of expenditures for June 2021
   b. Approval of the payment of bills for June 1, 2021 through June 30, 2021 in the amount of
      $795,784.18

   RESOLVED, THAT THE SWAN BOARD APPROVES THE PAYMENT OF BILLS FOR JUNE 1 THROUGH
   JUNE 30, 2021 AND ACCEPTS THE BALANCE SHEET AND DETAIL OF EXPENDITURES FOR JUNE
   2021

6. Action Item – Acceptance of the June 18, 2021 SWAN Board Meeting Minutes (Exhibit pgs. 12-14)

   RESOLVED, THAT THE SWAN BOARD ACCEPTS THE JUNE 18, 2021 SWAN BOARD
   MEETING MINUTES AS PRESENTED

7. Reports
   a. Board President Report
   b. Executive Director Report (Exhibit pgs. 15-20)
   c. Operations Report (Exhibit pgs. 21-39)
   d. Treasurer Report
   e. Board Calendar (Exhibit pgs. 40-41)

8. Action Item – Approve SWAN Fund Transfers from Money Market Account to Operating Account

> RESOLVED, THAT THE SWAN BOARD APPROVES THE FUND TRANSFER OF $429,000
> FROM MAXSAFE MONEY MARKET ACCOUNT TO THE SWAN OPERATING ACCOUNT

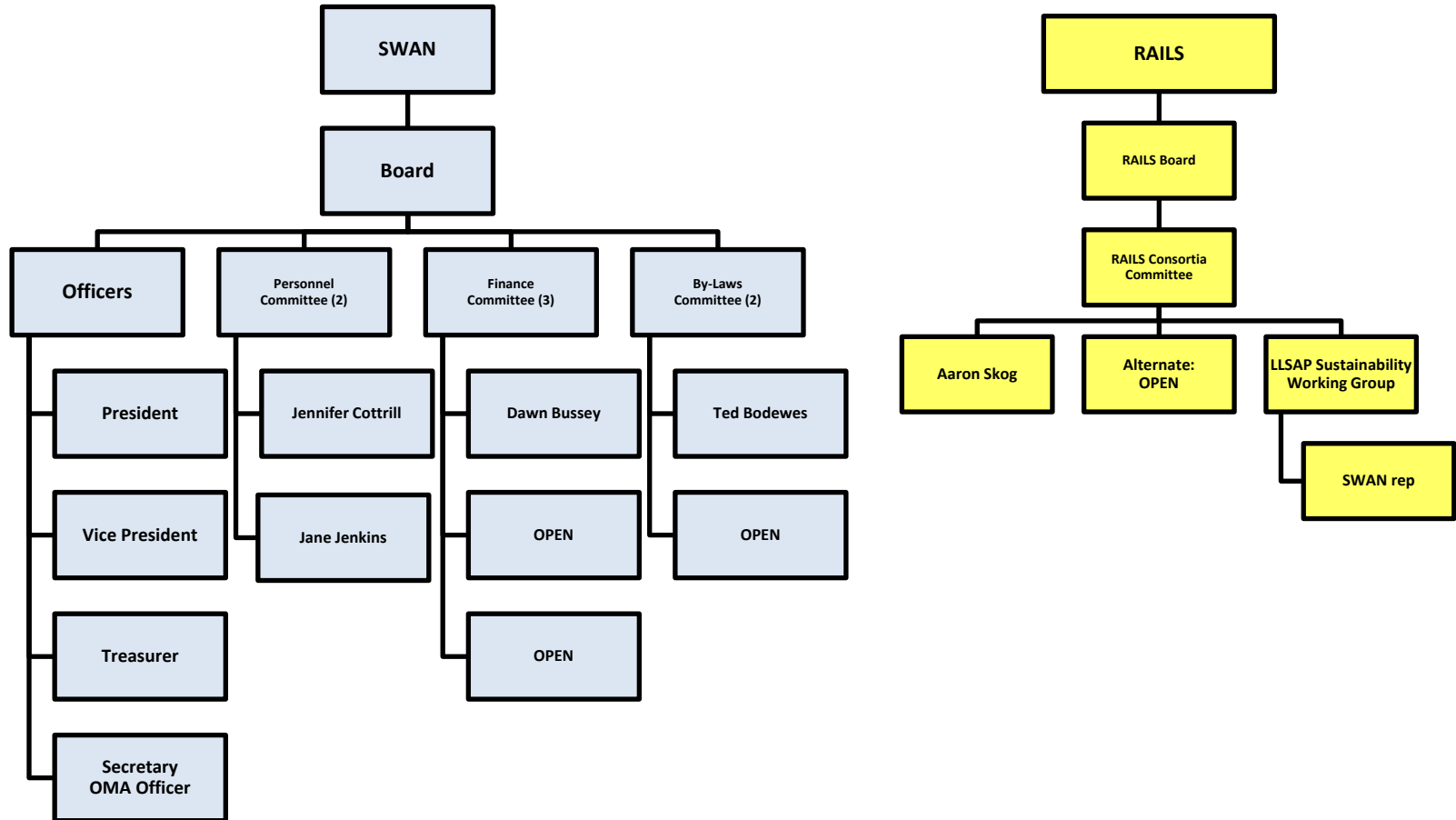9. Discussion Item – SWAN Information Security Risk Assessment (Exhibit pgs. 42-60)

10. Adjournment

*All agenda items may be acted upon by the SWAN Board

SWAN Board Member	Library	Office	Term Expires
Ted Bodewes	Thomas Ford Memorial Library	President	July 1, 2023
Jennifer Cottrill	Midlothian Public Library		July 1, 2023
Stacy Wittmann	Eisenhower Public Library District	Vice President	July 1, 2021
Julie Milavec	Downers Grove Public Library	Secretary	July 1, 2021
Dawn Bussey	Glen Ellyn Public Library	Treasurer	July 1, 2022
Jesse Blazek	Palos Heights Public Library		July 1, 2022
Jane Jenkins	Green Hills Public Library District		July 1, 2022

SWAN Board Officers & Representation on Committees
July 1, 2021 – June 30, 2022

SWAN

Board

Officers

Personnel Committee (2)

Finance Committee (3)

By-Laws Committee (2)

Officers	Personnel Committee (2)	Finance Committee (3)	By-Laws Committee (2)
President	Jennifer Cottrill	Dawn Bussey	Ted Bodewes
Vice President	Jane Jenkins	OPEN	OPEN
Treasurer		OPEN	
Secretary OMA Officer			

RAILS

RAILS Board

RAILS Consortia Committee

Aaron Skog	Alternate: OPEN	LLSAP Sustainability Working Group
		SWAN rep

RAILS LLSAP Sustainability Working Group

Charge

The Consortia Committee charge calls for the establishment of working groups as needed on specific topics related to consortia. Accordingly, the LLSAP Sustainability Working Group is established to develop and recommend the following to RAILS:

- A plan, not to exceed 5 years, to ensure that all RAILS LLSAPs are financially self-sustaining.
- A plan where Federal, Illinois Secretary of State, or State agency funds can be used to support the LLSAP
- A plan for RAILS to support capital investment in LLSAPs, including but not limited to:
  - Technology or software upgrades
  - Membership expansion
  - Research and development related to technology and services design and delivery
  - Cost savings and efficiency enhancements, including potential mergers of existing LLSAPs.

> **Commented [A1]:** I proposed a revision of this written charge to include this language, and it was not included when voted on by the committee.

Membership

Membership will follow the guidelines in the Consortia Committee charge; working group membership need not be limited to the Consortia Committee members and need not include representatives from all consortia. Representatives from libraries with standalone integrated library systems may be included when needed based on the working group's charge.

The Consortia Committee chairperson will appoint working group members and designate the group's chairperson. Members serve for the entire period of the working group. Member seats will include:

- Consortia Committee chair
- One representative from an LLSAP formerly operated by RAILS' predecessor systems
- One representative from a consortium that received the LLSAP designation in FY2019
- One representative from any LLSAP
- Three RAILS Board members

DRAFT

SWAN Library Services
Balance Sheet
As of June 30, 2021

	Balance End of Month
ASSETS	
Cash and Cash Equivalents	
Hinsdale Bank - Operating - 2176	$ 442,811.85
Hinsdale Bank - MM - 5010	1,412,172.95
Propay Funds	$ 42.86
Total Cash and Cash Equivalents	$ 1,855,027.66
Current Assets	
Accounts Receivable	34,357.11
REINT Receivable	-
Other Receivables	-
Deposits	23,467.08
Prepaid Expenses	618,729.78
Spares Inventory	1,732.50
Total Current Assets	$ 678,286.47
Capital Assets, net	
Building and Improvements	6,895.00
Equipment	36,500.50
Computers	324,383.36
Accumulated Depreciation	(342,977.33)
Total Capital Assets, net	$ 24,801.53
Total Assets	$ 2,558,115.66
LIABILITIES	
Current Liabilities	
Accounts Payable	$ 2,397.10
Accrued Liabilities	26,489.99
Deferred Revenue	1,819.50
Deferred Revenue - MAGIC Fee Supplement Grant	95,916.00
Accrued Payroll	25,168.60
Compensated Absences	101,725.72
Lease Payable	46,247.39
Total Current Liabilities	$ 299,764.30
Long Term Liabilities	
Total Liabilities	$ 299,764.30
FUND BALANCE	
Beginning Net Assets	
Unrestricted	2,060,444.23
Total Beginning Net Assets	2,060,444.23
Current YTD Net Income	197,907.13
Total Fund Balance	2,258,351.36
Total Liabilities and Fund Balances	$ 2,558,115.66

Statement of Revenue and Expenses Summary
For the 12 Months Ended June 30, 2021

Preliminary & Unaudited

	Month-to-Date Actual	Year-to-Date Actual	Annual Budget	Remaining Budget	% Collected Expended
Revenue					
4000 - Membership Fees	($0.50)	$2,844,543.81	$2,851,863.00	$ 7,319.19	99.74%
4100 - Membership Reimbursements	2,640.00	427,754.39	435,394.00	7,639.61	98.25%
4200 - Reimbursement for Losses	-	50,905.40	900.00	(50,005.40)	5,656.16%
4300 - Grant Revenue	-	605,780.33	623,518.00	17,737.67	97.16%
4400 - Registration & Event Receipts	-	-	7,600.00	7,600.00	0.00%
4500 - Investment & Interest	27.43	1,068.90	37,000.00	35,931.10	2.89%
4600 - Reserve Fund Transfer	-	30,637.00	62,379.00	31,742.00	49.11%
Total Revenue	2,666.93	3,960,689.83	4,018,654.00	57,964.17	98.56%
Expenses					
5000 - Salaries & Wages	103,552.51	1,369,957.07	1,546,800.00	176,842.93	88.57%
5020 - Personnel Benefits	33,912.82	431,207.99	516,200.00	84,992.01	83.54%
5100 - Building & Grounds	10,397.05	134,480.85	123,304.00	(11,176.85)	109.06%
5200 - Professional Development	-	12,965.53	24,800.00	11,834.47	52.28%
5300 - Membership Development	-	3,122.24	9,400.00	6,277.76	33.22%
5400 - Information & Technology Services	128,429.51	1,154,670.28	1,133,700.00	(20,970.28)	101.85%
5500 - General Office	-	1,603.85	5,300.00	3,696.15	30.26%
5600 - Hardware & Equipment	128.35	41,741.39	81,700.00	39,958.61	51.09%
5700 - Insurance	778.33	9,390.28	9,200.00	(190.28)	102.07%
5800 - Contractual Services	24,448.19	130,937.84	139,210.00	8,272.16	94.06%
5900 - Library Materials & Content	159.94	467,920.27	425,000.00	(42,920.27)	110.10%
6000 - Interest & Fees	354.05	4,785.11	4,040.00	(745.11)	118.44%
Total Expenses	302,160.75	3,762,782.70	4,018,654.00	255,871.30	93.63%
Excess Revenues less Expenses	$ (299,493.82)	$ 197,907.13	$ 0.00	$ (197,907.13)	

Statement of Revenue and Expenses
For the 12 Months Ended June 30, 2021

	Month-to-Date Actual	Year-to-Date Actual	Annual Budget	Remaining Budget	% Collected Expended
Revenue					
4010 - SWAN Full Membership Fees	$ (0.50)	$ 2,840,905.81	$ 2,851,863.00	$ 10,957.19	99.62%
4011 - SWAN Internet Access Membership Fees	0.00	3,638.00	0.00	(3,638.00)	0.00%
4110 - Member One-Time Project Receipts	0.00	515.50	14,000.00	13,484.50	3.68%
4190 - Member Group Purchase Receipts	2,640.00	427,238.89	421,394.00	(5,844.89)	101.39%
4220 - Reimbursement Losses for Resource Sharing	0.00	50,905.40	0.00	(50,905.40)	0.00%
4230 - Collection Agency Fees	0.00	0.00	900.00	900.00	0.00%
4310 - RAILS Support to SWAN	0.00	562,018.00	562,018.00	0.00	100.00%
4320 - Other Grant Revenue	0.00	43,762.33	61,500.00	17,737.67	71.16%
4499 - Annual Conference Receipts	0.00	0.00	7,600.00	7,600.00	0.00%
4510 - Interest Income	27.43	1,068.90	37,000.00	35,931.10	2.89%
4600 - Reserve Fund Transfer	0.00	30,637.00	62,379.00	31,742.00	49.11%
Total Revenue	2,666.93	3,960,689.83	4,018,654.00	57,964.17	98.56%
Expenses					
5000 - Salaries & Wages	103,552.51	1,369,957.07	1,546,800.00	176,842.93	88.57%
5021 - FICA Expense	7,505.93	89,099.83	118,400.00	29,300.17	75.25%
5022 - State Unemployment Insurance	0.00	8,930.00	0.00	(8,930.00)	0.00%
5023 - Worker's Compensation	298.91	3,983.50	3,000.00	(983.50)	132.78%
5024 - Retirement Benefits	9,807.10	121,167.75	140,900.00	19,732.25	86.00%
5025 - Health, Dental, Life And Disability Insurance	16,300.88	207,767.96	246,300.00	38,532.04	84.36%
5026 - Tuition Reimbursements	0.00	0.00	2,500.00	2,500.00	0.00%
5085 - Staff Wellness	0.00	258.95	5,100.00	4,841.05	5.08%
5110 - Rent/Lease	9,430.01	120,906.75	105,904.00	(15,002.75)	114.17%
5120 - Utilities	424.01	7,212.85	6,400.00	(812.85)	112.70%
5130 - Property Insurance	138.75	1,639.97	1,500.00	(139.97)	109.33%
5140 - Repairs & Maintenance	79.28	1,536.28	1,300.00	(236.28)	118.18%
5150 - Custodial Service & Supplies	325.00	3,185.00	8,100.00	4,915.00	39.32%
5190 - Other Building Maintenance	0.00	0.00	100.00	100.00	0.00%
5210 - Conference Travel	0.00	336.80	11,000.00	10,663.20	3.06%
5220 - Staff Meetings	0.00	334.07	600.00	265.93	55.68%
5230 - Staff Professional Development	0.00	6,757.00	5,400.00	(1,357.00)	125.13%
5240 - Professional Association Membership Dues	0.00	1,521.00	2,500.00	979.00	60.84%
5250 - Educational Material	0.00	91.36	800.00	708.64	11.42%
5260 - Online Learning	0.00	3,925.30	4,500.00	574.70	87.23%
5310 - Travel Reimbursement	0.00	506.55	2,800.00	2,293.45	18.09%
5320 - Membership Meetings	0.00	0.00	2,900.00	2,900.00	0.00%
5350 - Marketing & Promotional Material	0.00	2,615.69	1,200.00	(1,415.69)	217.97%
5399 - Annual Conference	0.00	0.00	2,500.00	2,500.00	0.00%
5410 - Infrastructure Licensing	0.00	45,959.73	42,000.00	(3,959.73)	109.43%
5420 - Application Software Licensing	0.00	20,435.64	18,400.00	(2,035.64)	111.06%
5430 - Server Software Licensing	0.00	1,958.44	13,900.00	11,941.56	14.09%
5440 - Library Services Platform	113,359.28	952,241.88	927,200.00	(25,041.88)	102.70%
5450 - Data Management Services	557.16	17,193.16	27,500.00	10,306.84	62.52%
5460 - Information Subscription Service	11,123.07	83,186.07	74,600.00	(8,586.07)	111.51%
5470 - Subscription Support Services	0.00	8,022.32	10,100.00	2,077.68	79.43%
5480 - Telecommunications	1,710.00	22,408.89	19,400.00	(3,008.89)	115.51%
5490 - Group Purchases - Services	1,680.00	3,264.15	600.00	(2,664.15)	544.03%
5510 - Office Supplies	0.00	1,134.41	4,000.00	2,865.59	28.36%
5520 - Postage	0.00	469.44	900.00	430.56	52.16%
5599 - Annual Conference Supplies	0.00	0.00	400.00	400.00	0.00%
5610 - Equipment Rental/Maintenance	128.35	2,771.10	3,700.00	928.90	74.89%
5620 - Hardware	0.00	37,533.28	63,200.00	25,666.72	59.39%

Statement of Revenue and Expenses
For the 12 Months Ended June 30, 2021

Preliminary & Unaudited

	Month-to-Date Actual	Year-to-Date Actual	Annual Budget	Remaining Budget	% Collected Expended
5690 - Group Purchases - Hardware	0.00	1,437.01	14,800.00	13,362.99	9.71%
5700 - Insurance	778.33	9,390.28	9,200.00	(190.28)	102.07%
5810 - Legal	0.00	1,338.00	5,000.00	3,662.00	26.76%
5820 - Accounting	1,005.00	23,709.25	20,610.00	(3,099.25)	115.04%
5830 - Consulting	1,156.63	2,360.00	5,000.00	2,640.00	47.20%
5840 - Payroll Service Fees	286.56	3,462.37	3,900.00	437.63	88.78%
5850 - Contractual Agreements	21,250.00	77,272.33	56,500.00	(20,772.33)	136.77%
5860 - Notification & Collection	750.00	22,545.89	35,300.00	12,754.11	63.87%
5870 - Recruitment	0.00	250.00	900.00	650.00	27.78%
5899 - Annual Conference Facility Contract	0.00	0.00	12,000.00	12,000.00	0.00%
5910 - Print Materials	0.00	5,001.49	5,000.00	(1.49)	100.03%
5920 - Reimburse for Resource Sharing	159.94	41,240.47	0.00	(41,240.47)	0.00%
5990 - Group Purchases - Content	0.00	421,678.31	420,000.00	(1,678.31)	100.40%
6010 - Bank Fees	354.05	4,741.03	3,700.00	(1,041.03)	128.14%
6020 - Merchant Account Fees	0.00	44.08	40.00	(4.08)	110.20%
6099 - Annual Conference Merchant Fees	0.00	0.00	300.00	300.00	0.00%
Total Expenses	302,160.75	3,762,782.70	4,018,654.00	255,871.30	93.63%
Excess Revenues less Expenses	$ (299,493.82)	$ 197,907.13	$ 0.00	$ (197,907.13)	

SWAN Library Services
Check Register
All Bank Accounts
June 2021

Payee/Account #	Account Description	Description	Amount	Check Number	Check Date	Check Amount
Vendor Checks						
HR Source				8351	06/15/21	1,070.00
5830	Consulting	HR Source - FY22 Membership Dues - Inv. #FY22-74748	1,070.00			
Lauterbach & Amen, LLP				8352	06/15/21	1,005.00
5820	Accounting	Lauterbach & Amen, LLP - acco9unting services for May 2021	1,005.00			
LIMRiCC				8353	06/15/21	20,914.70
5025	Health, Dental, Life And Disability Insurance	LIMRiCC- June 2021 Health, Dental, Life, Vision	20,914.70			
Unique Integrated Communications, Inc.				8354	06/15/21	750.00
5860	Notification & Collection	Unique Integrated Communications, Inc. - phone notices - MessageBee Inv. #602827	750.00			
Wellness Insurance Network-WIN				8355	06/15/21	171.00
5025	Health, Dental, Life And Disability Insurance	Wellness Insurance Network-WIN - June 2021 Life Ins.	171.00			
Comcast				8356	06/21/21	1,260.00
5480	Telecommunications	Comcast Inv. # 1000103801 acct. #708660136	1,260.00			
ComEd				8357	06/21/21	379.99
5120	Utilities	ComEd - 5/18 to 6/17	379.99			
Nicor Gas				8358	06/21/21	44.02
5120	Utilities	Nicor Gas - 5/14-6/14	44.02			
Reliance Standard Life Insurance Co.				8359	06/21/21	878.66
5025	Health, Dental, Life And Disability Insurance	Reliance Standard Life Insurance Co. LTD, STD July	878.66			
Quail Ridge Drive Investors, LLC				50085	06/16/21	9,509.29
5110	Rent/Lease	Quail Ridge Drive Investors, LLC - July 2021 Invoice # 325870	9,430.01			

Payee/Account #	Account Description	Description	Amount	Check Number	Check Date	Check Amount
5140	Repairs & Maintenance	Quail Ridge Drive Investors, LLC- furniture moving - front desk & AS office	79.28			
T.A. Systems Inc.				50086	06/29/21	325.00
5150	Custodial Service & Supplies	T.A. Systems Inc. May 2021 Invoice #48531	325.00			
Genesis Technologies, Inc.				50087	06/19/21	128.35
5610	Equipment Rental/Maintenance	Genesis Technologies, Inc. Invoice # 29393091	128.35			
Genesis Technologies, Inc.				50088	06/21/21	128.35
5610	Equipment Rental/Maintenance	Genesis Technologies, Inc. monthly fee inv. #29392091	128.35			
Genesis Technologies, Inc.				50088	06/21/21	(128.35)
5610	Equipment Rental/Maintenance	To VOID Ck 50088	-128.35			
T.A. Systems Inc.				50089	06/29/21	325.00
5150	Custodial Service & Supplies	T.A. Systems Inc. May 2021 Inv. # 48531	325.00			
T.A. Systems Inc.				50089	06/29/21	(325.00)
5150	Custodial Service & Supplies	To VOID Ck 50089	-325.00			
SirsiDynix, Inc.				50090	06/17/21	499,781.50
5440	Library Services Platform	SirsiDynix, Inc.Inv. #INV07029 - annual maint. for 100 lib.	499,781.50			
EBSCO Information Services				50091	06/01/21	228,650.00
5440	Library Services Platform	EBSCO Information Services-Open Athens Inv. # 1000156724.1	55,949.10			
5440	Library Services Platform	EBSCO Information Services ESBCO Discovery Service Inv, # 1000156724.1	114,758.20			
5460	Information Subscription Service	EBSCO Information Services- Novelist Select Inv # 1000156724.1	57,942.70			
BYWater Solutions				50092	06/23/21	21,250.00

SWAN Library Services
Check Register
All Bank Accounts
June 2021

Payee/Account #	Account Description	Description	Amount	Check Number	Check Date	Check Amount
5850	Contractual Agreements	BYWater Solutions Aspen Discovery annual support inv. #5748	21,250.00			
SirsiDynix, Inc.				50093	06/17/21	9,666.67
5440	Library Services Platform	SirsiDynix, Inc. Add-on BLUEcloud Data control inv. #INV06999	9,666.67			
					Check List Total	795,784.18

SWAN Board Meeting Minutes

June 18, 2021
Online Meeting
Per Illinois Public Act 101-0640
Meeting recording

1. **Call to Order, Roll Call**

President Bodewes called the meeting to order at 9:32 a.m. The following Board members were present to establish a quorum.

   a. Jesse Blazek
   b. Ted Bodewes
   c. Dawn Bussey – arrived at 9:40 a.m.
   d. Jennifer Cottrill
   e. Jane Jenkins
   f. Julie Milavec
   g. Stacy Wittmann

2. **Introduction of Visitors/Public Comment**
   Aaron Skog, SWAN Executive Director
   Dawne Tortorella, SWAN Assistant Director
   Ginny Blake, SWAN Business Manager
   Tim Jarzemsky – Bloomingdale Public Library
   Christine Sporleder – Bloomingdale Public Library

3. **Action Item**
   Acceptance of the June 18, 2021, SWAN Board Meeting Agenda

   Milavec moved, seconded by Jenkins that it be

   > RESOLVED, THAT THE SWAN BOARD APPROVED THE JUNE 18, 2021
   > SWAN BOARD MEETING AGENDA AS PRESENTED

   Motion carried by roll call vote with the following results:
   Ayes: Blazek, Bodewes, Cottrill, Jenkins, Milavec, Wittmann
   Absent: Dawn Bussey

4. **Action Item**
   Approval of the SWAN Financials, May 2021

   Jenkins moved, seconded by Cottrill that it be

RESOLVED, THAT THE SWAN BOARD APPROVES PAYMENT OF BILLS MAY 1 THROUGH MAY 31, 2021, AND ACCEPTS THE BALANCE SHEETS AND DETAIL OF EXPENDITURES FOR MAY 2021 AS PRESENTED

Motion carried by roll call vote with the following results:
Ayes: Blazek, Bodewes, Cottrill, Jenkins, Milavec, Wittmann
Absent: Dawn Bussey

5. **Action Item**
   Acceptance of the May 21,2021 Board Meeting Minutes

   Milavec moved, seconded by Wittmann that it be

   RESOLVED, THAT THE SWAN BOARD ACCEPTS THE MAY 21,2021 SWAN BOARD MEETING MINUTES AS PRESENTED

   Motion carried by roll call vote with the following results:
   Ayes: Blazek, Bodewes, Cottrill, Jenkins, Milavec, Wittmann
   Absent: Dawn Bussey

6. **Reports**

   a. Board President Report
      Bodewes thanked both Julie Milavec & Stacy Wittmann for their time and dedication on the SWAN Board. Bodewes welcomed our new Board members elect, Tim Jarzemsky (BDD) & Charity Gallardo (LGS). Officer and committee assignments will be done at the July Board Meeting. The July meeting will also be held in person at the Thomas Ford Memorial Library.

   b. Executive Director Report
      Skog will have a new representative orientation with the two new board members. Skog & Tortorella attended the Evergreen International Conference and Skog gave an overview. Skog continues to monitor the ILA with reference to the PPC. Budget is looking good, and Skog do not see a reserve funds transfer necessary as specified within the SWAN FY21 budget. A written update on American Rescue Plan Act (ARPA) is enclosed in Skog's report.

   c. Operations Report
      A discussion on the user record purge parameters was given at the June 3, 2021 Quarterly meeting. An update was given as well with HOLDS, checkouts, curbside pickup and transits. Scott Brandwein has been doing a lot on the Diversity, Equity & Inclusion in Metadata Task Force. Of note, all our servers are transferred out of the RAILS data center. A Symphony ILS upgrade will be scheduled for July 24th. We have completed a self-checkout pilot with West Chicago Public Library using the BLUEcloud Mobile app. The UX team has been very involved in the Aspen Project.

We have some group purchases that we will be sharing more information after Robin Hofstetter has attended the meetings.

    d.   <u>Treasurer's Report</u>
Bussey noted SWAN received the RAILS funding agreement for FY23. We will need to keep an eye on LLSAP funding for the future as the RAILS Board is discussing changes to its budget after FY23.

    e.   <u>Board Calendar</u>
One remaining item that Skog & Milavec will complete.

7. <u>Discussion Item</u> – Executive Director annual review
Skog received his review and salary memo.

8. <u>Discussion Item</u> – American Rescue Plan Act Funding
Diane Foote with ILA discussed at the Quarterly meeting. Skog discussed the 6 common themes throughout the SWAN regions and the possible solutions. Tortorella discussed some of the other opportunities including the "Community Engagement through Technology" and what the group can do. An overview will be discussed at the next Fireside Chat. A brief discussion continued amongst the Board members with ideas, comments, questions.

9. <u>Discussion Item</u> – SWAN Information Security Risk Assessment
Skog discuss the idea of having an Information Security Consultant. Skog received a proposal from Sikich LLP and would like to receive one more. Skog will give more detail at the July Board meeting. A copy of the proposal from Sikich LLP will be sent to the Board.

10. <u>Adjournment</u>
Bodewes adjourned the meeting at 11:01 a.m.

Minutes Prepared by Ginny Blake

Respectfully Submitted,

_____

Julie Milavec

Board Secretary

SWAN Executive Director Report

July 23, 2021

Update on Activities

Vacation

I took 12 vacation days since the last board meeting. This allowed us to use some of the back up procedures for Dawne and Ginny to follow for bank and accounting systems.

ARPA Funding & Grant Research

The research on American Rescue Plan Act (ARPA) funding is benefiting SWAN in that the funding sources could potentially be future sources for revenue beyond ARPA. A recent webinar with John Chrastka from EveryLibrary "How to access maximum ARPA funds" was particularly helpful in understanding the funding opportunities ARPA provides.

Due to the reconciliation method by which ARPA was passed by Congress, the funding is going to existing agencies rather than creating new agencies or entities. This means that if SWAN were to prepare and apply through various funding agencies for ARPA, we would have at least at the minimum created pathways for future funding for the organization.

The Illinois State Library has announced grant programs that utilize ARPA funding.

1. Bouncing back from the pandemic: developing resources for the local workforce (due August 15, 2021)
2. On the road to recovery: transforming library spaces (due August 15, 2021)
3. Expanding digital inclusion: transforming library services (due August 15, 2021)

The State Library does not have any LSTA grants currently open for application, but SWAN could potentially apply for an ARPA grant. The State Library suggested the *Expanding digital inclusion* and the *On the road to recovery* grants; "SWAN is one agency with one building, and whatever you propose would support SWAN members recovery from the pandemic."

Grant funding activity to date:
- Completed access to State Library Technology and LSTA grants
- Reviewed FEC guidelines for the Emergency Connectivity Funds
- Reached out to Illinois State Library E-Rate Coordinator
- Reached out to Illinois State Library Grants & Programs

OCLC Subscription

I have officially appealed the FY22 invoice of $275,526.96 with OCLC. The latest invoice from OCLC for FY22 was a 5.1% increase from FY21, whereas we had anticipated a 3.0% increase. Pricing was frozen for FY21 at the prior year's amounts. The addition of three new libraries increased the SWAN invoice by $30,361.29 and it is this aspect of the SWAN OCLC subscription that I hope to see a reduction through the appeal.

SWAN includes the total cost of OCLC membership within Membership Fees. This approach is similar to the Illinois consortia CCS and PrairieCat. In SWAN, some libraries have OCLC membership amount set to $216 while others are at $28,910.

RAILS Consortia Committee update

The meeting on July 19th had two significant topics. First, was an update from RAILS on its involvement in the International Coalition of Library Consortia (ICOLC) task force that was tasked with identifying issues with OCLC. The second topic was the formation of a RAILS working group, the LLSAP Sustainability Working Group. Dawn Bussey attended the meeting in person at RAILS Burr Ridge, and I attended virtually.

I was invited by Paul Mills, former RAILS Board representative and now Consortia Committee Chair, to be the SWAN representative for the LLSAP Sustainability Working Group. I did not commit to this, as I wanted to discuss the working group with the SWAN Board when officer and committee representatives are selected. The working group charge is included in the July 23rd SWAN Board meeting packet.

Board Considerations

Reserve Fund Transfer

As we have done in year's prior, we should transfer funds from the MaxSafe account to the operating account. This is due to some of the large payments to the vendors EBSCO, OCLC, and SirsiDynix renewing. I have included an action item and amount on the board agenda.

Information Security Risk Assessment & Analysis

I have included the proposal from Sikich for discussion. My attempts to get a competitive proposal from CDW-G was unsuccessful. I recommend we move forward with Sikich and amend the budget at the September 3, 2021 Quarterly meeting. SWAN membership fees would not be revised, and the justification of the expense was detailed in my June 18, 2021 SWAN Board memo. Additionally, SWAN reserves are over the 50% operating balance as we continue to grow SWAN's cash reserves, so the Reserves Cash Policy requires the Board to bring a plan at the June 2022 Quarterly meeting.

SWAN Cash Reserves - June 30, 2021	$2,060,444.23
Sikich Proposal	($37,000.00)
SWAN Cash Reserves balance	$2,023,444.23
Percentage of reserves vs SWAN Operating Expenses	50%

SWAN Bylaws Article V - Financial matters Section 1. Budget

Should the Board during the course of any fiscal year determine that the approved budget of SWAN requires amendment, the Board shall prepare, tentatively approve, and submit to the Member Libraries for approval an amended budget in the same manner as hereinbefore required. The Member Libraries shall have the same period of time to pass upon any proposed amendment and shall act upon same in the same manner as hereinbefore provided. Monthly financial reports will be provided at each SWAN Board meeting.

SWAN Bylaws Article V - Financial matters Section 2. Contracts and expenditures

Expenditures not included in the annual budget which arise between meetings of the Administrators of the Member Libraries, may be voted on by electronic means. The SWAN Executive Director shall tally the vote and report it to the Board. The Board shall ratify the vote of the Member Libraries, unless more than 1/3 of the Member Libraries vote against the expenditure. If more than 1/3 of the Member Libraries vote against the expenditure, the issue must be referred to a meeting of Administrators of the Member Libraries.

Monthly Financial Report

Balance Sheet

The Fund Balance Unrestricted line remains at $2,060,444.23 which is 6.2 months operations in SWAN's cash reserves. The Reserve Cash Policy for SWAN requires monitoring the balance and if it is projected to be more 50% to bring a recommendation to the membership at the June Quarterly meeting.

Prepaid Expenses in this month's report has 10 months of the SirsiDynix prorated expenses, plus the OCLC and EBSCO July 1st renewals added. Next month, the July 2021 through April 2022 expenses in Prepaid Expenses will be added to the #5440 Library Services Platform.

Revenue & Expense Report

This month would be 100% of the budgeted revenue and expenses. SWAN's financials are presented in a cash basis for this current fiscal year 2021. The June financial reports are preliminary and unaudited.

SWAN FY21	FY21 Budget	End of June 2021
Total Revenue	$4,018,654.00	$3,960,689.83
Total Expenses	$4,018,654.00	$3,762,782.70
Over / (Under)	$0.00	$197,907.13

A few observations on the end of the fiscal year:

- #4600 – Reserve Fund Transfer: this budget would have used $62,379 from reserves but that was not necessary
- #4510 Interest Income: was budgeted at $37,000 but only $1,068.90 was received
- #5000 Salaries & Wages: this budget line has been kept flat and we expended 89% of the line for FY21, which is the same percentage for the prior year

Please note: Monthly reports from years prior were presented on accrual basis. Lauterbach & Amen's advice on this change was that GASB requires SWAN to present its fiscal audit on an accrual basis, but that does not actually mean the monthly financial reports would also need to follow the same accrual presentation.

Accounts Receivable Update

4010 - SWAN Full Membership Fees: the fourth quarter invoices were sent out in April. We are at 99.7% for this line.

4220 - Reimbursement Losses for Resource Sharing: the invoices issued in July as part of the SWAN-to-SWAN member library for lost and paid material are recorded in this line. This line will offset against the 5920 Reimburse for Resource Sharing expense line. We do not have a budget amount for this line in FY21.

4310 – RAILS Support to SWAN: the fourth payment to SWAN was received in April, so this line is now precisely at 100% as expected.

4510 – Interest Income: SWAN's Money Market is performing very poorly due to the economic downturn. The interest revenue is only at 2.8% where it would have been expected to be 66%.

4600 – Reserve Fund Transfer: the activity in this line reflects the total joining fee of $30,637 paid by Glenside, Roselle, and Warrenville as a reserve fund contribution. This line was not budgeted for, so it will appear as additional revenue.

Accounts Payable Update

5023 – Worker's Compensation: this line was adjusted and no longer has the 3 months expenses for July, August, and September 2022, and $896.73 is recorded on the balance sheet Prepaid Expenses.

5110 – Rent/Lease: the expenses in this line will reflect 1 additional months of rent payments.

5130 – Property Insurance: this line was adjusted and no longer has the 3 months expenses for July, August, and September 2022, and $416.25 is recorded on the balance sheet Prepaid Expenses.

5230 – Staff Professional Development: this line has gone over budget, but this is mostly due to SWAN staff attending various library conferences as presenters. SWAN staff have presented at the ILA 2020 conference (Aaron, Dawne, Rudy, and Scott), the Electronic Resources & Libraries Conference (Steven and Robin), the Amigos Library Services Conference: Moving on (Scott and Sam), and the COSUGI 2021 conference (Aaron, Scott, Rudy). Other expenses include HR Source's "boot camp" that was a three-day training session we requested SWAN's three managers attend.

5350 – Marketing & Promotional Material: the SWAN100 project expenses for providing the three incoming libraries printed bookmarks, signage, and some library staff stress kits is recorded in November's expenses and is listed in the check register.

5410 – Infrastructure Licensing: this line is overbudget which is partially due to some misclassified expenses in this budget line meant for 5420 Application Software Licensing.

5440 – Library Services Platform: activity includes an EBSCO Discovery Service, and OpenAthens payment and one-time setup for the three new libraries. SWAN made a large payment to SirsiDynix for the annual maintenance which is reflected in the June FY21 financial report and Pre-paid Expenses on the balance sheet. EBSCO and OCLC expenses renew July 1st and are also Prepaid Expenses on the balance sheet.

5460 - Information Subscription Service budget line is 111.51% spent as the EBSCO subscription to Novelist Select is fully recorded in this budget line. November has the $1,500 payment to add Novelist Select licensing for the three new libraries. The July 1, 2021 renewal of Novelist Select has been incorrectly recorded in this line and will need to be reclassified to the FY22 budget.

5490 – Group Purchases – Services: this line budgeted at $600 for the annual Envisionware self-check software group purchase renewed at a higher subscription of $934.15. This budget line also includes the KitKeeper software pilot license of $650 that was detailed in the FY22 budget.

5620 – Hardware: the staff replacement of laptops is complete. The EMV/"chip & PIN" devices budgeted at $14,000 did not take place in FY21.

5690 – Group Purchases Hardware: the budgeted $14,000 for EMV/"chip & PIN" devices for libraries to replace the ProPay magnetic swipes was not spent as no device has been released.

5700 – Insurance budget line records the business and liability insurance covered by Hartford and Travelers insurance. This line has been adjusted and $960 expenses for July, August, and September 2021 is recorded in the balance sheet Prepaid Expenses.

5820 – Accounting: the financial audit was completed by Lauterbach & Amen and the $5,500 payment is in this budget line. This line also is where the RAILS Finance total expenses of $3,850.45 charged to SWAN in support provided in support of the FY20 audit during the July – November 2020 months. Lauterbach's monthly expense to SWAN is $1,005.

5850 – Contractual Agreements: the first of four support payments of $21,250 to ByWater Solutions for development and support of the Aspen Discovery is recorded in this line, along with the $12,275. SWAN100 libraries expenses are recorded in this line and reimbursement to SWAN is recorded in Revenue 4320 Other Grant Revenue.

5910 - Print Materials budget line is 99% spent as the Baker & Taylor rental collection pilot project is underway and fully funded for FY21.

5920 Reimburse for Resource Sharing: the expenses for this budget line are part of the SWAN-to-SWAN member library for lost and paid material. This line will offset against the 4220 Reimbursement Losses for Resource Sharing revenue line.

5990 Group Purchases Content: the EBSCO database year-1 subscription group-purchase at $420,000 is reflected in this line, along with some PPE expenses that were part of the program.

6010 Bank Fees: expenses include services for lock box deposits and positive pay.

Operations Report: July 2021

Member Engagement – All Staff

The following abbreviations are used to show departments: UX – User Experience, Bib Srvs – Bibliographic Services, IT – Information Technology and Systems Support, Admin – Administration.

Site Visits, Training, and Networking

During the past reporting period (June 15th – July 19th) regular user group meetings and member engagement are noted. Increased fine free and item type consolidation, as well as pilot projects reflect ongoing projects and interaction with members. Note, more SWAN staff attended events but due to online meeting, attendance is not fully reflected. Staff presenting and primarily involved in facilitation are acknowledged.

Date	Event Name	Attendees	Teams Represented	Topic
6/15/2021	Consultation VPN (National University of Health Sciences)	Steven	IT	Consultation
6/15/2021	Item Type Consolidation (St. Charles)	Sam	Bib Srvs	Consultation
6/16/2021	SWAN Circulation Users	Crystal, Sam, Vickie, Michael, Dave, Steven, Tara, Helen	UX, Bib Srvs, IT, Admin	Member meeting
6/16/2021	BLUEcloud Acquisition (Roselle)	Sam, Claudia, Scott	Bib Srvs	Consultation
6/18/2021	SWAN Board Meeting	Aaron, Ginny, Dawne	Admin	Governance
6/21/2021	BLUEcloud Acquisitions Rollover Training	Sam	Bib Srvs	Training
6/22/2021	New Library Check-in/Planning (St. Charles)	Dawne, Scott, Sam, Michael	Admin, Bib Srvs, IT	Consultation
6/22/2021	Fine Free Consultation (Kaneville)	Vickie, Michael	IT	Consultation
6/23/2021	Acquisitions Consultation (Berkeley)	Scott, Sam, Dawme	Bib Srvs, Admin	Consultation
6/23/2021	Fine Free Consultation (Riverside)	Vickie, Michael	IT	Consultation
6/24/2021	Serials and MARC Holdings Consultation (Oak Lawn)	Claudia, Sam, Scott	Bib Srvs	Consultation
6/24/2021	ILL Boot Camp (Lending)	Helen, Dawne, Vickie	Admin, IT	Training
6/24/2021	SWAN E-Resource Advisory	Robin, Tara, Dawne	UX, Admin	Member meeting
6/25/2021	Pseudo Library Consultation	Dawne, Steven, Dave, Michael	Admin, IT	Consultation
6/25/2021	KitKeeper Pilot Meeting	Helen, Dawne	Admin	Research & Development
6/28/2021	Aspen Office Hours	Tara, Scott, Sam, Crystal, Robin (+others)	UX, Bib Srvs, IT, Admin	Research & Development

Date	Event Name	Attendees	Teams Represented	Topic
6/29/2021	SWAN Fireside Chat #27	Tara, Dawne, Steven, Vickie, Ian	UX, Admin, IT	Member meeting
6/29/2021	Pseudo Library Consultation (Indian Prairie)	Dawne, Steven	Admin, IT	Consultation
6/30/2021	Item Type Consolidation (Prairie Trails)	Sam	Bib Srvs	Consultation
7/1/2021	ILL Boot Camp (Policies)	Helen, Dawne, Vickie	Admin, IT	Consultation
7/1/2021	SWAN Cataloging Advisory	Scott, Bib Srvs	Bib Srvs	Member meeting
7/1/2021	BLUEcloud Acquisitions Consultation for Rollover (Roselee)	Sam	Bib Srvs	Consultation
7/7/2021	Office Hours: Cataloging	Scott, Claudia, Sam, Diane, Angela, Sue	Bib Srvs	Consultation
7/7/2021	Transfer Wizard Consultation (Roselle)	Claudia, Scott	Bib Srvs	Consultation
7/7/2021	Library Lockers Consultation (Villa Park)	Steven	IT	Consultation
7/8/2021	Firewall Install (Matteson)	Rudy	IT	Consultation
7/8/2021	Office Hours: BLUEcloud Analytics	Dawne, Michael, Dave	Admin, IT	Training
7/8/2021	Office Hours: Circulation & ILL	Dawne, Helen, Sam, Vickie, Crystal	Admin, Bib Srvs, IT, UX	Training
7/9/2021	Patron Registration (Theosophical)	Steven	IT	Consultation
7/12/2021	Aspen Office Hours	Tara, Scott, Sam, Crystal, Robin (+others)	UX, Bib Srvs, IT, Admin	Research & Development
7/12/2021	Fine Free Consultation (Brookfield)	Vickie, Michael	IT	Consultation
7/13/2021	Fine Free Consultation (Calumet City)	Vickie, Michael	IT	Consultation
7/13/2021	Quarterly Billing (Hinsdale)	Helen	Admin	Consultation
7/14/2021	SWAN Book Club Users	Helen, Dawne, Vickie	Admin, IT	Member meeting
7/14/2021	Item Type Consolidation (Homewood)	Sam	Bib Srvs	Consultation
7/14/2021	Symphony 3.7.1 Upgrade - Member Update	Steven, Ian, Sam, Michael	IT, Bib Srvs	Training
7/16/2021	Diversity, Equity and Inclusion Task Force	Scott, Bib Srvs	Bib Srvs	Member meeting

Research & Development, Vendor Engagement

Meetings represent formal project-based meetings with vendors and collaboration projects within the larger library community.

Date	Event Name	Attendees	Teams Represented	Topic
Tuesdays: 6/15 - 7/13	ByWater - Aspen weekly pilot check-in	Tara, Steven, Scott, Rudy, Dawne, Aaron, Crystal, Robin	UX, Admin, IT, Bib Srvs	Research & Development
6/29/2021	Sure Sailing	SWAN staff from all areas	Bib Srvs, IT, UX, Admin	Support
6/30/2021	ProPay Integration (ProPay & ByWater)	Aaron, Dawne, Rudy	Admin, IT	Research & Development
6/30/2021	Learning Management System Review	Dawne, Aaron, Tara, Claudia, Crystal	Admin, UX, Bib Srvs	Research & Development
7/7/2021	Data Axle/Reference USA Group Discount	Robin, Tara, Aaron, Dawne	UX, Admin	Collaboration
7/8/2021	Aspen Users Gathering	Tara, Steven, Scott, +others	UX, IT, Bib Srvs	Collaboration
7/12/2021 & 7/16/2021	Aspen Developer Bootcamp	Tara, Rudy, Scott, Steven, Dawne	UX, IT, Bib Srvs, Admin	Research & Development
7/15/2021	CPL Bi-annual RBP Meeting	Dawne, Helen, Ginny	Admin	Collaboration

SWAN Assistant Director (Dawne Tortorella)

Annual Patron Record Purge, National Change of Address

Last activity date (LAD) for patrons who authenticated through OpenAthens from July 1, 2020 through June 30, 2021 have been updated to reflect current active status. Out of 11,328 user barcodes authenticated, only 637 had a last activity date before July 1, 2020. This represents approximately ½ of 1% exclusively using library services verified through OpenAthens. With this population of patron records updated, we will continue periodic updates of LAD based on OpenAthens data until they automatically update last activity date when patrons use the service.

With this work completed and a method in place to provide ongoing updates, we are ready to begin the 10+ year bill identification/removal.

Pseudo Libraries

Three of our pseudo libraries are now in production: Glen Ellyn Drive-up, Indian Prairie Drive-up, and St. Charles Drive-up.

Agency Code	Description
DGS_L	Downers Grove Public Library Locker
GED_D	**Glen Ellyn Public Library Drive-up Window**
GVD_D	Geneva Public Library Drive-up Window
INS_D	**Indian Prairie Public Library District Drive-up Window**
OPS_LI	Oak Park Public Library Main Branch Indoor Locker
OPS_LO	Oak Park Public Library Main Branch Outdoor Locker
SCD_D	**St. Charles Public Library District Drive-up Window**
VPD_L	Villa Park Public Library Locker

Circulation statistics from July 1 – July 18, 2021 show the checkouts processed at these drive-up windows. St. Charles Public Library used the drive-up window to accommodate a soft opening of their new library. As the checkout data shows, patrons of the home library predominantly use the drive-up services.

Patron Library	Glen Ellyn Drive Up	Indian Prairie Drive Up	St. Charles Drive Up	Total
BDD			1	1
BLD			2	2
GED	17			17
GVD			11	11
HDS		2		2
ILL_LIBS		10	7	17
INS		273		273
SCD			2,178	2,178
TCD			1	1
VPD	2			2
WMS		2		2
WRS		5		5
Total	**19**	**292**	**2,200**	**2,511**

Currently restricting selection of pseudo library location to home patrons only is not possible in Aspen. We are working on an enhancement request to provide a local-patrons-only restriction. This is especially important for libraries supporting lockers, as those are limited in capacity.

Patrons can select these drive-up windows as hold pick-up locations in all SWAN online catalogs: Enterprise, Aspen, and BLUEcloud Mobile App.
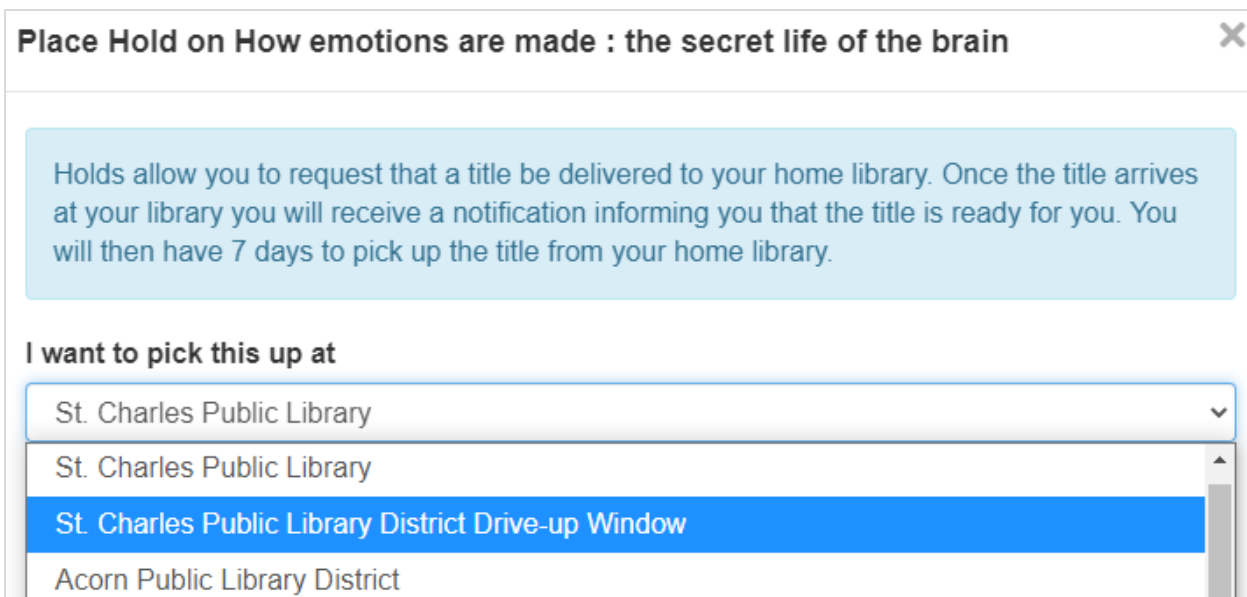
Holds placed since July 1, 2021 show that patrons are finding this selection in the online catalogs. With the recent release of this new service, libraries are just beginning to introduce patrons to placing holds for pick-up at these pseudo library locations.

Hold Pickup Library Code	Number of Holds
GED_D	146
INS_D	71
SCD_D	119
Total:	336

SOPPA – Student Online Personal Protection Act

Effective July 1, 2021, school districts in Illinois are required by the Student Online Personal Protection Act (SOPPA) to provide additional guarantees that student data is protected when collected by educational technology companies, and that data is used for beneficial purposes only (105 ILCS 85).

One of SWAN's members is a K-8 school district and required to adhere to SOPPA. As an educational partner and technology vendor to Bensenville School District #2, SWAN is required to comply. Working with the Bensenville Schools District #2 and the Bensenville Public Library, SWAN has submitted an IL-NDPA (Illinois version of the National Data Privacy Agreement). This agreement is an agreement between Bensenville School District #2 and SWAN as the original agreement. Other districts working with SWAN can "piggy-back" on this agreement. All SWAN member libraries are listed as entities with access to our shared data.

During FY22, SWAN will be working to provide additional safeguards to protect student information. Student information shared by the school with SWAN, without parental authorization (e.g. parent does

not sign authorization for issuance of a public library card) will contain less personal information. As this is a new legal requirement, expect changes to continue anonymizing student data and restricting 3rd party access to these records. Information on school partnerships and impact on student and teacher cards is under revision on our support site.

Resource Sharing

Helen Pinder's ILL Boot Camp completed with strong interest. All sessions are recorded and available on the support site. This series will be repeated at least annually given the interest. We have also noticed out-of-system ILL (WorldShare ILL and related services) is a major topic of interest during our monthly Office Hours: Circulation and ILL.

SWAN and the Chicago Public Library continue our strong partnership and are working on a shared portal to share reconciliation and patron tracking information in a secure manner. Helen is also working on a strategy to help our libraries check and update soon-to-expire CPL reciprocal borrower cards to improve the patron experience for these library users.

Book Club Reservation (KitKeeper) Pilot

Our lead libraries, Geneva and Downers Grove, with exceptional support, testing, and sharing from leads Lauren Maxwell (Geneva) and Lizzie Matkowski (Downers Grove) have tested sharing book club kits through reservation and delivery to a sister library. They presented their research and operational use findings to the Book Club Users group on July 14th. Guidelines for using KitKeeper to reserve and circulate complete book club kits are posted under the KitKeeper Pilot. The pilot is ready to expand. Any libraries interested in sharing book club kits within the SWAN membership are encouraged to review this documentation and submit a help ticket, if interested in joining. There is no additional cost to being part of this project.

COVID-19

We are on track to return to September 1st pre-pandemic circulation policies. Many libraries during the past 18 months have gone to permanent fine free policies, while others are slightly modifying their policies ready for the September 1st deadline of removal of Fine Free For Now settings.

Again, to recap changes brought about as we've navigated through this period:

- Elimination of print overdue notices (completed) – now sent only via text, voice message, or email
- Consolidation of hold pick-up notices and accommodation for pseudo-library hold pick-up notices (sent once a day around 2:00 PM)
- Return to pre-pandemic notice wording (completed)
- Return to pre-pandemic grace periods (completed)
- Default SWAN processing fee set to $0, current default is $5 (completed)
- COVID related online catalog banners removed (completed)
- Flexibility in blocking for Fine Free based on criteria of library choice (completed) See Fine Free Configuration
- Libraries Fine Free For Now – decide on pre-pandemic or Fine Free rules (September 1)

- Reinstate 90-day removal of temporary patron records created through Online Patron Registration that have not been reviewed and updated/extended by home library (September1)

A look at the numbers

Circulation

June and July circulation has been relatively steady with Monday continuing as the peak day. The highest circulation day in the past month was on July 6th with a count of 34,758 items checked out on that Tuesday after the 4th of July holiday.
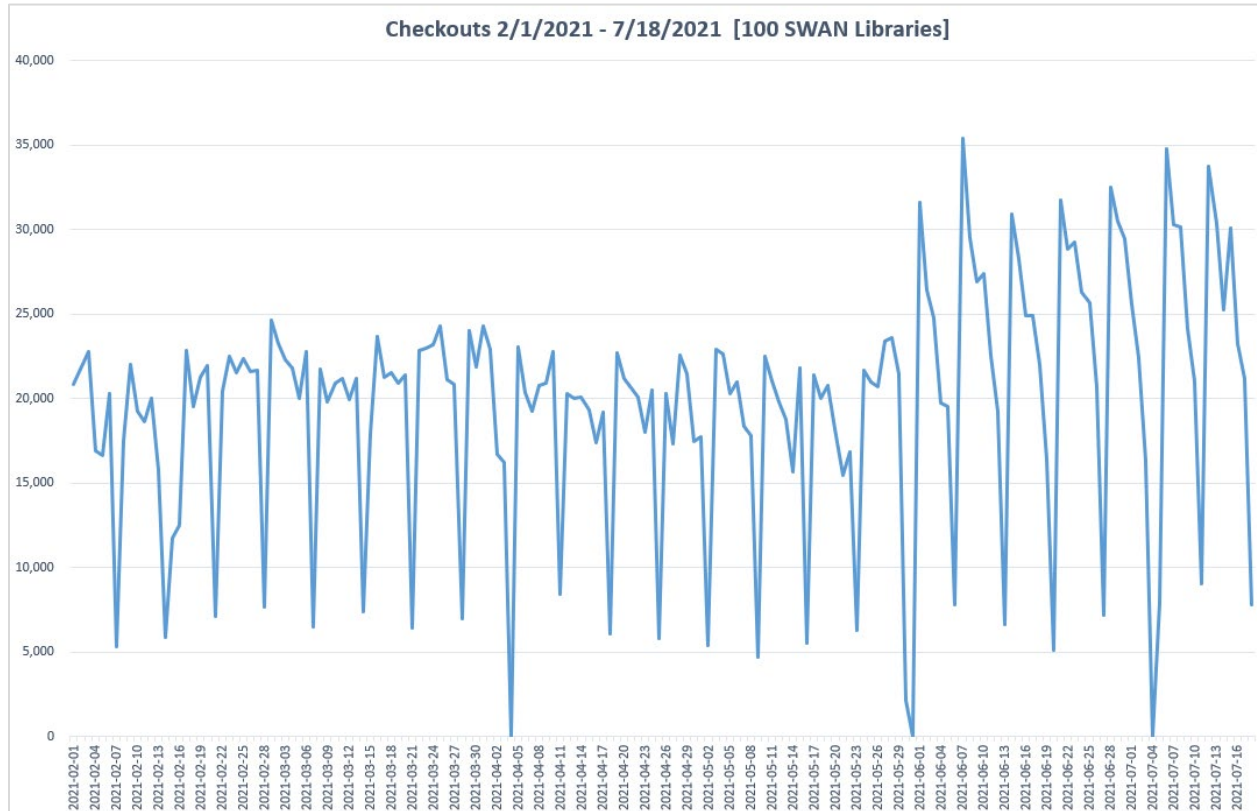

Similar to reporting last month, our summer 2021 circulation numbers are on par with Fall 2019 counts. Circulation is consistently higher than it has been since start of closures in March 2020.

Checkouts 9/1/2019 - 7/18/2021 [100 SWAN Libraries]
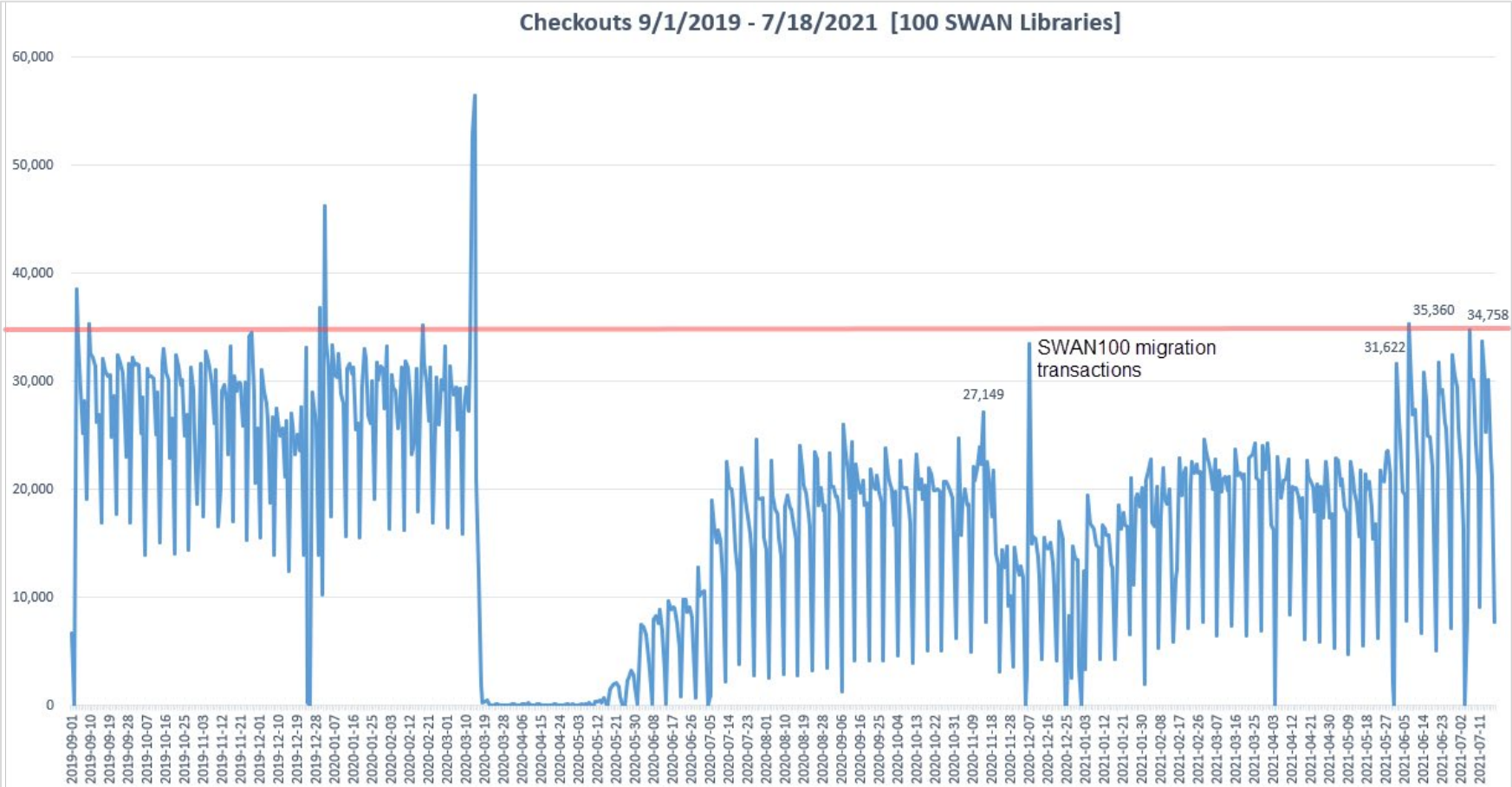
Comparison of circulation, from January 2019 to mid-July 2021, shows the month-to-month pattern of circulation over the pre-pandemic, pandemic, and current year. The marker in July 2021 shows estimated monthly circulation based on first 2 weeks activity. Based on 17 days of circulation, we expect approximately 690,000 checkouts in July – slightly lower than June 2021.
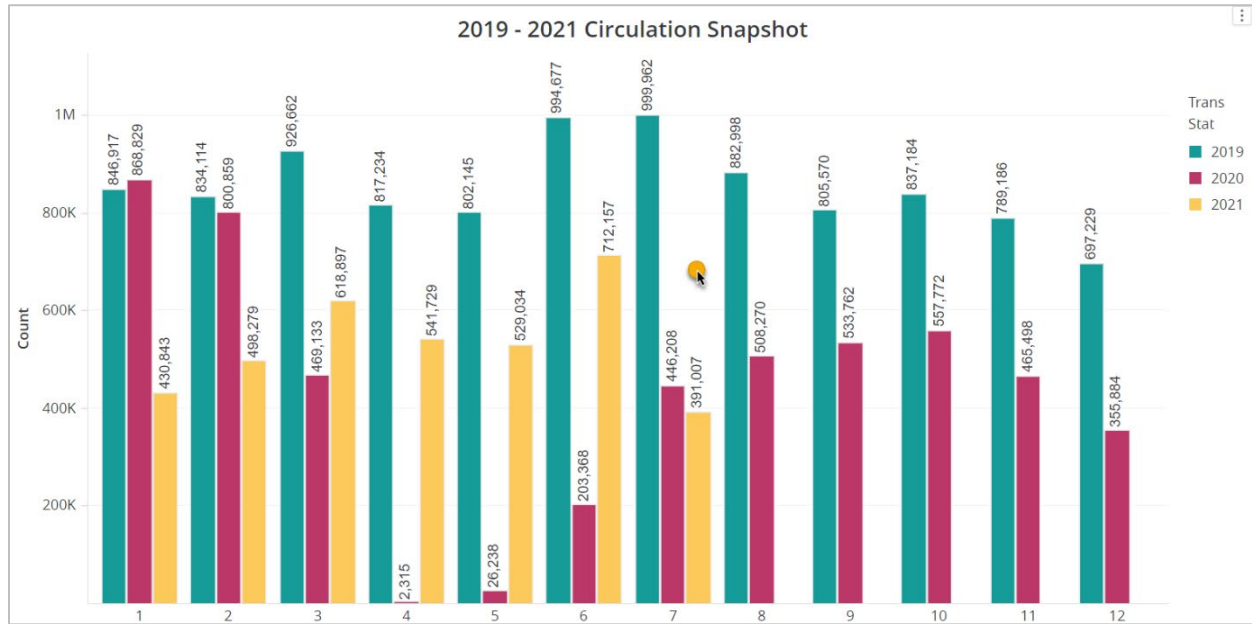

Holds

For the first month since March 2020, percentage of holds placed directly by patrons fell below 80%. As patrons make library visits, staff assisted holds placement is expected to slightly increase as shown by the data.

Hold Client	Feb	March	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
Enterprise	130,418	79,426	14,232	39,091	139,859	123,369	130,554	146,813	143,171	154,839	165,671	192,620	156,930	156,104	134,491	127,413	128,638	1,907,588
WorkFlows	46,661	24,577	381	4,628	20,051	31,761	35,159	38,776	37,014	33,936	38,838	45,214	37,888	41,698	36,617	33,224	38,324	473,199
BLUEcloud Mobile	9,800	4,597	1,235	2,601	8,557	9,137	10,683	12,735	13,718	14,568	14,935	19,318	17,121	16,997	14,669	14,939	15,227	170,671
Other Web Services	1,814	951	167	212	1,410	1,196	1,995	2,104	2,320	2,681	2,673	3,541	2,975	4,452	4,307	3,578	4,247	32,798
Unknown	246	146	22	11	143	114	121	259	451	931	307	0	30	16	23	166	9	2,820
Bookmyne	317	95	11	18	41	167	129	185	212	97	88	93	73	59	77	107	50	1,662
SIP2	27	31	0	0	0	9	18	12	18	2	0	1	6	2	3	0	3	129
BLUEcloud Circ	14	20	0	0	12	3	21	1	2	5	2	6	1	2	0	0	3	89
	189,297	109,843	16,048	46,561	170,073	165,756	178,680	200,885	196,906	207,059	222,514	260,793	215,024	219,330	190,187	179,427	186,501	2,588,956
% Placed by Patron	75%	78%	98%	90%	88%	81%	80%	81%	81%	84%	83%	83%	82%	81%	81%	81%	79%	82%
% mobile apps	6%	5%	9%	6%	6%	6%	7%	8%	8%	9%	8%	9%	9%	10%	10%	10%	10%	8%

Number of holds placed in June rose a bit after three months of decline.

Holds Placed February, 2020 - June, 2021

Enterprise ■ WorkFlows ■ BLUEcloud Mobile ■ Other Web Services
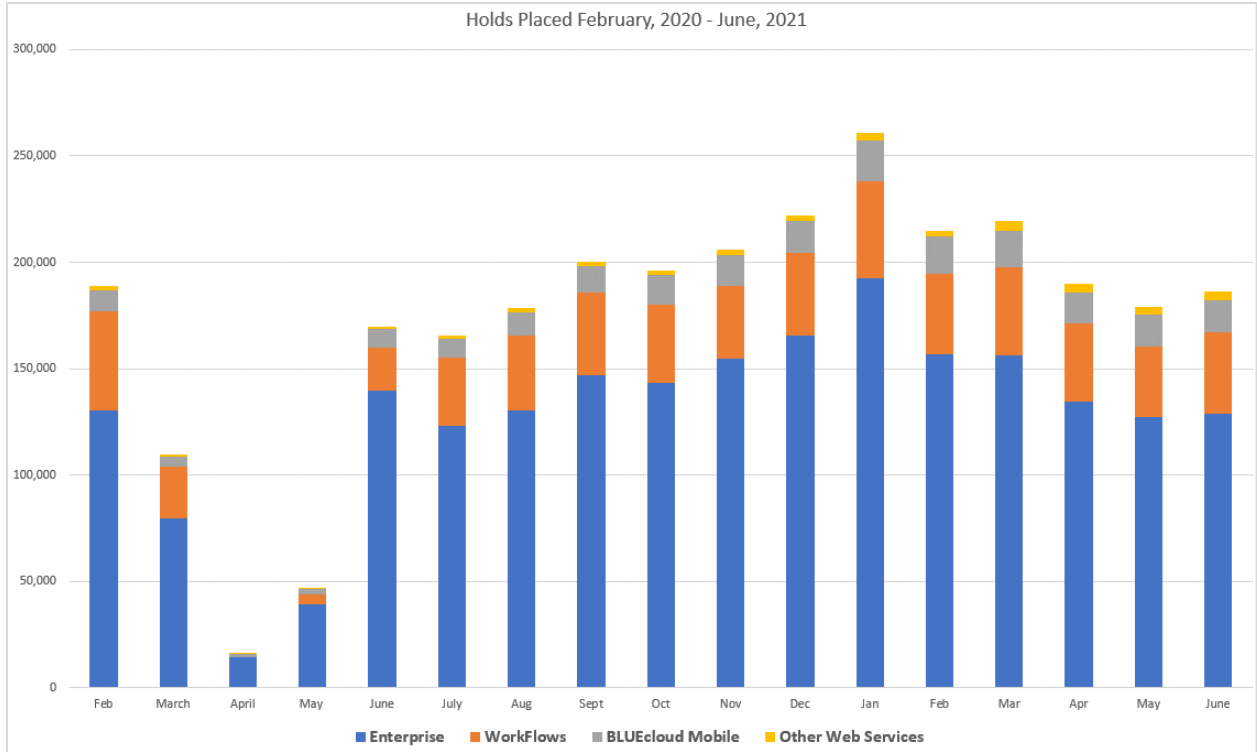
June saw an increase in number of patrons placing and picking up holds, as well as the overall count of holds placed/picked up. This is normal for summer reading months where circulation trends higher historically.


Trends in Holds, Feb 2020 - June 2021

Holds Placed — Holds Picked Up — Users Placing Holds — Users Picking Up Holds
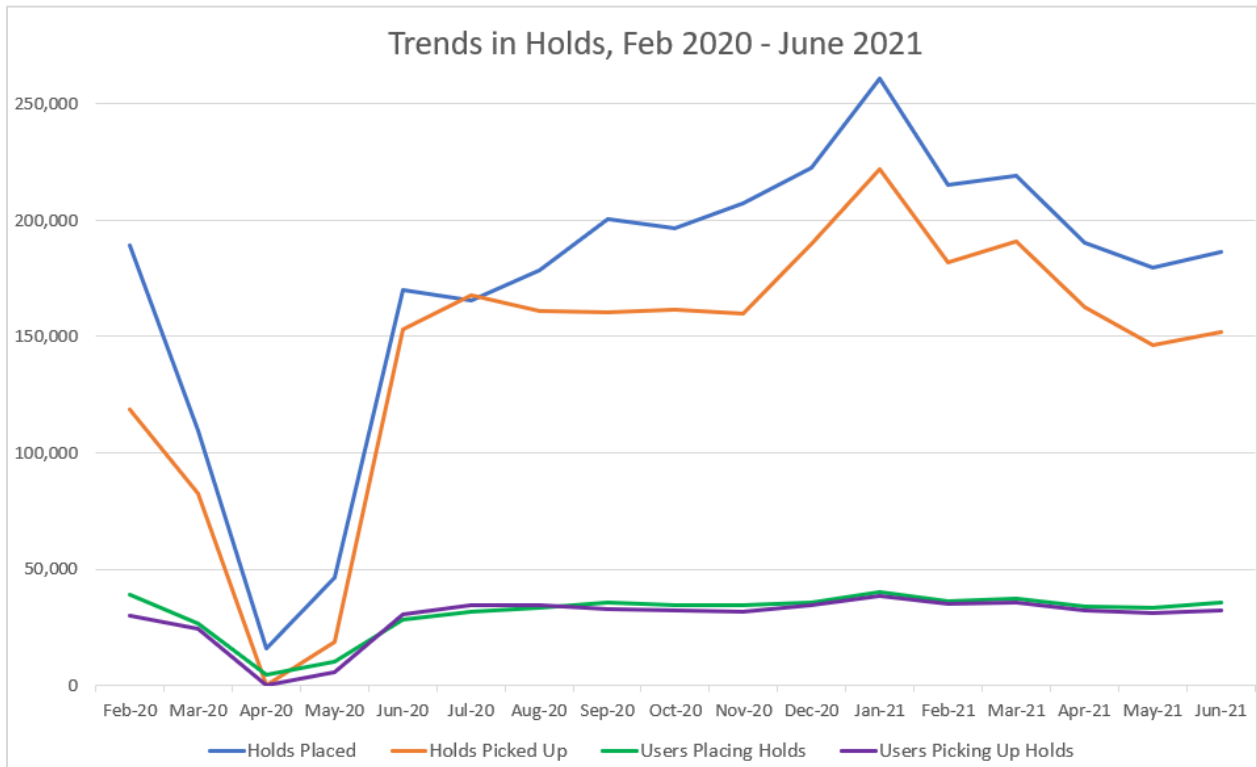
Transits – Resource Sharing

Amount of material transited between libraries continues to closely emulate pre-pandemic numbers. As we deploy pseudo libraries where libraries will be transiting to themselves, statistics will need to be pulled to show activity between locations within the same library so those can be removed from the totals transited between libraries.

SWAN hE - Transit Item to Another Library Statistics	Prior Pre-Pandemic Month/Year	Current Month/Year	% change
Jan 2020	269,481	320,142	19%
Feb 2020	268,464	294,829	10%
Mar 2020	286,066	151,830	-47%
Apr 2020	274,734	1,340	-100%
May 2020	272,468	15,287	-94%
Jun 2020	270,908	66,066	-76%
Jul 2020	296,871	123,522	-58%
Aug 2020	294,591	186,020	-37%
Sep 2020	284,312	215,022	-24%
Oct 2020	300,220	250,734	-16%
Nov 2020	279,280	237,628	-15%
Dec 2020	271,716	244,905	-10%
Jan 2021	320,142	278,152	-13%
Feb 2021	294,829	273,757	-7%
Mar 2021	286,066	299,023	5%
Apr 2021	274,734	266,376	-3%
May 2021	272,468	244,105	-10%
Jun 2021	270,908	263,769	-3%
	5,088,258	3,468,738	-32%

Historically we are now tracking these transit numbers for comparison purposes. As items are discarded from the system, any transaction data associated with that item barcode can no longer be pulled for reporting purposes. Reviewing monthly numbers for the same month previous year, we experience close to a 3% loss in number of transits returned – this is due to items associated with those transits being removed from the database. Maintaining historical counts as we have done since January 2020 will assist in more accurate reporting across time.

Items Placed In Transit
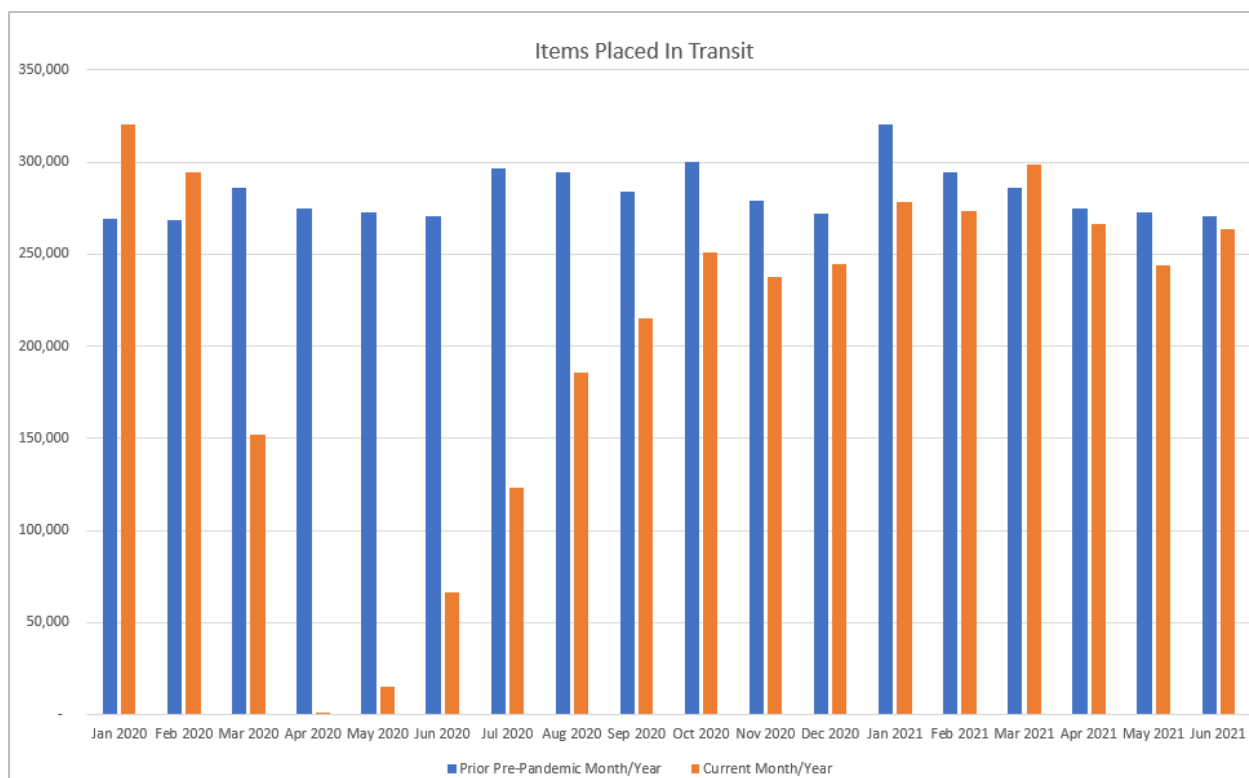
SWAN Bibliographic Services (Scott Brandwein)

Diversity, Equity & Inclusion in Metadata Task Force

The task force launched the first round of subject heading changes, encompassing over a dozen subject headings containing the terms "aliens" and "illegal aliens". The updates have been applied to our existing catalog, and a script is in place to examine all records added or edited to our database and replace subject terms on a nightly basis.

The terms we are currently changing are only the beginning of a continuing effort to ensure our metadata describes groups of people with respect and granularity, and that it does so in a way that helps our patrons find materials by and about these diverse groups. Our next step is to bring this discussion to the SWAN membership and other appropriate stakeholders to further examine subject headings about which we are not fully equipped to handle ourselves.

We are also hosting a panel discussion July 28th about diversity audits. We have invited members of SWAN staff and the Illinois library community to share their experiences, needs, and questions about this topic since we have heard from staff that they are undergoing projects of this type in different ways. Many desire guidance, and the SWAN DEI Task Force will use the discussion to inform our own decisions in enhancing our local metadata to serve this type of project.

Cataloging Advisory

Cataloging Advisory met on July 1st. We discussed Library of Things records again and decided that work we had been doing to evaluate our custom format vocabulary should be put on hold. With the coming

adoption of Aspen, which has its own method of assigning formats, this work did not feel impactful as the SWAN custom formats will eventually be phased out or repurposed as a tool for pre-cat and local records only. We can revisit this topic after Aspen has been fully adopted and we are more familiar with its format setup.

Advisory also discussed our Record Management system – the process we implemented to examine bibliographic records for quality and provide feedback to member catalogers. Though the system has been a net positive in terms of metadata quality, catalogers are split on their appreciation for custom error reports and the types of errors we identify. Bibliographic Services will consider the feedback and re-evaluate how we approach this project so that we can ensure reporting is useful for everyone.

Finally, we discussed our popular local subject headings that identify materials nominated for various Illinois children's book awards. Some catalogers and youth services staff expressed a desire to distinguish award winners from nominees to better refine their customized lists and canned searches. Advisory settled on a method to do this and will be rolling it out in the near future.

Indexing Issues

At the end of June, we encountered some issues with our overnight processing that affected our bibliographic indexes and therefore staff search procedures in WorkFlows. While we are still unsure of the root cause of these problems, our efforts to identify the cause surfaced a couple of things that warrant further discussion. We are considering limiting the number of access points in some very large records by clarifying guidelines for cataloging Rokus and other streaming devices. While we do not believe this was a cause of the recent problems, we've encountered issues in the past and have had to police these records then.

Also, we learned that there is an unusual technique that Symphony ILS uses to index subject headings that creates multiple index entries depending on the number of subfields in the subject string. These index entries are only surfaced through Subject Browse searches in WorkFlows. After discussion with Cataloging Advisory, we determined that these entries are not especially useful, and many users didn't realize they even existed. The amount of process this technique requires grows exponentially on records with large numbers of items and many access points, so we are considering turning off this option to lessen the burden on our overnight processing and hopefully alleviate some issues we have with very large and popular bibliographic records occasionally remaining unprocessed.

Cataloging Counts: SWAN Bibliographic Services

Counts do not include sixteen cataloging libraries. Original cataloging counts are new records created for SWAN and added to the OCLC WorldCat database. Copy cataloging counts are records downloaded from OCLC and added to SWAN's bibliographic database.

For June, there were 84 upgrades of minimal level records in OCLC to full records.

	Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Total
Orig 2019	126	82	106	211	92	163	127	175	171	102	97	107	**1,569**
Copy 2019	2,565	1,952	1,939	2,352	2,032	2,070	1,672	1,872	2,362	2,605	1,648	1,587	**24,656**
Orig 2020	99	111	69	152	98	129	88	102	76	62	56	46	**1,088**
Copy 2020	1,908	1,717	1,863	2,270	2,357	2,496	2,237	1,886	2,405	1,723	1,901	1,704	**24,467**
Orig 2021*	41	53	54	73	49	88							
Copy 2021*	1,632	1,847	1,911	1,480	1,720	1,756							

* In January 2021, one of our Bibliographic Services Support Specialists reduced hours from 37.5 to 19.5 per week.

SWAN IT & System Support Services (Steven Schlewitt)

Support Tickets

Notable support ticket trends for the month included questions regarding circulation processing fee policies, temporary patrons registered via Online Patron Registration, and Enterprise banner statuses. Relating to temporary patron cards, SWAN will reinstate the 90-day removal of expired temporary/online patron cards beginning September 1st, as noted in the recent [news post](). Additionally, on July 13th, the team removed all Enterprise banners pertaining to library pandemic reopening and limited-service offerings now that most libraries have resumed normal services. There had been multiple reports that these banners were beginning to create patron confusion. The team also fielded nearly 50 requests for SWAN Notice Dialer Caller-ID masking.

Also notable during this period was a nearly week-long period of nightly record indexing issues that began on June 23rd. The source of these record issues is still uncertain as it could have stemmed from several factors. Regardless, the team performed a text database rebuild during the evening of June 29th that resolved the issue. In the future, this procedure will be considered much earlier when similar issues arise. In addition, this text rebuild maintenance is being added to weekly processing.

SWAN Support Tickets June 2020 - June 2021
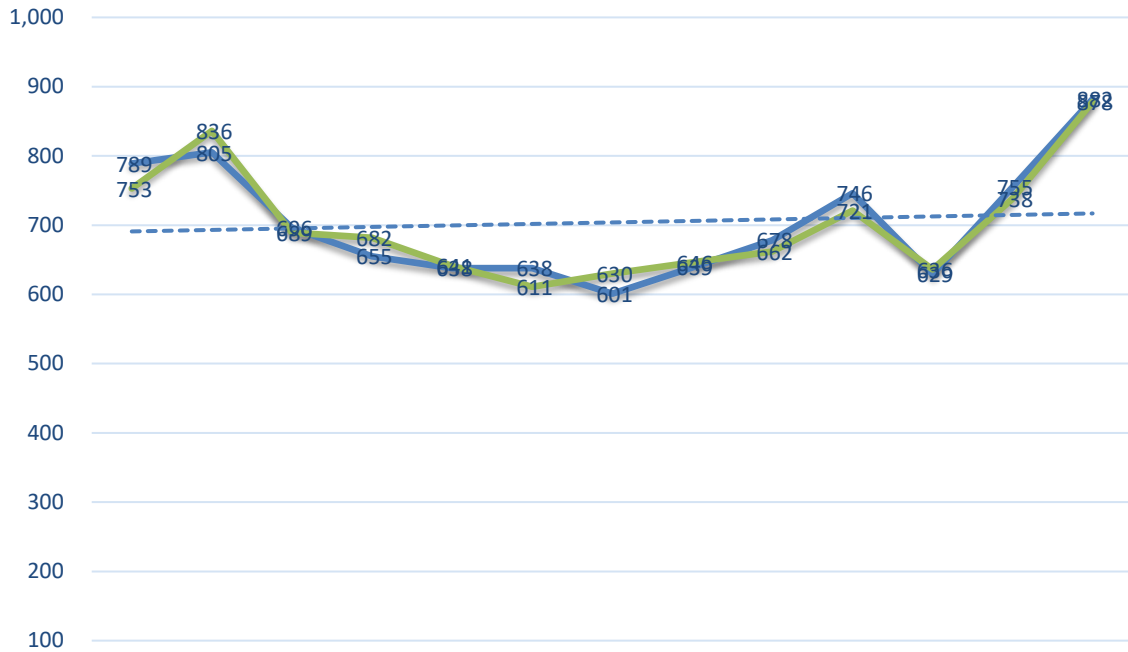
	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan-21	Feb	Mar	Apr	May	June
Opened	789	805	696	655	638	638	601	639	678	746	629	755	882
Closed	753	836	689	682	641	611	630	646	662	721	636	738	878

Tickets Submitted to SWAN

Aspen Project
- Storage expansion following version upgrade – Rudy
- Test server cloning and configuration – Steven
- Zabbix system monitoring tool setup and testing – Rudy

Vendor Integrations
- Communico setup for Batavia - Michael
- Last Activity Date (LAD) corrections for OpenAthens users – Dave with Dawne (Admin), Robin (UX)

RAILS & SVA Server Migrations
- Launch of new MailMan (SWANcom) email server – Steven, Rudy
- Migration of DNS services from RAILS – Rudy
- RAILS datacenter hardware removal and clean-up – Steven, Rudy

General Projects
- Library Fine Free consultations and configuration – Vickie, Michael
- Symphony 3.7.1 preparations – Michael, Steven, Ian with Dawne (Admin), Sam (Bib Srvcs)
- BLUEcloud Mobile Self-Checkout setup by request – Ian, Dave

- Pseudo libraries continued setup and support – Dave with Dawne (Admin)
- Missing, Lost/Paid, Claims Returned cleanup – Vickie with Scott (Bib Srvcs)
- SonicWall End of Life (EOL) hardware upgrades for MTS – Rudy
- Brookfield facility move – Michael, Vickie with Dawne (Admin)
- St. Charles facility reopening – Michael with Dawne (Admin)
- SWAN Notice Dialer caller ID requests – Michael, Steven with Unique (UMS) Team
- pfSense firewall bug investigation and troubleshooting – Rudy, Steven
- New staff laptop patching and configuration tweaks – Ian
- Quail Ridge dock setup for new laptops – Ian
- Azure backup policy audit – Ian, Steven
- Azure cost tracking, setup of additional reservation discounts – Steven
- Website SSL certificate and domain renewals – Rudy, Ian, Steven
- Default price system policy changes – Vickie

Symphony 3.7.1 Upgrade

The upgrade to Symphony 3.7.1 has been scheduled for Wednesday, July 28th at 1:00 AM, as announced in a recent news post. Many SWAN services will be inaccessible during that time, but the upgrade is expected to conclude by 6:00 AM, prior to library hours. Following the upgrade, library staff will have until August 30th to install the associated WorkFlows 3.7.1 client, which will be released during the week of the upgrade. The WorkFlows installation process and features of the upgrade were detailed in the recent Member Update meeting.

BLUEcloud Mobile Checkout

Following a short pilot with the West Chicago Public Library, it was announced in the June 29th Fireside Chat that BLUEcloud Mobile Checkout is now live and available to any requesting member libraries. This new add-on feature of the BLUEcloud Mobile app (SWAN Libraries app) allows patrons to use the camera on their mobile device in conjunction with the app to checkout materials while on-location at the library without any staff intervention. For libraries considering a self-checkout system, this is an easy means to bring the service to patrons. It can also serve to complement an existing self-checkout system. Further details on the service will be posted to an upcoming support documentation page and SWANcom.

Email Notice Tracking (Last 6 Months)

Reading Date	Total Emails Sent	Success Rate	Bounces	Marked SWAN as SPAM
2/12/2021	350,485	99.17% (347,573)	0.05% (176)	0.01% (23)
3/12/2021	353,368	98.89% (349,449)	0.07% (238)	0.01% (18)
4/15/2021	335,174	99.15% (332,317)	0.06% (207)	0.00% (12)
5/13/2021	330,483	98.85% (326,696)	0.07% (234)	0.00% (16)
6/10/2021	325,220	98.68% (320,939)	0.08% (264)	0.00% (10)
7/15/2021	381,491	97.86% (373,312)	0.13% (479)	0.00% (14)

Phone Notice Tracking

Reading Date	Total Calls Attempted	Success Rate	Failed
5/13/2021	542	95% (517)	3% (20)
6/10/2021	4233	94.92% (4018)	4.79% (203)
7/15/2021	7636	96.56% (7373)	3.44% (263)

Outage Tracking (as of July 15th)

Date	Time	Elapsed (Min)	Service	Planned?	Lib Hours?	Reason
7/7/2021	13:47	5	Aspen Discovery	No	Yes	Storage issue following version update requiring configuration update and restart.
7/9/2021	9:37	2	Enterprise	No	Yes	Restart of services following SSL certificate update.

SWAN User Experience (Tara Wood)

User groups

Circulation Users

Circulation Users met June 16th. Topics included the patron record purge; library services and changes to Enterprise banners based on Phase Five; and limits on console game checkouts (and other high value items) across all SWAN libraries.

E-Resource Advisory

E-Resource Advisory met June 24th. Topics included web accessibility and possible group purchase discounts for Kanopy and Reference Solutions. The group also evaluated the EBSCO app.

Aspen Pilot

Pilot libraries go live

6 of our 7 pilot libraries are live on Aspen as their primary catalog! Tinley Park is delaying their go live, as they launched a new website linking to Enterprise.

We are currently monitoring server traffic and awaiting fines payment integration before announcing official dates for a wider rollout. We are currently planning two cohorts for rollout, one in Fall 2021 and one in early 2022, and we will announce a kickoff date for the first cohort soon.

Development progress

ProPay has finalized a contract with ByWater and granted access for development. Now that ByWater finally has access, development on fines integration with Aspen can begin.

The last Aspen release, 21.08, included permissions enhancements to help libraries be able to better manage their browse categories and prevent libraries from accidentally editing other libraries' browse categories. In addition, there were improvements to allow patrons to renew and manage holds on

multiple items at once. ByWater also added the ability to store more data in the MySQL database instead of SOLR memory, which may offer opportunities to improve backend performance and resource allocation in the future.

Upcoming development priorities include:

- Changes to hold permissions to accommodate lockers and drive-up windows
- Configuration enhancements to accommodate the Bensenville Schools' needs.
- Grouping improvements around the uniform title and publisher
- Adding the 590 field as a fallback to the format algorithm.
- Updating checkout history in Symphony when a patron changes their settings in Aspen
- Fixes for deletions for sideloaded collections (Kanopy and Flipster)

Training preparations
Crystal is coordinating recordings of all-staff Aspen trainings in advance of the first cohort kickoff. There are two trainings posted to the support site, with two more to come. Library staff will be able to watch these recordings and use regular Aspen Office Hours (every other Monday at 10am) to ask questions.

The UX team is also preparing for the Aspen Administrator trainings, which will be offered as live webinars, and a SWAN staff training to prepare SWAN staff for increased Aspen support.

Continuing education grant for web accessibility training
Robin applied for and was awarded a RAILS Equity, Diversity and Inclusion Training Grant. The grant will fund a training tailored specifically for digital accessibility in libraries and e-resources in partnership with Deque Systems, Inc., a digital accessibility consultancy that has worked with the Big 10 Academic Alliance to perform e-resource evaluations. More information will be available on the SWAN support site when the training dates and details are finalized.

E-resources & patron record purge
Robin has been coordinating between ESBCO, OpenAthens, and SirsiDynix to ensure that a patron login to OpenAthens will update the Last Activity Date. The development timeline for the updates need to automatically update LAD are anticipated to take at least 6 months. In the interim, Robin has developed a process to manually update LAD for patrons using OpenAthens.

Group purchases
The EBSCO group purchase configuration is complete, with 44 libraries requesting changes to their configuration and 11 libraries opting out.

On July 21st, SWAN is hosting an information session for libraries interested in a group purchase of Kanopy: https://support.swanlibraries.net/training/86998

New York Times authentication
Robin and Rudy worked together to set up authentication for the New York Times, similar to the authentication methods used for ancestry.com. River Forest and Oak Park are now live on the new authentication.

Support site content review

Crystal is leading our annual support site content review this month. SWAN staff are reviewing all content on the support site to ensure it is accurate and helpful for the membership. With this review, we are also preparing for a migration to a new platform later this year, as Drupal 7 – our current platform – is reaching its end-of-life in November 2022.

SWAN
Calendar-Timetable of Deadlines and Board Action Requirements

DATE	MEETING TYPE	ACTION ITEMS
Thursday, July 1, 2021		SWAN FY21 Budget goes into effect.
Friday, July 23, 2021	Regular SWAN Board Meeting	Elect Officers: President, VP, Treasurer, Secretary & Complete Signature Card Changes for Bank Accounts. OMA Officers must complete training. Nominate for committees. Board self-evaluation.
Friday, August 20, 2021	Regular SWAN Board Meeting	Decision if meeting will meet a quorum
Friday, August 20, 2021	SWAN Expo	CANCELLED Annual conference at Moraine Valley Community College
Thursday, September 2, 2021	Quarterly	Introduce new SWAN Board members
Wednesday, September 15, 2021		RAILS LLSAP Funding application due
Friday, September 17, 2021	Regular SWAN Board Meeting	Closed session minutes 6 month review Identify SWAN policies to review. Review budget process timetable with SWAN Board.
October		RAILS reviews LLSAP grant applications and determines awards
Friday, October 15, 2021	Regular SWAN Board Meeting	Aaron begins work on FY23 budget, brings questions to SWAN Board if needed.
November [TDB]	Finance Committee	Aaron Skog and Treasurer review Budget; SWAN potential policies are reviewed.
Friday, November 19, 2021	Regular SWAN Board Meeting	Board accepts FY21 audit.
		Aaron to bring FY23 Budget draft; Board discuss Fees and determines next steps.
		Set Board approves meeting dates for 2022 calendar.
Thursday, December 2, 2021	Quarterly	Announce FY23 Budget Process
Friday, December 17, 2021	Regular SWAN Board Meeting	Review of FY23 Budget Draft.
		Approve FY23 LLSAP grant agreement
Monday, January 31, 2022		Signed LLSAP grant agreements due to RAILS
Friday, January 21, 2022	Regular SWAN Board Meeting (TBD)	Review and recommend draft of SWAN Budget for Membership presentation. Set COW date for February for membership review.
		Recommend Draft of SWAN Budget for Membership Presentation. Set Budget Meeting date for February for membership review. Review Succesion Plan for ED.
	SWANcom	Board present draft budget to membership.
January 2022 (TBD)	SWANcom	Aaron Skog/Board announcement of draft budget to membership. Set February COW date and possible location of meeting.
February 2022 (TBD)	Membership Meeting	Meeting to discuss FY21 budget, fees, and reserves worksheet.
February 2022 (TBD)	Regular SWAN Board Meeting	Incorporate changes, suggestions to SWAN budget. Create recommendation to membership. SWAN Board Election Process Review.
		Review Board Election Timetable.
		Yearly review of SWAN Bylaws; establish committee if needed.
Thursday, March 3, 2022	Quarterly	Roll call vote to approve SWAN budget. Announce Board election process.
March 2022 (TBD)	Regular SWAN Board Meeting	Determine if Personnel Committee meeting is needed.
		Ratify budget

DATE	MEETING TYPE	ACTION ITEMS
March 2022 (TBD)	Personnel Committee [if needed]	SWAN potential policies are reviewed. Yearly Employee Handbook review based on employment law requirements/recommendations.
April 2022 (TBD)	Regular SWAN Board Meeting	Review and approve Board Self Evaluation Form; assign date for completion.
		Review proposed Bylaws changes (if any). Vote on recommendation to membership; send out SWANcom notification of amendment.
May 2022 (TBD)	SWANcom	Announce election info.
May 2022 (TBD)	Regular SWAN Board Meeting	Review Board Self-Evaluation Results.
		Director Evaluation - Review document in preparation to complete for June. Assign deadline for completion.
Thursday, June 3, 2021	Quarterly	Board Election Results. Vote on Bylaw amendments (if any).
June 2022 (TBD)	Regular SWAN Board Meeting	Review/Write Off Allowance for Doubtful Accounts
		RAILS provides FY24 consortial support grant applications to consortia.
		Director Evaluation - Provide results and discuss (Executive Session).
Thursday, June 30, 2022		OCLC State-wide Group Services Agreement Ends

Date: June 18, 2021
To: SWAN Board
From: Aaron Skog, Executive Director

Re: Information Security Consultant

SWAN has 1.2 million user accounts within our library services platform. The organization has policies in place regarding the retention of data and restrictions on specific data collected, and we hold cybercrime insurance policies to help with coverage if our system were to incur some data breach. Our SirsiDynix vendor employs an information security officer who is responsible for maintaining the company's compliance with a cybersecurity security standard.

The SWAN organization is however, lacking several procedures and policies that would be of value to the 100 libraries we provide services. For example, we do not have an Incident Response Plan or Policy. We have taken a number of measures to ensure the security of our systems, but there has not been an outside audit of our data and network security.

After discussions with Dawne Tortorella and Steven Schlewitt, IT & System Support Manager, I decided to begin reaching out to IT consultants to see if it was possible to provide us expertise in these areas.

- Perform a risk assessment of SWAN's data and network security
- Recommend a security standard applicable to an organization that is, by definition, a government entity, and holds data on behalf of public libraries and schools, which are also local units of government
- Review our existing policies and procedures, and provide recommendations and help draft those written policies and procedures

I approached Sikich as an initial step to discuss their approach and discuss what services they can provide. Sikich met with us and provided a proposal. I will reach out to other consulting companies to see if they would be able to provide SWAN a proposal for these services. I will provide the SWAN Board an overview of the proposals for the July 23, 2021 meeting.

PREPARED FOR:

SYSTEM WIDE AUTOMATED NETWORK DBA SWAN LIBRARY SERVICES

- *Created June 7, 2021*
- *Last updated June 16, 2021*

SUBMITTED BY:

Sikich LLP
Jeremiah Wyka
ACCOUNT EXECUTIVE

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CONTENTS

MESSAGE FROM JEREMIAH

To meet your goals, we have outlined a project plan for your review. The plan is comprised of multiple phases intended to identify, analyze, treat and manage cybersecurity risks against the NIST SP 800-171 framework. Once we have identified and analyzed your organization's overall risk profile, we can perform additional services meant to treat and manage any risks present. The goals of this well-rounded plan are to drastically improve your security posture, raise your level of understanding of the risks that threaten your business on a regular basis and align to a cybersecurity framework around which your organization can evolve.

We understand that you have many choices for cybersecurity and compliance services, and we are confident that the depth of our technical expertise, the breadth of our services and our objectivity will allow us to provide you with unmatched service.

To move forward, please indicate your acceptance of this proposal by initialing where appropriate and signing and returning a copy of the enclosed agreement to me via email to jeremiah.wyka@sikich.com.

Very truly yours,

Jeremiah Wyka
Account Executive

OVERVIEW

Sikich LLP (Sikich) is a leading professional services firm specializing in accounting, technology, investment banking and advisory services. The Sikich Cybersecurity group is dedicated to assisting clients with information security consulting, fraud management, risk mitigation, security assessments and vulnerability detection and prevention. As a company with an international presence, Sikich has the privilege of working with leading payment card, financial, restaurant, hospitality, health care, nonprofit, government and education organizations from around the world.

Our experts specialize in performing compliance audits, penetration tests, computer security assessments, Payment Card Industry (PCI) forensic investigations and computer forensic investigations, and our team holds the titles to back up that claim. Among the certifications and qualifications you'll see are:

- Certified Ethical Hacker (CEH)
- Certified Hacking Forensic Investigator (CHFI)
- Certified in Risk and Information Systems Control (CRISC)
- Certified Information System Auditor (CISA)
- Certified Information System Security Professional (CISSP)
- Certified Public Accountant (CPA)
- CompTIA Security+
- GIAC Assessing and Auditing Wireless Networks (GAWN)
- GIAC Certified Forensic Analyst (GCFA)
- GIAC Certified Incident Handler (GCIH)
- GIAC Certified Intrusion Analyst (GCIA)
- GIAC Certified Perimeter Protection Analyst (GPPA)
- GIAC Security Essentials (GSEC)
- GIAC Security Expert (GSE)
- GIAC Web Application Penetration Tester (GWAPT)
- Offensive Security Certified Professional (OSCP)
- Project Management Professional (PMP)
- Payment Card Industry Professional (PCIP)
- Payment Card Industry Approved Scanning Vendor (ASV)
- Payment Card Industry Qualified Security Assessor (QSA)
- Payment Card Industry Associate Qualified Security Assessor (AQSA)
- Payment Card Industry Payment Application Qualified Security Assessor (PA-QSA)
- Payment Card Industry 3DS Assessor (3DS)

We're better than our competition, and here's why:

- We employ state-of-the-art facilities, equipment and techniques to perform thorough security tests. Simply doing "enough to get by" is not an option.
- We are continually innovating, being first- to-market with new tools, better ideas and superior technology supported by patents.

- Our team of trained professionals is experienced in both security and the payment card industry, performing hundreds of security tests for banks, service providers, payment card processors and merchants.
- You'll see us active in the information security community, presenting seminars, writing articles, conducting webinars and sharing our knowledge.

And of course, we care about the community, giving back and participating in organizations including:

- Center for Internet Security (CIS)
- High Technology Crime Investigation Association (HTCIA)
- Information Systems Audit and Control Association (ISACA)
- Information Systems Security Association (ISSA)
- InfraGard (National Infrastructure Security Organization)
- Open Web Application Security Project (OWASP)
- Wisconsin Association of Computer Crimes Investigators (WACCI)
- The United Way

SERVICE DESCRIPTIONS

To accomplish the goals of System Wide Automated Network DBA SWAN Library Services (SWAN Library Services), Sikich is proposing the following services:

INFORMATION SECURITY RISK ASSESSMENT

Sikich will take a phased approach to helping SWAN Library Services identify their information security gaps by benchmarking the environment against the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171 framework and determining the risk that those gaps pose to the organization.
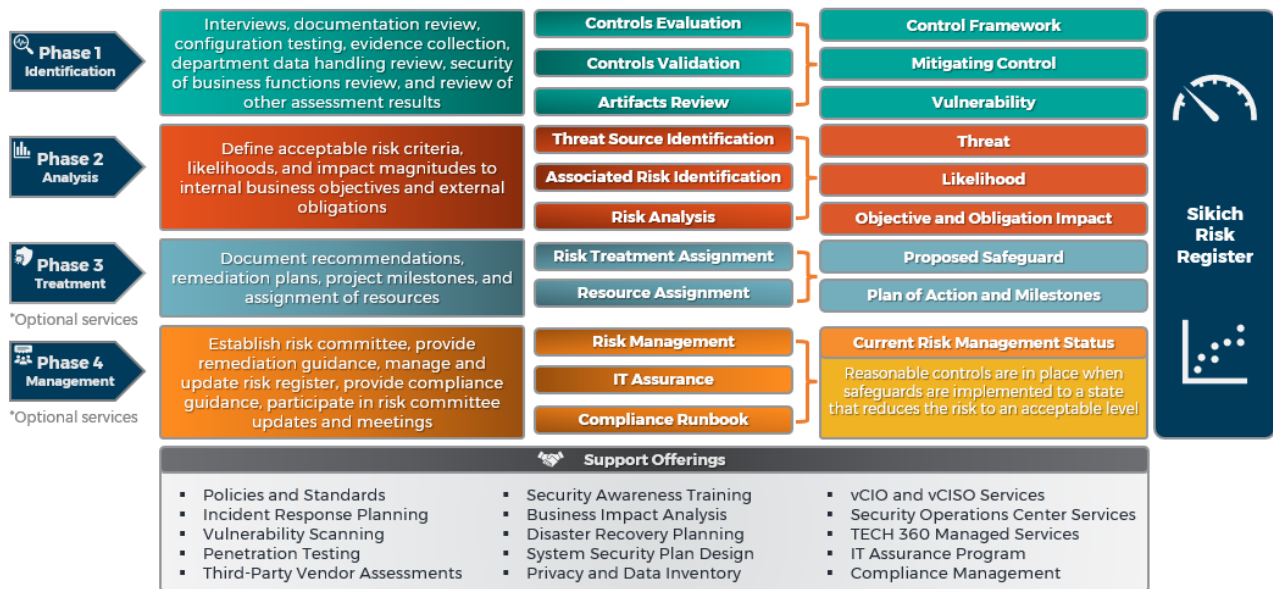
KICKOFF AND PLANNING

Sikich will schedule an initial conference call to introduce everyone on the team and set expectations for the engagement to:

- Initiate the project
  - Discuss project team roles and responsibilities
  - Introduce the project participants
  - Review the project objectives
  - Provide an overview of the project methodology
- Review and confirm the selected scope
- Develop a schedule of interviews
- Review the documentation request list

- Introduce SWAN Library Services to the Sikich project management web portal that will be used throughout the assessment
  - Sikich requests that SWAN Library Services use the project portal for all written communication and exchange of files or other data

PHASE 1 – RISK IDENTIFICATION

As part of the first phase, Sikich will perform controls evaluation and validation.

CONTROLS EVALUATION

Sikich will evaluate the SWAN Library Services assessment scope against a subset of security requirements specified in NIST SP 800-171 and Cybersecurity Maturity Model Certification (CMMC) Level 2 cybersecurity controls. Sikich will determine where vulnerabilities exist due to gaps between the current information security program and the expectations of the security requirements. Furthermore, Sikich will document implemented controls that mitigate the potential risk related to identified vulnerabilities.

Sikich will:

- Conduct up to 15 remote interviews with key SWAN Library Services managers and staff that will each last up to one (1) hour and include reviews of:
  - In-scope security policies, processes, procedures and guidelines
  - Applicable information security controls
- Examine information provided by SWAN Library Services to evaluate the maturity of implemented security controls in four key areas:
  - Implemented technical controls or processes
  - Defined supporting documentation
  - Established audit measures
  - Optimized automation or alerting
- Document control gap vulnerabilities
- Document implemented mitigating controls
- Provide preliminary scoring for levels of compliance

CONTROLS VALIDATION

Sikich will perform validation testing of the controls that SWAN Library Services has implemented. In performing controls testing, Sikich will go beyond reviewing documentation and conducting interviews to perform additional fieldwork. Sikich will audit the organization's controls to determine if the regular operations of SWAN Library Services match the standards in place within the organization as well as industry best practices.

Sikich will validate:

- Critical backup process and configurations
- Active Directory Group Policy Object (GPO) security configurations
- Workstation controls (encryption, administrator rights, anti-virus, etc.)

- Remote/VPN multi-factor authentication
- Configuration standards of:
  - Up to three (3) network devices
  - Up to three (3) servers

Additionally, Sikich will perform an external vulnerability scan of in-scope information assets.

Sikich will document vulnerabilities and mitigating controls identified from the controls validation in the risk register. Furthermore, Sikich will provide an external vulnerability scan report.

Once these activities are completed, Sikich will perform the Phase 2 risk analysis.

PHASE 2 – RISK ANALYSIS

Sikich will evaluate vulnerabilities identified in terms of the risk they pose to information and systems in scope for the engagement. The risk analysis will help SWAN Library Services understand where their information risks lie and prioritize reasonable safeguards to address those risks.

Risk analysis commonly poses two challenges to organizations: evaluating risk in a meaningful way and defining an acceptable level of risk. While the risk calculation "Risk = Likelihood x Impact" is well known, the process for providing meaningful values for likelihood and impact is not. Furthermore, each organization needs to calculate its acceptable level of risk. Not all risks should be treated and remediated because perfect security is not achievable and can be disruptive to an organization's purpose. The regulatory and statutory requirements for securing information require a balance between security and the burden of maintaining security. The concept of "Reasonable," "Appropriate," or "Acceptable" security is the exact lexicon regulations use and expect.

Sikich will document the likelihood of threats leveraging vulnerabilities identified during Phase 1 and the impact of the threats on the organization within the risk register. Sikich will:

- Develop acceptable risk criteria
- Assess the likelihoods and impacts of potential threats that could leverage vulnerabilities associated with gaps identified
- Create a formal risk register

At the close of this phase, Sikich will provide an executive summary presentation and a detailed risk register that includes a templated Plan of Action and Milestones (POAM). Sikich will prioritize results based on controls mapped to the NIST SP 800-171 implementation groups and levels of risk identified.

PHASE 3 – RISK TREATMENT

Sikich will help populate the initial POAM for SWAN Library Services, including providing recommendations for remediating risk to an acceptable level. The output of this phase will provide SWAN Library Services with a roadmap to establish an effective information security program or fulfill contractual obligations.

The POAM can be used to actively manage and guide remediation projects by highlighting the timeframe and resources required to implement action items necessary to meet the guidance provided within information security standards.

The POAM provides a structured approach for addressing control gaps and risks by:

- Outlining activities necessary to implement remediation efforts
- Making sure that suggested safeguards reduce risk to an acceptable level
- Assigning resources needed to perform remediation tasks
- Holding assigned resources accountable for the projected completion of milestone activities
- Tracking statuses and capturing the estimated cost to remediate

At the close of this phase, Sikich will provide an updated risk register with a completed initial POAM.

PHASE 4 – RISK MANAGEMENT

Phase 4 is broken up into an up-front project fee to set up and identify processes and procedures for ongoing risk management and then monthly virtual Chief Information Security Officer (vCISO) fees, where Sikich will assist SWAN Library Services in managing their program and identifying new risks to the organization. Sikich will establish scheduled counseling sessions with SWAN Library Services to provide oversight with risk management activities. During these sessions, Sikich will identify ongoing risk register procedures and POAM oversight functions that will help SWAN Library Services maintain compliance and improve security over time.

Sikich will provide guidance for the ongoing operation of a formal risk management program that will include:

- Establishment of an information security management group (ISMG)
- Risk management documentation
- Identification of monthly checkpoints for SWAN Library Services to track remediation tasks and identify new risks

As part of this phase, Sikich will provide an updated risk register, ISMG charter and risk management standard operating procedures (SOPs). Sikich will then help manage the program in an ongoing fashion as a vCISO for a set number of hours each month to assist SWAN Library Services with ongoing updates to the risk register and overall risk program, including updating policies and audit plans. As part of the vCISO services, Sikich can provide guidance for the ongoing operation of a formal risk management program that will include:

- Reviewing the POAM status
- Identifying and documenting new risk to the organization
- Performing ongoing information security program assurance checkpoints
- Providing risk register updates
- Providing industry compliance and security insights
- Developing reports for upper management and the ISMG

INFORMATION SECURITY POLICIES AND STANDARDS DEVELOPMENT

Sikich has developed a comprehensive policy and standards framework designed to address regulatory requirements, incorporate best practices and be flexible enough to be customized to fit the business needs of SWAN Library Services. The Sikich framework consists of a set of 16 policy documents necessary to establish a formal information security program and define organizational governance conditions.

Sikich will:

- Review existing policies and procedures
- Incorporate existing SWAN Library Services policies, standards and procedures into the Sikich framework
- Perform policy development
    o Conduct interviews with appropriate security, compliance, IT and management staff to gather details required to customize policies for SWAN Library Services
    o Tailor policies in accordance with SWAN Library Services business requirements
    o Review policies and provide revisions based upon input from SWAN Library Services
- Perform up to eight hours of standards development
    o Conduct expert-led sessions with appropriate security, compliance, IT and management staff to gather existing standards
    o Offer advice and guidance on areas where gaps are identified
    o Create standards in accordance with the business, process and technical requirements of SWAN Library Services
    o Review standards and provide revisions based upon input from SWAN Library Services
    o Conduct a training session in best practices related to standard development

Examples of policies and standards that Sikich can develop for SWAN Library Services include the following:

- Information Security Policy
- Acceptable Use Policy
- Password Policy and Standard
- Data Classification Policy and Standard
- Access Control Policy and Standard
- Cardholder Data Protection Policy and Standard
- Physical Security Policy and Standard
- Anti-Virus and Malicious Code Policy and Standard
- Activity Logging and Monitory Policy and Standard
- Data Retention and Disposal Policy and Standard
- Information Back Up and Restore Policy and Standard
- Security Awareness and Training Policy and Standard
- Incident Response Program Policy and Standard
- Service Provider Management Program Policy and Standard
- Connected Entities Management Program Policy and Standard
- Secure System Management Program Policy and Standard

- Secure Application Management Program Policy and Standard

At the close of this phase, Sikich will provide a library of policies to address NIST SP 800-171 categories and any standards that are produced in the eight hours included for this service. Additional standards, procedures and related documentation can be provided on a time-and-materials basis.

SCOPE AND ASSUMPTIONS

In determining the level of effort and resources applied to these services, it is critical to understand the composition of the networking environment that will be tested. The fees set forth in this Statement of Work (SOW) are based on the following assumptions. In the event that any assumptions prove to be inaccurate and Sikich incurs additional work as a result thereof, additional fees may apply.

Sikich understands the following regarding the SWAN Library Services environment:

- Headquarters in Westmont, IL
  - o Microsoft Azure data center in Chicago, IL
- Supports 100 libraries across Illinois
  - o 95 public libraries
  - o Two (2) special libraries
  - o Two (2) academic libraries
  - o One (1) theosophical library
- One (1) Bensenville school district supported, which is required to adhere to Student Online Personal Protection Act (SOPPA) compliance
  - o Three (3) elementary schools
- Maintains 1.2 million user records
- Allows third-party vendor access
- Uses a cloud-hosted database
- The NIST SP 800-171 risk assessment will focus on IT and information security (IS) departments

PROJECT MANAGEMENT

Sikich has a robust project management methodology that it uses to help keep projects on track. Sikich project managers monitor and manage timeline considerations and utilize a project management tool known as Basecamp.

SCHEDULE AND MILESTONES

All reasonable attempts will be made to meet the dates requested. SWAN Library Services understands and agrees that changes in major factors (such as a "Project Change Control") could impact the projected timeframe.

SERVICE	LOCATION	START DATE	COMPLETION DATE
Phase 1 – Risk Identification	Remote	To be determined	Estimated 4 – 6 weeks from start date
Phase 2 – Risk Analysis	Remote	To be determined	Estimated 2 – 3 weeks from start date
Phase 3 – Risk Treatment	Remote	To be determined	Estimated 2 – 3 weeks from start date
Phase 4 - Risk Management	Remote	To be determined	Estimated 4 – 6 weeks from start date; ongoing vCISO support
Information Security Policies and Standards Development	Remote	To be determined	Estimated 4 – 6 weeks from start date

Upon the start of each service, Sikich will coordinate with SWAN Library Services to set up a complete project schedule.

BASECAMP

Sikich utilizes a web-based project management tool called Basecamp to direct client engagements. Sikich consultants and SWAN Library Services team members will have access to their project(s) in Basecamp. Basecamp allows all project stakeholders to organize electronic communications, documentation, to-do lists and the project schedule in a centralized, secure location.

Basecamp utilizes encryption for data in transit and at rest. Users create their own password to log in to the site, and multi-factor authentication can easily be established. For files that may be extra sensitive in nature, Sikich consultants will encrypt those individual files with an additional file-level password that will be exchanged out of band.

FEES AND PAYMENT SCHEDULE

In estimation to complete the activities based on the included scope, Sikich is presenting the following for SWAN Library Services as part of a one-time engagement.

INFORMATION SECURITY RISK ASSESSMENT

Sikich will perform the elected services as part of a one-time information security risk assessment. SWAN Library Services should initial next to the phase(s) they would like to elect. If SWAN Library Services would like all phases performed, they should initial beside the total fees.

SERVICE PHASE	FIXED FEES	MONTHLY FEES	INITIAL
Phases 1 and 2 – Risk Identification and Risk Analysis	$24,000		
Phase 3 – Risk Treatment	$7,500	---	
Phase 4 – Risk Management ▪ This phase includes monthly fees for up to six (6) hours/month of vCISO and risk management support	$5,500	$1,600	
TOTAL FIXED FEES	$37,000	---	
TOTAL MONTHLY FEES	---	$1,600	

ADDITIONAL TIME-AND-MATERIALS CONSULTING (IF NEEDED)

Sikich has included services with monthly caps on time in this SOW. SWAN Library Services may request additional time from Sikich to be used for any related purpose. This additional consulting time will be billed at a time-and-materials rate, and Sikich will reconcile and bill for the actual time used each month.

SERVICE	FEES
TIME-AND-MATERIALS CONSULTING	$300/HOUR

INFORMATION SECURITY POLICIES AND STANDARDS DEVELOPMENT

In collaboration with SWAN Library Services, Sikich will help customize information security policies to address NIST SP 800-171.

SERVICE PHASE		INITIAL
INFORMATION SECURITY POLICIES AND STANDARDS DEVELOPMENT		
Includes:		
▪ Review of existing policies and procedures		
▪ Incorporation of existing policies, standards and procedures into the Sikich framework		
▪ Policy development		
o Interviewing appropriate security, compliance, IT and management staff		
o Tailoring policies in accordance with the business requirements of SWAN Library Services		
o Reviewing policies and providing revisions based on input from SWAN Library Services		
▪ Up to eight (8) hours of standards development		
Deliverables:		
▪ Library of 16 separate policies to address NIST SP 800-171 categories		
▪ Any standards developed during the included time		
TOTAL FEES	$12,000	

CONTRACT TERM

Project-based fees assume that all services will be completed within one (1) year from the execution date of this SOW. For services with ongoing monthly vCISO components, the initial contract is valid for 12 months of services from the time those individual services are implemented. Once the initial 12-month timeframe is complete, Sikich and SWAN Library Services may continue the monthly services and billing on a month-to-month basis with 60-day notice required for cancellation.

PAYMENT SCHEDULE

Sikich will invoice 50% of the information security risk assessment Phase 1 and 2 fees upon receipt of the signed SOW. The final 50% of the fees for the first two phases will be invoiced upon completion of the defined deliverables.

For each subsequent phase, Sikich will invoice 50% of each phase's fees up front, and will invoice the final 50% of the fees upon completion of the defined deliverable(s) outlined for that phase.

For each service offering that includes an ongoing monthly fee, Sikich will invoice the service on a monthly basis for services to be delivered in the upcoming month.

Sikich will invoice 50% of the total fees for the information security policies and standards development upon receipt of the signed Statement of Work. The remaining fees will be invoiced upon completion of the policies.

Any requested time-and-materials work above the included hours for vCISO consulting and standards development will be invoiced monthly for the time used during the previous month.

EXPENSES

Travel time is not included in the fee structure outlined in this SOW. Applicable project expenses (flights, mileage, hotel, meals, shipping, equipment, etc.) will be billed to SWAN Library Services at actual cost as they are incurred.

FEE GUARANTEE

The above fees are estimated based on the current knowledge and understanding of the SWAN Library Services environment. Fees may change at any time and are not guaranteed until a contract has been signed. Project-based fees are valid for 30 days and require that all services for a single project, or the first year in a multi-year project, will be completed within one year from the date of this SOW. For services billed at an hourly rate, rates may increase once every 12 months in accordance with the Sikich Professional Services Master Agreement.

PROPOSAL ACCEPTANCE

This Statement of Work is governed by the terms in the Professional Services Master Agreement executed between System Wide Automated Network and Sikich LLP. System Wide Automated Network agrees to: assume all management responsibilities for the services described in this agreement; oversee the services by designating an individual, preferably from senior management, with suitable skill, knowledge, or experience; evaluate the adequacy and results of the services; and accept responsibility for the services.

To accept the services, fees and terms, please INITIAL ABOVE where appropriate, SIGN BELOW and return a copy of the executed proposal via email to jeremiah.wyka@sikich.com. A duly signed copy will be returned to you upon request.

_____	_____
System Wide Automated Network Signature	Sikich LLP Signature
_____	_____
Print Name, Title	Print Name, Title
_____	_____
Date	Date

CONTACT INFORMATION

Please provide us with the contact information for both the primary management contact and the billing contact.

_____	_____
System Wide Automated Network Primary Contact	System Wide Automated Network Billing Contact
_____	_____
Email	Email
_____	_____
Address	Address
_____	_____
Phone	Phone
_____	_____
Fax	Fax
	_____
	Purchase Order Number (optional)

ADDITIONAL SERVICE OFFERINGS

Sikich offers a wide range of information technology, security and compliance services. For more information on any the services listed below, please contact Jeremiah Wyka at jeremiah.wyka@sikich.com.

PROFESSIONAL IT SERVICES

- Virtual Chief Information Officer (vCIO)
- Architecture design
- Cloud strategy planning
- Data migrations and systems integrations
- IT consulting
- Disaster recovery planning
- Network security
- Ongoing network optimization
- Planning, scoping and service provider selection
- Remote work enablement
- Solution deployments

MANAGED IT SERVICES

- Azure
- Microsoft Teams
- Network Operations Center
- Office 365
- Skype for Business

SECURITY TESTING

- Advanced API testing
- Application penetration testing
- Embedded OS and custom OS distribution testing
- External network penetration testing
- Firmware and circuit board BIOS testing
- Internal network penetration testing
- Network segmentation testing
- Mobile application testing
- Product security assessments and testing
- Social engineering
- Wireless network reviews and testing
- Physical security testing
- External vulnerability scanning
- Internal vulnerability scanning
- Application vulnerability scanning
- Port scanning

SECURITY AUDITS AND ASSESSMENTS

- CMMC
- CCPA
- FFIEC
- GDPR
- GLBA
- HIPAA/HITECH
- HITRUST
- IT controls
- PA-DSS
- PCI 3DS
- PCI DSS
- SSAE 18 (SOC)

SECURITY CONSULTING

- Virtual Chief Information Security Officer (vCISO)
- Blockchain security reviews
- Cloud security assessments
- Employee security awareness training
- Information security consulting
- Information security policy development
- Business continuity planning
- Network security assessments
- Risk assessments
- Secure cloud transition consulting
- Secure design consulting
- Security and risk assessments with threat modeling
- Vendor management and security assessments

FORENSICS AND INCIDENT RESPONSE

- Breach verification and remediation
- Data recovery
- E-discovery
- Electronic litigation
- Forensic investigations
- Incident response plan and exercises