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TERMS: Techniques for electronic resources management

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## **Chapter 1. Introduction and Literature review**

### **Abstract**

Librarians and information specialists have been finding ways to manage electronic resources for over a decade now. However, much of this work has been an ad hoc and learn-as-you-go process. The literature on electronic resource management shows this work as being segmented into many different areas of traditional librarian roles within the library. In addition, the literature show how management of these resources has driven the development of various management tools in the market as well as serve as the greatest need in the development of next generation library systems. TERMS is an attempt to create a series of on-going and continually developing set of management best practices for electronic resource management in libraries.

### **Introduction**

An important role for librarians over the next five to ten years is to provide access to online library resources – free, open access, or purchased, all valuable resources, in an intuitive, easy to use one-stop shop, and not to be afraid of running a continual beta test in which new services and functions can be added when necessary. To do this, librarians and electronic resources managers need flexible, interoperable resource-discovery systems based on open source software. In addition, we must continue to assess users' needs and reach out by adapting our systems to fit their requirements, rather than expecting them to come to us; indeed, our very future depends on it. (1)

Two decades after the advent of electronic journals and databases, librarians are still grappling with ways to best manage e-resources in conjunction with traditional print resources and at the same time explore new purchasing initiatives and practices such as demand driven acquisition of

electronic books. In addition, these times of economic austerity are creating budgetary pressures at many institutions of Higher Education, resulting in librarians having to justify their spending on collections and resource management more than ever.

Techniques for Electronic Resource Management (TERMS) began in 2008 after a discussion about electronic resource management (ERM), current ERM tools, and what was lacking both in current practice and with the systems available. TERMS expands on the Pesch's electronic resources lifecycle (see figure 1.1) and seeks to become a reference point for those who are new to electronic resource management, those who have suddenly shifted job functions to oversee electronic resource management and for those who may want to implement its recommendations of best practice.



Figure 1.1: Pesch's electronic resources life cycle. (2)

After swapping ideas between the US and UK about what electronic resource management meant, the authors came up with 6 TERMS (see figure 1.2) and began working on a draft document and plan for a crowdsourcing review. In September 2011, TERMS was launched as a tumblr blog (3) and publicised via a Facebook group page (4) and Twitter hashtag (5) enabling scrutiny by open peer commentary and crowdsourcing in order to solicit feedback on the ideas from the library social community. At the time of writing the blog has 23 direct followers, around 150 Twitter followers and over 180 Facebook members.

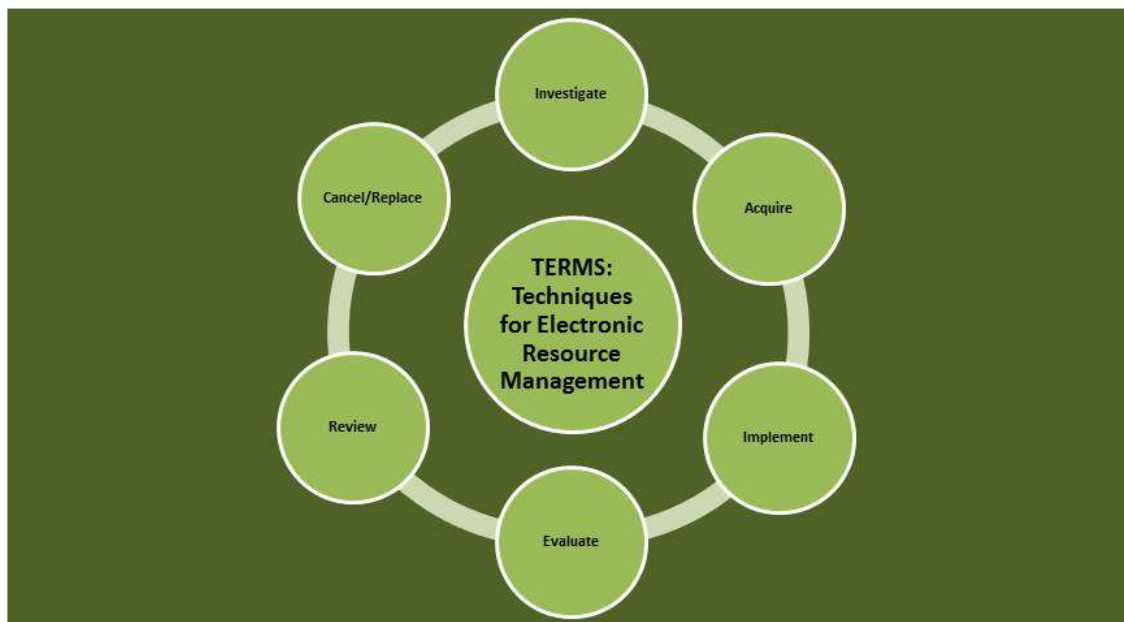


Figure 1.2: The six TERMS

During 2012 the latest draft of TERMS was migrated to a wiki (6) in order to be shared, monitored, and updated by librarians throughout the world. The wiki received positive feedback

from the US, UK, Ireland, India and Brazil and as a result a number of the librarians have offered to work on future versions of the wiki as open peer reviewers.

- TERMS 1: Investigating New Content for purchase/addition assigned to Ann Kucera (Baker College, MI)
- TERMS 2: Acquiring New Content assigned to Nathan Hosburgh (Montana State University MT)
- TERMS 3: Implementation assigned to Stephen Buck (Dublin City University, Ireland)
- TERMS 4: Ongoing Evaluation and Access assigned to Anita Wilcox (University College Cork, Ireland)
- TERMS 5: Annual Review assigned to Anna Franca (King's College, London, UK)
- TERMS 6: Cancellation assigned to Eugenia Beh (Texas A&M University, TX)

In 2012 TERMS was also endorsed by the Knowledge Base + project in the UK, which has a project deliverable of providing “(w)orkflow management tools related to the selection, review, renewal and cancellation of publications” (7) and has also received interest from GoKB from Quali OLE (Open library Environment), “...a community of nine research libraries working together to build the first open-source system designed by and for academic and research libraries for managing and delivering intellectual information” (8) in the U.S.

TERMS is also being used as a teaching aid by Galadriel Chilton at the School of Library and Information Studies at the University of Wisconsin (9) to establish a key framework for their electronic resource management class. Lastly, the library community at large has been interested in the development of in-person presentations on TERMS and so the authors have sought

feedback at library events such as the Electronic Resources & Libraries annual conference (10) and the LIBER conference (11), a premier library event held in Europe each year.

## **Literature Review**

One of the first things to note when performing a literature review on electronic resource management is that there are no independent literature reviews solely on this area. Instead, electronic resource management has now become an integral part of standard literature reviews for acquisitions processing, collection development/management, cataloging and classification, and serials management. At the same time, there are areas of electronic resource management that sit outside of these traditional functioning areas in libraries. This makes performing a literature review on electronic resource management more of a challenge.

From the field of library acquisitions, the issues most readily identified in recent years have been the switch from print processing to electronic resource management and the continued struggle to find management tools that work within the local library context. (12)

## **Collection Development**

“Simply put, collection management is the systemic, efficient and economic stewardship of library resources”. (13) The term Collection Development has been with us since the 1960s, (14) however, it is a constantly evolving area and as the library collection moves from one dominated by print to one dominated by electronic resources, collection development policies may have been patched rather than redesigned to reflect the different emphasis on delivery. In a 2012 study, Mangrum and Pozzebon found that, “Over half of the libraries tried to address ER [Electronic Resources] in some way. However, most policies contain traditional language with a section on library ER inserted into the latter portion of the document.” (15)

In regards to collection development and management trends, the two biggest growth areas are ebook purchasing and purchase-on-demand and/or patron drive acquisition models. There has been an explosion in collection management literature on these two topics over the past three to four years. (16) The need for a single place for best practices or from which a local library creates their own localized best practices is definitely needed, “Bleiler and Livingston stressed that a lack of established policies and procedures for assessment puts a library at risk for financial loss and recommended that libraries create selection policies and standardized methods for assessment, train staff for contract negotiation, and share strategies, policies, and best practices.” (17)

In addition to changes to the format of delivery of library resources, libraries must also contest with the impact of today’s economic environment. Hazen suggests that libraries need to rethink their collection development in the light of these issues and move from collection to collection and content, where content is, “a category that encompasses everything to which a library enjoys ready physical or digital access regardless of ownership status [and] is central to all that we do.” (18)

### **Development of ERMs**

In 2001 Jewell (19) reported on the selection, licensing and support of online materials by research libraries and concluded that several libraries had developed local systems for acquiring, managing, and supporting electronic resources. This was followed in 2004 by the Digital Library Federation’s (DLF) Electronic Resource Management Initiative (ERMI) report to “support the rapid development of such systems by producing a series of interrelated documents to define

needs and to help establish data standards.” (20) The report went on to provide a road map for electronic resource management.

Between 2003 and 2005 the first commercial ERMs came to market, however, by 2006

Adlington, in a white paper to Vanderbilt reported that, “... on the back end, we continue to rely on methods developed when we had 250 rather than 25,000 eresources. Information on our electronic resources is currently kept in paper files (license agreements), Excel spreadsheets (vendor contact information and administrative passwords), staffweb pages (usage statistics), small databases (trial and decision tracking, divisional library resources, technical problem reports), SFX (ejournal holdings), and our ILS (acquisitions and payment data). Few of these systems are connected to each other; in some cases, information is readily accessible only to one or a few individuals, not by intent, but by the limitations of the storage mechanism. Many procedures are not documented and rely on informal channels of communication.” (21)

More recently there have been a number of open source and community ERMs, such as CORAL (22) and CUFTS developed by Simon Fraser University (SFU) and implemented by SFU and University of Prince Edward Island who view this “...technology not necessarily as a way of spending less money, but spending money more wisely.” (23)

Another area of electronic resource management that is growing is the work being performed to develop a suite of standards to support the myriad of access and management knowledge and tools needed to maintain adequate access to electronic resources. (24) “KBART and IOTA are both working to decrease OpenURL link failures that are caused by metadata deficiencies.” (25) In addition, “PIE-J differs from KBART and IOTA because it is not focused on link resolver



errors. Formed by NISO in 2010, PIE-J addresses access barriers that arise from the manner in which electronic journals are presented on provider websites.” (26)

### **ERM Implementation**

There has been a lot of discussion about the implementation of ERM systems in recent years (27), however, use of these systems is still far from ubiquitous and many academic libraries have yet to implement or even purchase a system, “a risk of ERMS implementations, more talked about than written about... ..was that the costs (in added work) to maintain a new system would outweigh the value of the added functionality.”(28) Despite early expectations Collins and Grogg see the current crop of ERM systems as “less like a silver bullet and more that a round of buckshot.” (29)

One of the most time consuming parts of an ERM implementation is analyzing of licenses and inputting them into the relevant fields of an ERM in order for them to be meaningful to librarians and patrons. The University of Northern Colorado (UNC) has developed an in house system to perform license mapping, which “...makes information that is often deeply embedded within a license readily available to library personnel who could use such information in the daily operations of the library. This information is useful to any library that maintains license agreements for electronic resources.” (30)

A panel session at the 2010 NASIG conference concluded that the “ERM system at UC has not solved all their problems, but some improvements have been realized. Budget tracking and staffing continue to be challenges. A final determination of the effectiveness will not be evident until the system becomes a part of the general staff workflow and not considered as something extra.” (31)

## **Workflow management**

Collins and Grogg (32) cited workflow management as number one in librarians top six ERM Priorities. They found that “[o]ver a third of librarians surveyed prioritized workflow or communications management, and they called it one of the biggest deficiencies (and disappointments) of ERMS functionality.” This area has also been highlighted by the National Information Standards Organization (NISO) who have created a working group, ERM Data Standards and Best Practices Review (33), to undertake a gap analysis regarding ERM.

In the UK, the Managing Electronic Resource Issues (MERI) project at the University of Salford (34) aimed “to produce a use case of ERM systems and a preliminary set of requirements for an electronic resource management system, for use by the University of Salford and other HE institutions and system suppliers.” The requirements document from this project went on to inform the SCONUL shared ERM requirements project. An output of these projects was to create a set of workflows to describe the various processes involved in managing electronic resources (35). The University of Huddersfield was one of the 16 UK universities to take part, and like others, had never actually recorded these workflows until asked to do so by the project. All project members found that by recording workflows, they were able to take advantage of efficiencies discovered as part of documenting the process.

One of the objectives of the TERMS blog and wiki was to collect a number of e-resource workflows from a variety of different types of library. Both the University of Huddersfield and Portland State University shared their workflows as part of TERMS. The release of the six TERMS via the blog also encouraged other universities to share their workflows and discuss

efficiencies, indeed, “rethinking e-resources workflows and developing practical tools to streamline and enhance various inelegant processes have become the priorities.” (36)

Since the launch of the first draft of TERMS, the project has now attracted interest in various workflows from different libraries around the world including the Universities of Cork, Duke University, Florida Gulf Coast University and Texas A&M University.

A recent press release by JISC, in the UK, suggested that international collaboration is needed to transform electronic resource management in libraries, “[m]any of the concerns libraries have in the management of electronic resources are the same across the world” (37), and that project such as GoKB and the Knowledge Base+ service in the UK “are exploring community-based solutions”.

It is hoped that the content in each of the six TERMS wiki pages, including shared workflows, will prepare the electronic resources manager to address this international need to map and understand the e-resources cycle in order to provide seamless access to patrons and create efficiencies in the e-resources workflow. (38-43)

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## **Chapter 2. Investigating New Content for purchase/addition**

### **Abstract**

There's a basic framework that should be considered with every new purchase or addition to content that is selected for inclusion into the 21<sup>st</sup> century library. While collection management and development policies do help outline the general aspects for collection purchase, in today's libraries, many of the standard rules applied to print acquisition are no longer sufficient. This is especially true with the advent of patron driven purchasing models for eBooks. The selection of purchasing models in themselves now play a role in how and why specific content is selected for inclusion with any given collection of library material. Before any e-resources are purchased or selected for addition, there are some basic guidelines to consider when making selections decisions for content.

### **Investigating New Content for purchase/addition**

A basic framework should be considered with every new purchase or addition to content that is selected for inclusion into the 21st century library. While collection management and development policies do help outline the general aspects for collection purchase, in today's libraries, many of the standard rules applied to print acquisition are no longer sufficient. This is especially true with the advent of patron driven purchasing models for ebooks. The selection of purchasing models in themselves now play a role in how and why specific content is selected for inclusion with any given collection of library material.

It should be noted that ‘content is king’ and will always play a major part in the final decision as to whether to purchase a new resource. Although usability and intuitive design will help with user satisfaction, vendors with exclusive or unique content often have extremely clunky interfaces, restricted use, e.g. on campus or even building by building, little or no report functionality and usage statistics and often insist on individual usernames and passwords, which all make the electronic resources managers life much harder. However, we cannot restrict what we buy by the interfaces we prefer as librarians. That said, as a community we can still put pressure on vendors to adopt some of the best practice outlined below. This is where the role of official or unofficial user groups can come in to coordinate recommendations for improvements.

Before any e-resources are purchased or selected for addition, a number of basic guidelines should be considered when making selections decisions for content.

### **Know what you want to achieve**

Sometimes identifying what content is to be purchased is easy, e.g.

- New or updated course reading lists
- Requests as a result of specific research funding
- Requests from patron driven acquisitions, e.g. ‘order a copy’

However, other requests are more complicated, especially when it is discovered that there is an electronic equivalent to a print version. This is especially true if your collection policy is to purchase an e-format in preference to print when it is available (1). You may also want to investigate the history of Inter-Library Loan (ILL) requests and associated costs.

In the case of abstracts and indexes (A&Is), full text databases, or non-textual resources, you may need to determine what platforms host the given resource and which works best in your local environment – you may already use and prefer a particular platform, e.g. EBCSOhost, ProQuest, Ovid etc. Lastly, you may become aware of a new product or service on the market and just want to check it out to see if this new resource or service would be a fit for your institution.

It is important to set out the criteria you wish to fulfill and map this to your collection management and development policy. Is the primary use for undergraduate teaching or postgraduate research? Are you purchasing within the existing budget or are additional funds available? How sustainable is this budget? Are multiyear deals a possibility? Remember that electronic resources need at least two years to become embedded. Very often, the first year of usage for a resource can be fairly meaningless as the resource is not yet embedded into teaching and research. Resources usually need a full academic year to do this, e.g. appear on reading lists etc., and only then will your usage statistics start to make sense.

### **Write your specification document**

For a single order, these criteria are usually short and based on local needs such as your collection management and development policy regarding format choice, what platforms are preferred by users and which ones work best in the local environment, e.g.

- Undergraduate/postgraduate bias: some resources cross over, but others are not always appropriate to certain levels

- Intuitive interface: is the resource as easy to use as Google? If not, users might go elsewhere
- Hosting: Many electronic resources are available on more than one platform. The subject coverage of other resources on a given platform will influence any new subscriptions. Subject librarians or faculty will have ‘favourite’ platforms
- Shibboleth authentication, EZProxy access as standard: any resource that relies on individual usernames and passwords for access is creating a barrier to use
- Unrestricted access: resources that restrict access by number of simultaneous users often leads to dramatic drop in usage over a period of time as users become frustrated by turnaway messages. In addition, restrictions by location, e.g. campus use/overseas, also result in potential low usage. Unrestricted access rules!
- COUNTER compliant usage data: you need accurate usage data to show value for money – COUNTER (2) sets the standard
- Ability to use within in a federated or harvested search system: resources that cannot be added to the federated or harvested search are effectively making their resources invisible to today’s user, who expects a ‘just in time’ approach to resource discovery.

Following on from the last point, if the resource is not making the full text available to the various resource discovery systems out there – then why? And does the supplier have a plan to do this in the future?

For larger projects, these criteria become more involved. An example here would be choosing an e-book platform or e-book provider; this would require more expansion about what is desired and what will be provided via the platform selected. Appendix 2.1 shows an example of a supplier platform review document for patron-driven access delivery.

Understanding your institutional needs is essential before you look at the market and talk to suppliers. What do you require the resource to achieve? What are the essential criteria? These criteria should include requirements for interface, content, and administration. The Knowledge Base + (KB+) project (3) in the UK is developing a community based shared service for electronic resource management (ERM). As part of the preparation for this, a small group looked at essentials to check on a license, the crowd sourced results show some essential criteria to check with any new resource:

- Concurrent Users
- Remote access
- Walk-in Access
- Multi-Site Access
- Partner Organisation access
- Alumni Access
- Inter-Library Loan
- Course packs
- VLEs
- Post Cancellation Access
- Notice Period

KB+ plans to use traffic-light icons to indicate Yes, No, or Conditional for a range of key definitions and clauses, this will make it far easier for the e-resources manager to see criteria at a glance (4).

If you are considering the purchase of a full text or A&I database, use the list below in addition to the points above to help set out your specification (5):

- Full text coverage/Full-text linking: is the full text cover to cover and if not does the A&I database link or provide the means through OpenURL linking to access external full text?
- Sustainability: if there is full text, is it sustainable and can savings be made to journal subscriptions. Imperial College London developed a toolkit back in the 1990's to identify just such savings (6) – for more information on sustainability see below
- Cover to cover indexing: many A&I databases list a large number of journal titles in their coverage, further inspection often reveals that this is split between core content (cover to cover indexing); secondary content (where more than 50% of the material is indexed); and tertiary content (where less than 50% of the material is indexed)
- Date coverage: Unless the database specifically covers an archive period, check the ratio of current to ceased titles - you may be surprised
- Geographical Coverage: is it important where the data comes from? Is U.S., European, Far Eastern or other coverage needed?
- Publisher coverage: if an aggregated platform does not have a good spread of publishers, then the resource is little better than searching a publisher's platform, where the functionality could be better.

It is important to expand upon the point about sustainability made above. Sustainability is increasingly important for the collection management and development of e-journals in particular. In the good old days of print we knew what we subscribed to and as long as we kept a print copy, we knew we had access to it! Those days are gone for many libraries, now we

essentially rent access to content, so what happens when we stop the subscription? What if we want to ditch the print? What does post cancellation access really mean? All these questions need to be asked at the time of selection, not at the time of cancellation. Using the Imperial College model for sustainability, there are three rules against which all e-journals can be assessed.

E-journals are classed as sustainable when at least one of the following applies:

- There are perpetual access rights to the content, via the web. Perpetual access rights include access via the publisher's website or via services such as Portico (7), LOCKSS (Lots of Copies Keep Stuff Safe) (8) and CLOCKSS (Controlled LOCKSS) (9)
- The journal is permanently open access for all years or certain years (Hybrid open access journals are not included in this category, for these purposes we are not interested in sustainability at the article level)
- The content is available in a trusted service such as JISC Journal Archive (a community driven archive of nationally procured journal archive collections in the UK) (10), JSTOR (11) etc.

A journal will be considered unsustainable if it fails the above criteria, for example aggregated services such as ProQuest's ABI Plus Text or EBSCO's Business Source Complete do not fulfil any of the sustainability criteria and therefore titles within these resources would be recorded as unsustainable. In order for e-journals to be sustainable for you under the rules above, you need subscriptions to a number of 'insurance' services, such as Portico, LOCKSS, or CLOCKSS, or archival subscriptions such as JSTOR or JISC Journal Archives. This practice is very much a part of electronic resource management – call it a modern day disaster plan. Consideration of subscriptions to these services can also use the TERMS cycle.



## **Get the right team**

In the case of a single e-resource, this may just be as simple as consulting with faculty on whether an e-version will be sufficient, however, even with one off purchases there may still be a review panel which approves all new subscriptions (12).

With larger scale databases and more complex resources, the purchasing decision may require consultation with information technology infrastructure support personnel or even with university purchasing officers if the cost of the resource means that an Invitation to Tender (ITT) or request for purchase is required. In some cases this would be an ad hoc group consisting of:

- The E-resources manager
- The subject/liaison team
- The budget holder
- Faculty

For large scale projects, such as resource discovery systems etc., use the JISC project template (13). For other projects the members of the team will be dependent on what is being selecting, which does not mean that everyone should not be kept in the loop.

You may want to consider running update sessions for your subject or liaison teams to discuss new e-subscriptions. This forum is useful in getting buy in from other subject teams that may otherwise be overlooked, e.g. many resources such as marketing resources are used by more than one faculty, e.g. Business, Art and Design or Engineering (for product development courses). Of course many institutions make these decisions via a standing committee, if this is the case, make sure that the committee is as well informed as you can make them.

## **Desk top review of market/literature and trial set up**

It is not unheard of for academics to request resources that have already been purchased or that are partly available in another subscription. Often academics will request a resource that they are already familiar with. While acknowledging that ‘content is king’, the electronic resource managers has a fiscal responsibility to consider the options before making a purchase. To this extent it is important to check whether the request for new resources can be satisfied by existing subscriptions or whether there are alternatives available. In times of economic austerity we can no longer afford to subscribe to multiple resources that have a large overlap. A desk top review of market/literature may require more investment for larger collections of electronic resource materials or when a particular resource is available on more than one vendor platform. Multiple platforms for the same resource tends to happen more with electronic A&I and aggregated services where the reviews and trialing of various versions may be critical to the selection of any one given resource.

Before talking to suppliers, have a look at what is out there. Use commercial tools to check coverage and duplication of content between resources – both potential and current subscriptions, such as:

- 360 overlap analysis tool (Serials Solutions) (14)
- Spectrum 7 (OCLC) (15)
- Ex-Libris Advanced Collection Tool (Ex Libris) (16)
- EBSCO Overlap Analysis tool (17)

Alternatively, use the free JISC Academic Database Assessment Tool (ADAT) (18) from the UK or the CUFTS Open Source Serials Management System from Canada (19). Simple manipulation of title lists in Excel (title lists are available on most vendor websites) can also pay dividends, especially when looking at duplication of titles across a range of products. The Charleston Advisor (20) is a great resource for finding product reviews and comparison studies of various content platforms.

Once you have done this, use the specification to further narrow the field. Look at trialling your short list. It is very important to get the timing of your trial correct; it can be very frustrating when faculty get in touch on the last day of the trial! Use your faculty contacts to confirm the best time of year, publicise the trial on your blog, wiki or web pages and make sure you get usage statistics for the trial. Put a comments sheet together to solicit feedback. The length of the trial is also very important. Some suppliers still only offer a 1-2 week trial, a few only offer 24 hours! Try to get a trial for as long as possible – 1 month minimum. Some suppliers will negotiate a ‘sponsored trial’ where, for a small admin fee, the trial can be extended for up to 6 months. This allows you to get a real feel for the usage and is particularly useful for larger subscriptions. Use the budget cuts to your advantage, suppliers may be prepared to negotiate the price down.

Make sure that when you disseminate information about the trial that you have feedback mechanisms in place and that you record any comments and feedback you get, and from whom. This will allow you to justify any decisions made and to collate feedback to the suppliers/vendors.

## **Talk to suppliers/vendors**

Talking to providers will follow readily from the desktop review and consideration of trial set-up. Be aware that some resources are available through different suppliers. In addition there may be national or regional consortia agreements in place with preferential prices and licenses. However, some suppliers may have exclusive deals in a given region or territory, meaning that your choice may be limited. Always make sure to let a supplier/vendor know when you are looking at more than one provider for any given resource as this may result in your learning a bit more about the product as they try to prove why their version would be an improvement over any others under consideration. Make sure that you fully understand all of the contracting and/or fees associated with any given resource to avoid surprises at the point of acquisition.

Try to get a good representation of your team when talking to suppliers – preferably the same people present for each meeting and have your specification document to hand to remain focused on task. You may learn things along the way; go back to previous suppliers to verify anything you pick up. This may seem like a lot of preparatory work, but remember some deals can add up to well over \$100K over the course of a 3 year deal for example.

## **Making your choice**

Finally, you need to score the resources/suppliers against your specification document, using any weighting you may wish to give, e.g. based on your priorities – cost, ease of use, coverage etc.

After this review, which may take only a few hours given a single resource or a few months if purchasing a large collection of content, document in your ERM (if you do not have an ERM, a spread sheet will do) any relevant points that went into the purchase decision as needed. These

could be as simple as subscribing to other journals on the same platform and that platform functionality works well or any relevant comparison information you have gathered. If you decided not to take a resource after a trial, document the reasons why – this may help in the future if you are asked to review the resource again or find an alternative supplier.

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## **Chapter 3. Acquire New Content**

### **Abstract**

Acquiring resources once they are selected can again be very straight forward or very complicated depending upon the resource to be purchased. This section will discuss the acquisitions steps which usually occur when acquiring new content and services.

### **Acquire New Content**

Acquiring resources once they are selected can again be very straight forward or very complicated depending upon the resource to be purchased. When setting up a demand driven plan, the criteria for establishing the titles to be offered sets the plan in motion while not selecting specific resources for purchase upfront. The following acquisitions steps usually occur when acquiring new content and services.

### **Comparing specifications**

Once a request to purchase has been made to purchase electronic content or a service which supplies electronic content both the seller and the purchaser need to agree on what is being purchased and how it will be purchased. Using a selection criteria grid, an example of which can be found in Chapter 2, Appendix 1, this template can be sent directly to the seller to verify that you are both in agreement about what is to be purchased. In addition, you may need to profile the criteria to be used for demand-driven plans much like the profile mechanisms used for approval plans. The criteria could be focused on specific publishers to be included/excluded or it could be

focused on specific subject areas. From this point, you must now reach agreement on how the purchase will occur. For instance:

- Does a purchase order need to be submitted in order to obtain an invoice?
- If setting up a demand driven ebook or article plan, will you have a set amount on deposit from which the purchases will occur against?
- Do you need to sign any time type of contract that outlines the purchasing terms?
- Request a license for review
- Will there be any type of annual renewal process and if so, what and when will it be?
- Are there discounts for multi-year deals or deposit accounts, if so, what is suitable, 3 or 5 years and can this be paid up front?
- Is there a library administration portal?

### **Negotiate terms of contract & purchasing**

If a contract is not needed for the electronic resource, the negotiation will occur primarily for the payment terms. There will probably also be a need to create some sort of order for your purchase in your Integrated Library System (ILS) or purchasing management system along with posting the invoice details for payment. If presented with a contract for content, ask if the provider will accept the SERU guidelines (1) for purchasing as the first negotiation point if a regional or national agreement is not in place. If you have to negotiate a contract with the provider for content or service, it is best to have a model record of terms that are acceptable to use as a starting point. Here is a list of the top fourteen usual deal breakers for academic institutions when licensing electronic resources:

1. *Definition of site:* It does not encompass your institution's geographical situation.
2. *Definition of users allowed to utilize the resource to be purchased:* Walk-in users should be allowed to access and use resources purchased by your institution. Visiting scholars should also be able to access and utilize the resource, as well as recognized institutional researchers and affiliated students who may be in joint programs with other institutions. One way to incorporate this type of user is to make sure the license allows for all users affiliated with your institution.
3. *Remote access:* It should be allowed if your users can access your content using a remote authentication tool such as a proxy or VPN (virtual private network).
4. *IP authentication:* Access should be IP authenticated as opposed to username/password authentication due to the inability for any institution to manage username/password control for thousands of full-time equivalent (FTE) users. If purchasing e-books, then DRM (digital rights management) should not preclude any use normally expected via library access, such as copying chapters and printing chapters of content or being able to download content to tablets or multiple computing devices.
5. *Access and connectivity:* You should have the ability to provide access and connectivity to other resources using a third-party link resolver at the article level, chapter level, or dataset level, and not just at the title level.
6. *Indemnification:* Indemnification should be mutual to both parties and not favor one or the other.

7. *Privacy clauses:* If your institution is subject to open-record laws of a greater body, such as a state, province, or nation, you need to avoid restrictive privacy clauses regarding price and details of the agreement.

8. *Usage statistics:* Usage statistics should be made readily available for the resource and should be reported in COUNTER (2) compliant formats, or there should be an intent to provide COUNTER statistics within the first year of the agreement.

9. *Content transfer:* Content transfer should be given within sixty days of transfer, and if significant content is lost, then the purchasing institution should have the right to cancel upon notification. For example, the Model NESLi2 Licence for Journals states:

“The Publisher reserves the right at any time to withdraw from the Licensed Material any item or part of an item:

- for which the Publisher no longer retains the right to publish and for which the Publisher has been unable to secure the provisions as set out in Clauses 8.7 and 8.8;  
or
- for which the Publisher has reasonable grounds to believe it infringes copyright or is defamatory, obscene, unlawful or otherwise objectionable.

In the event of a withdrawal, the Publisher shall give written notice thereof to the Institution. If the withdrawn material represents more than ten per cent (10%) of the Licensed Material, the Publisher shall make a pro rata refund of the Fee to the Institution. The refund will take into account the amount of material withdrawn and the length of the Subscription Period remaining.”

10. *Third-party discovery tools:* You should have the ability to use the resource and resource records with third-party discovery tools and next-generation library catalogs.
11. *Loss-of-funding out clause:* If your institution relies heavily on outside funding, such as from a state or national government, you should incorporate a loss-of-funding out clause. This is explained further below.
12. *Location and guidelines:* The venue should be applicable to your location and in line with your institution's guidelines.
13. *Perpetual access:* You should have the ability to maintain perpetual access to content. : This is a tricky clause in that journal content shifts so readily from one provider to another that perpetual access is sometimes not honored by the purchasing publisher. In regard to e-books, perpetual access is still being worked out by most providers. You may forgo this clause if the demand for content outweighs the desire to maintain access in perpetuity. Ask the provider to participate in an archiving scheme such as LOCKSS (4), CLOCKSS (5), or Portico (6). Ask for the ability for local authors to load articles into your digital repository as a way to at least maintain local content creation. Use the SHERPA/RoMEO site to check publisher copyright policies and self-archiving. (7)
14. *Price cap allowance:* You want to make sure you include the ability to cancel if the price increases above a certain amount. Most libraries cannot readily absorb the standard 5 to 12 percent inflation rate on most subscriptions, so if a price suddenly jumps by 20 to 30 percent, the resource or suite of resources may need to be cancelled. If possible, try to negotiate this purchase term up front, and if signing a contract, make sure to include this provision in the agreement.

You can use these guidelines to measure the license you are given against. If you feel really confident and have full support from your institution, you can give your license model to the provider for acceptance and see if they will agree to the terms you have outlined. In your model license agreement, have terms separated between what must be in the license and what can be acceptable and/or left as-is in a providers license. (8)

When working out payment terms, first settle on the pricing to be paid. Do not be afraid to ask for discounts if you have purchased a number of other resources from the same provider or if you are setting up a significant deposit account. Find out if you can start out purchasing by number of users or if site license is the only purchasing option available. Since uptake does sometimes take up to two years, you may want to start with a lower user-base prior to upgrading to a site license. If there are plans to upgrade in the future, make sure to include pricing increase due to user limit changes in future budget forecasts, as you do not want a nasty surprise when your subscription costs go up a few years down the line if you want to move to unlimited users. If the content or service to be purchased will be used by a niche/small group of people, then see if you can negotiate for the smallest level of users possible or base pricing on the intended user-base from a dedicated department or area within your institution. For example, if you acquire a specialist chemistry resource, you might want it priced for the chemistry faculty only and not for FTEs in the whole institution as nobody else is likely to use it. In addition, make sure you understand where the users can access the resource from, always try to negotiate for unlimited access from on and off campus. Make sure you check that this access covers all campuses and needed access points, as many contracts specify a single 'site'. When looking at the contract details check to see which country's law the contract uses for governing law, e.g. US law, UK law. Always negotiate to get this altered to your own country's law and if needed in North America, to province or state

venue law. Clarify what is part of the contract and what constitutes additional services, e.g. is training free? What about MARC downloads usage information, etc.? Find out if the MARC records or XML metadata about the resource will come directly from the provider or from a third-party supplier and if so on what schedule? Also check to see what the re-use conditions are. Can you import MARC or XML records into shared resource platforms or union catalogs? When negotiating price, compare the resource to other resources you may take from that vendor – if there is a 30% cross over, ask for a 30% discount! Find out when the provider expects the renewal to be processed annually so you can set the appropriate dates in your purchasing system and/or ERM. Check the period of renewal required, many contracts state up to three months' notice is required for cancellation. (9)

### **Check the license**

Usually, the provider will want to provide the 'clean' copy for signature and will state they will incorporate the agreed upon changes and send back to you. Make sure to re-read the entire document to insure the changes have been incorporated correctly and nothing new has changed or been altered. In these volatile budgetary times, be sure to include an 'out-clause.' An out-clause allows your institution the ability to cancel and/or back-out of any agreement prior to any given cancellation terms due to financial hardship. An example would be: "In the case of a significant decline in financial support to (X library) by their main funding source, (X library) reserves the right to cancel significant portions and potentially cancel this subscription with 30 day notification." (10) If you are setting up a deposit account for funding a demand-driven plan,

make sure the date of when the funding should be deposited is explicitly stated and along with the terms of when additional funding is needed to continue the plan.

### **Re-negotiation of licensing terms**

After you have fully checked and reviewed the license agreement, submit your changes and make/break contract provisions back to the provider for further negotiation. This may result in numerous back and forth emails/phone calls before you reach agreement on language that both you and the provider find acceptable.

It is important not to rush into an agreement, or succumb to pressure to get the resource 'out there' as quickly as possible without an adequate license that covers and protects both parties. It is far harder to change/add options after the license has been signed, e.g. including walk-in users, alumni, satellite campuses etc.

### **Signing of the agreement**

One of the first things you should find out when you take an electronic resources position is who has signing authority and who can legally sign-off on agreements for content. The signing authority varies from one institution to another. If you have signing authority, after the agreement terms have been negotiated, then you can sign the agreement. If the signing authority lies elsewhere in your organization, negotiate the terms the library needs first then forward to the signatory body for signature. If the agreement needs to be signed by another party in your organization, set realistic expectations as to when the signed copy will be delivered to the provider. Allow time for the signing authority to review the agreement and to ask any questions they need in order to finalize the signing of the agreement. If your signing authority reviews



contracts from all parts of your institution, allow them the time they need to process everything within their queue.

### **Record administrative metadata**

Once the agreement has been signed and the purchasing terms finalized, record all pertinent aspects of the payment terms, service terms such as MARC/XML metadata provision, and the license terms within your electronic resource management tool and your accounting system as best possible. Include the type of agreement signed whether it was a SERU Guidelines or full-fledged contract. Be sure to set your renewal dates at least 30 days out to allow for cancellation as needed. (11)

In the UK, The Knowledge Base + (KB+) (12) project provides a facility for all nationally negotiated licenses to be available in ONIX-PL format. “ONIX for Publications Licenses (ONIX-PL) is part of a family of XML formats for the communication of licensing terms under the generic name ONIX for Licensing Terms. ONIX-PL is specialized to handle the licenses under which libraries and other institutions use digital resources, particularly but by no means exclusively electronic journals.” (13) KB+ then allows individual institutions to add their own versions of the licenses, e.g. with core content, pricing and other details pertinent to the institution. There is also a facility within KB+ for institutions to scan and add their own licenses for locally negotiated content. This means that institutions can store all licenses at a central point electronically without having an ERM.

## Licence Properties












Property	Status	Notes
Concurrent Access	 No limit <a href="#">✎</a>	<a href="#">Click to edit</a> <a href="#">✎</a>
Remote Access	 Yes <a href="#">✎</a>	Users register their own account <a href="#">✎</a>
Walk In Access	 Yes <a href="#">✎</a>	<a href="#">Click to edit</a> <a href="#">✎</a>
Multi Site Access	 Yes <a href="#">✎</a>	Users register their own account <a href="#">✎</a>
Partners Access	 Yes <a href="#">✎</a>	If designated UoH member of staff or student <a href="#">✎</a>
Alumni Access	 No <a href="#">✎</a>	<a href="#">Click to edit</a> <a href="#">✎</a>
ILL - Inter Library Loans	 Yes <a href="#">✎</a>	<a href="#">Click to edit</a> <a href="#">✎</a>
Include In Coursepacks	 Yes <a href="#">✎</a>	It is permitted to incorporate parts of the licensed material in printed and electronic coursepacks, study packs and resource lists. <a href="#">✎</a>
Include in VLE	 Yes <a href="#">✎</a>	It is permitted to use the licensed material in the course of instruction in a VLE <a href="#">✎</a>
Enterprise Access	 No <a href="#">✎</a>	<a href="#">Click to edit</a> <a href="#">✎</a>
Post Cancellation Access Entitlement	 No <a href="#">✎</a>	Lose all access <a href="#">✎</a>

Figure 3.1: Knowledge Base + resource licence properties (reproduced with kind permission from JISC Collections)

The benefit of reading the data in ONIX-PL format is that KB+ can offer a traffic light system where institutions can easily see certain criteria such as walk-in users etc., mentioned in the previous chapter, this means that the electronic resources manager does not need to keep referring to the licence whenever a question is raised about these areas.

In October 2012 Serials Solutions became the first ERM vendor to map ONIX-PL licence expressions for all JISC Collections (14) licence agreements to 360 Resource Manager (15), thus the licenses can now be used to populate an ERM system. Mark Bide, Executive Director of EDItEUR, is quoted as saying that “with the inclusion of JISC Collections licence data in 360

Resource Manager, we are starting to see the potential of ONIX-PL to improve the availability and quality of licence information throughout the supply chain. As EDItEUR begins a review of ONIX-PL we look forward to working with JISC Collections, academic libraries, publishers and systems vendors to build on this work and improve the usability of ONIX-PL.” (16)

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## **Chapter 4. Implement**

### **Abstract**

Any new e-resource will need to be implemented, while this may be relatively straightforward for smaller resources, larger resources and new services may take a few months to get just right. No matter how big the resource, it will need to be tested and set up in order to embed it into the collection. Training and awareness sessions for staff and users will help, as will a definite launch date that can be used to market the new resources to the intended audience.

### **Implement**

Any new e-resource will need to be implemented, while this may be relatively straightforward for smaller resources, larger resources and new services may take a few months to get just right. No matter how big the resource, it will need to be tested and set up in order to embed it into the collection. Furthermore, implementation may actually take place in multiple stages to incorporate the resource or resources into the various online aspects of the library. Training and awareness sessions for staff and users will help, as will a definite launch date that can be used to market the new resources to the intended audience.

### **Testing**

The first part of the implementation of a resource or service is to test. Just because a trial URL worked well does not mean to say that a full blown service will work without teething troubles. As a rule of thumb, follow these guidelines to fully test a new resource:

- URL – does the URL you have been given work? Did it work on the first day of the contract? If not, then this should be reported and noted for next year’s review (see Chapter 6)
- Has EZproxy/Athens/Shibboleth or other authentication been enabled?
- Does the resources work from on/off campus?
- Has the resource been added to the federated search/web discovery service and A-Z lists?
- Have you added the resources to the appropriate modes of access and have they all been tested?
  - University Portal
  - Virtual learning Environment (VLE), e.g. Blackboard, Desire2Learn
  - Library catalog
  - Web pages
  - Subject wikis/blogs
- Are there records that can be loaded readily into the online catalog or do these need editing?
- Set up/point your link resolver, does the resource link from other resources?
- Set up the admin interface:
  - Add the appropriate contact information and;
  - Add library branding, faculty needs to know that this resource was brought to them by the library!
- Check that the MARC download works and uploads go smoothly, if appropriate
- If MARC editing is needed can this be accomplished with an editing tool?
- Check that the usage statistics work

## **Marketing**

It is essential to have a marketing plan regardless of the resource you are implementing. Smaller resources do not need their own plan, but it is important to have a strategy for marketing your e-resources as part of the whole library collection or service (1, 2). For a major new acquisition or service it will prove useful to have a separate plan. This plan should cover the needs, wants and interests of all potential users, e.g. undergraduates, research, faculty, off campus users etc. who may need to know about the resource. In addition it should consider those groups in the University who need to be aware of the resource, such as library staff and colleagues in research administration (3, 4).

The customer groups detailed above can then be used to define different work packages in the marketing plan as seen in table 4.1. As referred to above, smaller resources do not necessarily need this kind of planning. However, it is useful to make sure their implementation fits into an overall service marketing plan, which identifies the overall objectives of the services and a matrix for communication to users (5). The following sections consider some of the finer points of the marketing plan.



**Marketing Matrix:** Enter actions, responsibilities and timings into the appropriate boxes.

You are encouraged to modify this table to suit your needs.

You are not expected to use all the boxes. If you prefer, list the actions in the Appendix and put their numbers in the matrix.

Marketing channel \ Customer group	Undergrads and taught postgrads, part-time and full-time.	Academics and researchers	Support staff including library staff	Partner Colleges	Potential members of the University (staff and students)	Members of the public, including visitors and professional community	Users with disabilities
Website							
Plasma screens							
Email messages							
Text messaging							
VLE							
Within school/service e.g. posters, roadshow.							
Information skills training							
Student inductions							
Staff induction							
Interaction with Student Union							
Fact sheets							
Press releases							
Student newspaper							
Displays – temporary							

Marketing channel \ Customer group	Undergrads and taught postgrads, part-time and full-time.	Academics and researchers	Support staff including library staff	Partner Colleges	Potential members of the University (staff and students)	Members of the public, including visitors and professional community	Users with disabilities
Displays – permanent							
Notice boards							
Presentations							
University publications (including prospectuses and handbooks)							
Via contacts with public library services							
Internal University conferences							
Via University PR function							
Blog							
University Facebook page							
University Twitter account							
Via University committees							
Via Student Panels/Course Committees							
Staff Bulletin							
Bespoke seminar/workshop							

Table 4.1: Caption: Sample marketing plan matrix (reproduced with kind permission from the Computing and Library Services Publicity and Promotion Group at the University of Huddersfield)

## **Training and documentation**

Many vendors provide excellent training as part of the subscription. Use it! This training is often labelled as free; however, you are paying for it as part of the subscription. Most commonly, vendors will offer webinars, podcasts, conference calls or have a local trainer that can come out to you. Although webinars can be good for individuals and conference calls good to go over admin set up etc. nothing beats a customized training session with a dedicated trainer. It can also be an ideal opportunity to invite other staff along to help publicise the new resource. Often trainers will tailor a session depending on who can attend and will be able to run a general session for faculty followed by a session on the admin interface for staff.

When a new resource or service is purchased, many libraries get to work on their own user documentation, be it simple web pages, wikis, blogs, podcasts or printed user guides. This is an important part of the implementation; even if the resource is intuitive, users will often need guidance. In addition, make sure that if the resource acquired is replacing another resource to update all web guides, subject guides etc. and don't forget to search out the guides you left in the faculty last year! Many libraries make their training documentation and teaching material free to download and adapt. In the UK this is often done through the JORUM service (6) or by assigning a Creative Commons license (7). Other libraries use the LibGuides (8) service from Springshare (9) to do this. This solution is relatively inexpensive and easy to customise.

Before writing any guides, do not forget to check out what the vendor has to offer; many produce generic guides that may be of use. Encourage them to make them copyright free so that you can download them and customise them to your needs

## **Soft Launch**

Although this may not be necessary for smaller resources, a major change may require a soft launch and a period of review. With any major new resource, no matter how bad the old resource may have seemed at the time, there are always users (and staff) with a ‘better the devil you know’ attitude to change. Although the temptation is to get a new resource out there as fast as possible, a short lead in time may create problems in the long run. A soft launch mid-way through the year before a full system replacement in time for the new academic year allows time to get things right. If you are considering a soft launch, do not forget to build it into the marketing plan. Another way to ease a resource or suite of resources into the library environment is through staging the access points and when resources become available through various access points. An example would be to start with MARC record loads to the online catalog and then adding the resource(s) to the library’s web pages either through A-Z listings, database listings, discovery tools or through incorporation into course guides and instruction sites. By slowly building in the various access points, you are gradually introducing the resource to each audience within your online library environment. This works especially well with patron driven acquisition models where you do not necessarily want to expend the majority of your designated budget all at once. This also allows a greater period of time to explore how resources may work with various management tools used for these different aspects of your online library.

For some services, such as the launch of patron driven books, the soft launch maybe the only launch you ever do; in this case a big launch may result in the budget being spent far too quickly and the service may then fail. For resources where you are replacing one vendor's product with another, you may be able to negotiate a period of ‘bedding in’ where you can run the new service

alongside the old one before the contract dates actually starts. This will allow you to migrate users without too much inconvenience and will also give you time to persuade doubters that the new resources is so much better than the old one!

### **Assess Feedback**

Any soft launch should include an amount of user feedback. This may also be useful for smaller resources, between acquisition and launch. Feedback can be assessed in a number of ways; through questionnaires, focus groups or even tracking usage statistics, etc. However, these should be focused and questionnaires brief, ideally no more than 10 questions such as those shown in Appendix 1.

If you do ask for feedback at this stage, it may be useful to compare it to your evaluation later in the year (see Chapter 5). You can also use it to identify possible focus group participants at a later stage as it can be beneficial to use the same group in order to get consistency. You may find that some access points work better than others and this feedback will help you learn which access point is optimal for each given resource. For example, it may be that there is not a need for loading MARC records for aggregated database titles if you have a robust discovery tool. If you are loading records to your online catalog for patron driven acquisition of ebooks, then you may not need to have a platform listed in your database A-Z listing.

### **Launch**

Again, the scale of the launch may depend on the size of the resource. Regardless of this, the timing is still very important. Major changes are often best launched to users at the beginning of an academic year with plenty of notice that the resource is going to be launched at the end of the

previous academic year in order to give your users as much notice as possible. If you are replacing a resource give your users as much time as you can as they may need to remove notes saved in the old resources or update websites and reading lists. Be sure to include guides, tips, and tools on how instructional designers and faculty can best incorporate new resources into courseware and learning management software sites.

Remember a launch, however, small, is more than just switching the resource on! Links on the web pages, VLE etc. need to be in place and any training guides need to be ready. Targeting is also important, some resources require major launches, either faculty wide or university wide, e.g. a major new research database launched at a research festival etc. Others are best put 'out there' with minimal fuss. As long as the right staff and users know.

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## **Chapter 5. Ongoing Evaluation & Access**

### **Abstract**

Many resources take a year before they become embedded into the curriculum or research process and user feedback may not be positive from the onset of provision. The best evaluation of a product or service happens within a three to five year time frame. Track downtime/availability by saving email alerts/ messages from the producer of scheduled downtime/ maintenance and tally these up annually. Keep a file on each resource provider that includes all pertinent correspondence that has occurred along with notifications of routine maintenance, and specific troubleshooting problems that have arisen.

### **Ongoing Evaluation & Access**

Many resources can take at least one academic year before they become embedded into the curriculum or research process. Usage data and user feedback may not be positive from the outset and a resource should not be cancelled after the first year unless there are very good budgetary reasons for doing so. Sometimes there is a significant time lag after purchase of a resource before all potential users have access to it, and that situation also impacts the level of usage during the first year. Given the development cycles of most electronic products and services, the first twelve months after the release of a brand new product tend to be accompanied by significant changes and upgrades to both the product and service. [1] The concept of 'soft launch' or 'soft roll-out' has become predominant even in libraries. [2] The best evaluation of a product or service happens within a three to five year time frame, the arc of usage and user behavior is not fully realized until the third year of activity for any given resource or service.



Evaluation of user behavior and usage data is important in building up a detailed picture of the appropriateness of the resource over time, and is invaluable when it comes time to review the resource in the future. Despite all good faith efforts, activation and establishment of access to electronic resources at any given institution is sometimes overlooked or missed. Part of this stage should be spent double-checking that access is available for all purchased resources and if access to a collection of resources has been purchased, that the collection is still comprised of the same titles and/or make-up of the product initially purchased. Patron-driven e-book packages require more frequent hands-on management than A&I and full-text databases. Patron-driven e-book packages are comprised of more fluid content as titles move in and out of the package depending on the profile established.

### **Types of Evaluation**

There are various ways to evaluate electronic resources and how they are used locally. As electronic resources grow to assume the majority of library collections budgets, determining which evaluation strategy best captures the usage profile at your institution is key to creating a successful evaluation model.

At present, many electronic databases and journals can be evaluated using COUNTER based statistics. (3) However, COUNTER data is just one mechanism for evaluating electronic resources. Journal publishers like to promote and use ISI Impact Factors to exemplify and depict content relevance. (4, 5) Another measure that also provides and depicts citation related data is an Eigenfactor score (6). USKG (7) and COUNTER are working together on the Journal Usage Factor (JUF) project, which is assessing how online journal usage statistics might form the basis

of a new measure of journal impact and quality (8). In addition to article and journal level metrics there are also a growing number of altmetrics and analytic tools. (9)

Lastly, many libraries also choose to develop an aggregation of web page statistics, discovery tool statistics, openURL usage, and ILS usage to add to the use evaluation of any given title or resource. Explanation of this aggregated evaluation approach will be given in more depth in chapter 6, annual review. In order for the evaluation to be most beneficial to your institution, the electronic resources manager must first agree on which data points they would like to use to evaluate their electronic usage and then set consistent methods of collecting and reporting these figures from one year to the next. One way to determine the criteria to be used for evaluation of your electronic resources is the balanced score card approach. The balanced-scorecard approach allows for the use of a variety of factors in evaluating your electronic resource collection. (10)

### **Checking the implementation**

Many electronic resource managers set-up review periods to check access to resources on a schedule. With new purchases, it is best to check the established access points from your institution about a month after purchase to insure that access is working correctly from web pages and the library catalog. Part of this evaluation should include checking the remote authentication process as well as the links. If an institution has purchased an ERM, then a tickler can be established to remind staff to perform this check for access provision. Depending on the resource or package purchased, once it has been determined that access is fully set-up, then a monthly, quarterly, half-year, or annual review of the resource should occur to make sure that the content has remained the same and all of the access points are working correctly.

### **Ask your users**

In addition to gathering data from the sources listed above, it is vital for any library to ask their users what their electronic resource needs are and if they feel that their needs are being met by the electronic resources provided. This type of information gathering can occur in a highly structured way by using an evaluation tool such as LIBQUAL (11), a standard set of survey questions that are distributed each quarter or semester of classes, or in a more informal evaluation of an open-ended comments section on a library's web pages or via tracking mechanisms for access problems/issues faced by end-users.

Make sure that you have a system to record user's comments via email and also anecdotal comments from meetings with faculty and students. This is especially useful in order to establish the underlying feeling of your users to a given resources. You may have an institutional Customer Relationship Management (CRM) system to do this, but more often than not a simple spread sheet will suffice.

Again, the librarians at any given library should come to an agreement on which strategy to use to gather information from users and make sure a consistent process is used at each evaluation period to insure coherent reporting of the feedback.

### **Changes to coverage of resources or platform migration**

For Abstract and Indexes (A&I) and full text databases, a yearly or biannual check is normally sufficient to insure that access is occurring as it should and that the platform still fully supports the functionality of the content given. Databases are bought and sold and do move from one supplier to the next. This is a good way to catch these changes.

Sometimes, an A&I database may be available from more than one provider and may or may not come with a full text component available. Part of this evaluation stage should include looking at the other platforms available to make sure the best use of the resource is being leveraged. It may be that moving an A&I database to another platform results in more direct linking to purchased full text or a more robust controlled language is employed. There are times when an A&I database or full text database has moved from one provider to another and this move has shifted either the focus of the content or the available access of the content. The annual review can catch these more subtle changes and perhaps land a resource on your review list described in Cancellation and Replacement Review (Chapter 7).

Journal titles move fairly regularly between different hosting services as well from one publisher to another. An initiative begun by UKSG to set guidelines for journals moving from one publisher to another has made some headway in getting publishers and providers to announce these changes in advance of the move occurring. This protocol has become known as the Transfer code of practice. (12) However, not all publishers and platform providers follow the Transfer recommended guidelines, which means that spot checking of journal titles by any given publisher is a worthwhile endeavor for an electronic resource management team to perform.

Journal packages coverage can be checked on a biannual or quarterly basis depending on the package purchased to catch any content coverage changes that might have occurred. This can be done in coordination with reports provided by your OpenURL provider that capture coverage/holdings data changes. The most common checking of packaged content usually occurs at the renewal cycle to verify what titles should and should not be part of the package. The major subscription agents have created package support services and package title verification is a good

reason to enlist the use of a subscription agent, especially if you have multiple packages that renew at roughly the same time. By having staff selectively check titles in various journal package, confirming the coverage/holdings can be done in a routine manner. (13)

### **Track downtime/availability**

Downtime can be checked or evaluated in a number of ways. One way is to save email alerts/messages from the vendor of scheduled downtime/maintenance and tally these up annually. If possible, it is wise for electronic resource managers to set-up some form of electronic resource troubleshooting mechanism either through email, electronic resource management tool, or software application. This way you again do an annual accounting of downtimes or significant service interruptions with any given journal package, platform, or provider. It is extremely important for electronic resource managers to report these findings back to the provider, especially at the renewal period. Although rare, it may be possible to request discounts or receive other forms of compensation such as free months of access.

With any purchase of an e-journal collection there is a strong likelihood that journals have moved from one year to the next. However, most journal publishers allow for a two-three month grace period at the beginning of every year before terminating access. Therefore, it is best to establish a routine check of your journal package access in April or May of any given year and not January or February which was routine for print subscriptions.

For patron driven ebook plans, content is normally added and subtracted on a monthly or quarterly basis through the record loads performed in the catalog. It is wise to spot check URLs

when the record loads occur to insure that proxy scripts are running correctly and that access from these records represents the established profile of titles.

E-book packages may also update on a monthly or quarterly basis. Knowing the update schedule, you should coordinate the access check of each of the ebook records in your online catalog with the knowledgebase used by your openURL resolver.

### **Communication with the vendor**

The electronic resource manager should keep a file or dossier on each resource provider that includes all pertinent correspondence that has occurred along with notifications of routine maintenance, and specific troubleshooting problems that have arisen. If there is a place to capture this information in your electronic resource management tool either through a notation system or file upload system, this information can be stored there as well. For example, Knowledge Base + (14) in the UK has developed the facility for the community to add (and share if required) notes and emails regarding correspondence and user feedback together with the licence information so that the electronic resources manager can access this information in one place. With each renewal, an overview of performance and issues that have arisen during a given year should be shared back with the vendor or provider. Specific feedback from your end-users may help with future developments and changes to improve the product or service offered.

Many vendors and electronic resource service providers do have user groups and user group meetings as part of major conferences or as stand-alone events. It is highly recommended that if you are using these services, you join the user group and become involved in committees of interest since this is the best way librarians have to partner with service suppliers to help define

the directions of tool development and provide much needed feedback on the user experience. Of course, not everyone can be on a user group, so talk to your colleagues at other universities and at regional and national consortia meetings to see who is on what. It might be useful to create a list of contacts on user groups and advisory boards in a shared area for all to consult. Often publisher library advisory boards have a one way dialogue where librarians only comment on new products and ideas and do not feedback ideas from the user community. Make sure, that if you are on a group, that you represent your community by consulting with colleagues in regional consortia or at informal meetings so that you can take the concerns of the community along to the publisher/vender.

This information can also be used when negotiating the cost for the next fiscal cycle or can be used as part of the overall review of a product or service for retention.

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## **Chapter 6. Annual review**

### **Abstract**

In times of fiscal constraint it is very important to make sure all resources, whether established or recent acquisitions are providing value for money. Value for money can be calculated in a number of ways, the most obvious being cost per download, other factors should be taken into account, such as: Renewal date, Currency exchange rate, Usage Transferred/added titles, Access queries, Coverage changes, License changes, Cancellation policy, Pricing model and % price increase. Compile a report for your staff; it is not enough to compile a report of raw data, give subject teams a background to the usage of the resource and check indicators in order to allow them to make quick and accurate decisions on what to do next.

### **Annual review**

In times of fiscal constraint it is very important to make sure all resources are providing value for money. Be sure to include archival collections in annual review cycles to calculate how their use is going and what may need promoting to your campus. This goes for all resources, whether established or recent acquisitions. Value for money can be calculated in a number of ways, the most obvious being cost per downloads. Other factors should be taken into account, such as:

- Renewal date
- Usage
- Access queries
- License changes
- Pricing model

- Impact factor changes and review of Eigenfactors and SNIPs
- Overlap analysis with other resources
- % price increase
- Currency exchange rate
- Transferred/added titles
- Coverage changes
- Cancellation policy
- Hassle of business provisions by provider (late invoicing, ongoing platform problems, etc.)
- DRM used
- Short-term loan versus permanent purchase within your demand driven plan
- Unpurchased titles within your demand driven plan

A number of these factors will now be looked at in more depth.

## **Scheduling**

As noted in Chapter 3, it is vital to check the notice period required for any subscription, which may be as much as 3 months for a cancellation notice. If possible, add this date into your ERM or system used for tracking the administrative metadata of resources. You may also discover at the point of renewal that the price increase is greater than expected so it may be worthwhile to review prior to having to consider a resource for cancellation.

An added complication for e-resources, e.g. aggregated resources, is that unlike ‘traditional’ serials, renewals can take place all through the year. If they are not noted in advance, or set up

with a tickler in an ERM, some possible cancellations may be missed or vital resources may cease, which will result in complaints or non-use from users.

If you subscribe to a large number of different e-resources, it may prove easier to review them in batches, e.g. every quarter. It is important to do a review of all resources even the ones that are seemingly widely used and readily adopted by your librarians and patrons just to insure the resource is performing as expected. If your financial year runs from August to July, then group the renewals into the following periods:

- August-October
- November-January
- February-April
- May-July

In order to beat the cancellation clauses, it is best to consider each quarter at least two months in advance, e.g. look at February-May in December.

Around February/March it is also advisable to schedule a planning meeting with each subject/liaison team to discuss all e-resources that they are responsible for. Use this meeting to discuss the previous year's usage and any comments that may have arisen about the resources. This can be of great help in the annual planning process as 'at risk' resources can be identified at this stage and flagged for possible cancellation, greater promotion and marketing, or further review at the time of renewal.

For demand driven plans, you want to do your analysis prior to continuing with the on-going maintenance of the MARC/XML records in your local catalog. It may be decided that some

publishers are not performing well and should be traded out for other publishers and/or some subject areas may not perform as well as others. The decision may be to wait and re-evaluate after a couple years instead of within a single year of usage.

### **Confirm costs and any new terms and conditions**

Many vendors and a few providers will send you a statement of account many months in advance of the renewal date. However, if this has not happened you should contact the vendor/provider at least a month in advance, once you have decided on a schedule for the review of e-resources to request a copy of the current agreement and find out renewal pricing. If you have set-up a review cycle, then this request can come as early as you need to request the information. Reviewing agreements may take some time so make sure you allow enough time to review a new agreement in case there are significant changes from a previously signed agreement.

You may wish to contact the vendor for other pricing options, e.g. to convert up from simultaneous users to a site license or possibly to downsize the subscription. In order to assess the need for a change in the number of concurrent users you should consult your usage statistics and any turn-away statistics reported.

Signing up for a multiyear deal may mean that you do not have to check the costs of the resource, however, some vendors require you to sign a new license each year and you should certainly check that the content has not altered significantly. Check the new license against your existing contract as unwanted changes often do creep in to new agreements.

If there is a significant price jump, try to find out if it is due to an increase in content or additional functionality added to the resource. Check the price increase against the pricing given

in your agreement to make sure the costs are in line with a pre-established pricing structure. This is especially important with a multi-year deal.

For a demand driven program, you may find that a publisher you were expecting to get all content from and have full purchasing power has decided to remove or change some of the content being offered and the platform provider should be completely transparent to libraries about what content is made readily available within your plan. This change in what is being offered may mean you switch publishers used in your demand plan or try to find another platform in which the content is still available to institutional users.

### **Usage statistics**

There is a lot of information about usage statistics (1, 2) and while it should never be the only reason to cancel a resource, it can certainly be very influential in deciding if a resource could be reviewed and flagged for possible cancellation, if more training is necessary or if the number of simultaneous users should be increased/decreased.

Always make sure when negotiating a contract that the vendor can provide COUNTER compliant usage data. A list of COUNTER compliant vendors can be found on the COUNTER website (3) – if the vendor is not listed here then they are not compliant – even if they say they are!

A relatively new feature of COUNTER is the differentiation between current content usage and archival content usage. This is the essential difference between the JR1 report and the JR1a report. It is well worth the time to make separate reports of usage between what is the archival usage and what is the current content usage.

When making the decision about the number of simultaneous users, check if the vendor can give you information on turnaways – the number of users who could not get access to the resource as they exceeded the number of simultaneous users. If turnaways are high, you may also see overall usage drop as users become put off by the lack of access.

Many smaller vendors, or those whose primary focus is on the corporate market are not COUNTER compliant. If they will not agree to go through the process and you are still happy to subscribe, you should ensure that they agree to provide usage statistics – even if this is on request or monthly by email. Vendors who refuse to do this are putting their subscriptions at risk.

Usage reports that record ‘hits’ on a resource can be misleading and do not always reflect real usage. However, if you have both COUNTER data and ‘hits’ you may see some interesting results especially for full text resources, e.g. if hits are high but COUNTER stats are low there may be an issue. From this you could assume that although ‘well used’ the COUNTER report indicates that users did not actually find the material useful, or, that there could be a linking problem and that users were not getting to the full text for downloading. This could then be taken up in negotiations with the vendor, it may be a point to bargain with.

### **Report to stakeholders & reports from stakeholders**

It is not enough to compile a report of raw data on cost, usage and possible licence changes and expect busy staff and patrons to be able to process this information quickly. There are a number of commercial packages that can assist in the compiling of reports, such as 360 COUNTER from Serials Solutions (4), ScholarlyStats from Swets (5) or EBSCONET Usage Consolidation from EBSCO. (6) However, manipulation of the data in MS Excel requires some intermediate

understanding both of how the statistics are being captured and reported from the provider and how to best compile the information to make sense to your subject selectors and information resource management teams.

Consider also performing an overlap analysis with other resources to see if maybe the content is available from multiple resources. Two good overlap analysis and suite of resource evaluation tools is the JISC ADAT, (7) which provides numerous ways to evaluate databases and the CUFTS Open Serials Management system.(8)

An example of a basic report for an abstract and index (A&I) resource would include a graph of usage over time and a snapshot of key performance indicators (see figure 6.1 and 6.2). The idea behind the report is to give subject/liaison teams a background to the usage of the resource and to check key performance indicators in order to allow them to make quick and accurate decisions on what to do next.



**Usage:**

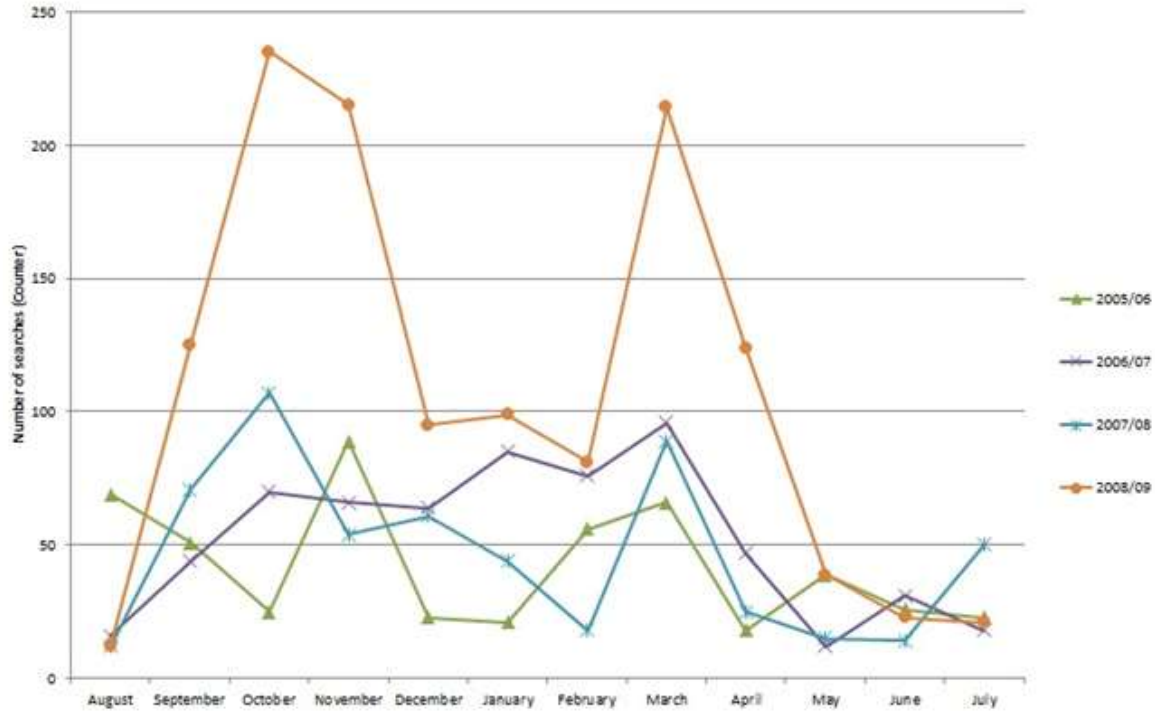


Figure 6.1: Caption Sample usage graph for an A&I resource

**Key Performance Indicators:**

PUBLISHER		A&I Resource			
METRICS		2005/06	2006/07	2007/08	2008/09
Key Performance Indicators~					
Total searches		509	670	937	932
Mean searches (year)		42	56	78	78
Downloads per FTE user		0.03	0.04	0.06	0.06
£ COSTS					
Total package		\$1,425	\$1,500	\$1,525	\$1,575
Cost as % of total e-resources budget		0.58%	0.61%	0.55%	0.53%
Cost per Search		£2.80	£2.24	£1.63	£1.69
Cost per FTE user		£10.53	£10.17	£10.16	£10.16
Other Information					
Total FTEs		15,000	15,250	15,500	16,000
E-resources Budget (total per calendar year)		\$245,000	\$245,000	\$275,000	\$300,000

Figure 6.2: Caption Sample A&I key performance indicators

For other resources, such as ebooks, it may be more important to show a comparison between different aggregators and purchased items. This can often be difficult as although many vendors publish Book Report 1 (BR1) and Book Report 2 (BR2) reports, they rarely make both available, this makes comparison very difficult. In the UK, the annual SCONUL statistics return (9) recommends that the number of title requests (BR1) are multiplied by 5.4, to estimate the number of section requests. (BR2)

Another recent implementation in the UK is the JISC Journal Usage Statistics Portal (JUSP), (10) which “provides a ‘one-stop shop’ for libraries to view, download and analyse their usage reports from NESLi2 publishers” (11). There are now over 100 libraries in the UK benefitting from this resource. A major benefit is that JUSP can combine usage reports from journals that are available on multiple platforms, e.g. publisher and intermediary platforms. This can be a major headache when trying to accurately compile reports by hand, or even through commercially available packages. Another benefit of JUSP is that it can automate the removal of journal archive usage reports from current subscriptions. This makes reporting on journal value for money easier as you only want to count what you are paying for in an individual package and not on the archive, which will have been purchased separately and therefore needs its own separate report on return on investment (see below).

Multimedia reports are just now being incorporated in the latest version of COUNTER. (12) If you have a provider for streaming media and they are currently not using COUNTER, be sure to tell them that with release 4, they too can become COUNTER compliant.

Reporting on return on investment of archive packages and other one off purchases can also be built into the annual review. Although these resources may have been the result of a one off

purchase, they still need to be reviewed annually to check the return on investment in order to see how long it takes for the archive to match the subscription cost per download. To do this you should look at the cumulative statistics since the archive was purchased rather than the annual statistics. You can then use this to work out the cost per article download over a period of time.

Total archive costs as a one off purchase in year 1: \$17,000		
	Usage – article downloads (JR5)	Return on investment = initial investment / Cumulative usage (year 1 + year 2 etc.),e.g. cost per article download
Year 1	1,750	\$9.71
Year 2	2,500	\$4.00
Year 3	4,000	\$2.06

Table 6.1: Return on investment for an archive collection.

Many libraries have created some sort of trouble-shooting mechanism for tracking problems with given providers and resources. Sometimes this is a simple email reporting list, a web page form system, or sometimes it is a sophisticated ticketing system that allows a manager to pull statistics or reports of usage problems quarterly and annual. Whatever mechanism may be used, it is good to capture and report that information in any evaluation of a given resource or product back to the provider and to the stakeholders. Being able to say the consideration for cancellation of a product is occurring because XX number of people were unable to access the content or resource during YY time period goes quite a way to either getting a lower price or making the case for why a resource is not being as heavily used as it once might have been.

## **Make your choice**

Although it is essential to review all resources, it is often a fairly straightforward to renew many resources at a glance. However the usage graph and key performance indicators shown in Figures 6.1 and 6.2 can highlight some resources where further investigation may be needed.

It is always useful to re-assess the market even for 'essential' resources, for example, the resource in Figure 6.1 and 6.2 looks like a simple renewal, but what if a rival vendor had started to host the resource on a platform that proved more popular with the users? Or a consortia deal had been announced during the previous year resulting in potential cost savings? Either example may improve the user experience or reduce expenditure and should be investigated during the review period.

## **Renegotiation/cancellation**

Another key issue for renegotiation is to review the new licence. You will need to check the existing licence against the new one to ensure that no new clauses have been introduced or that the clauses that were changed in the previous licence have not reverted to the original wording.

The introduction of ONIX-PL licenses into Knowledge Base + (KB+) and subsequent compatibility with Serials Solutions 360 Resources Manager (13) discussed in Chapter 3 offers the ability to automatically check licenses in future. The speedy introduction of this feature by all ERM vendors and the adoption of ONIX-PL by publishers and vendors will make a very time consuming part of the renewal process a lot more efficient.

Often, if a decision is made to cancel the resource or to review it for a further year many vendors and providers will be open to negotiation. They may be prepared to drop the price for one year while you try to build usage or narrow the number of users to accommodate less use than anticipated by a site license.

Remember that contract review takes time and be sure to allow time for the negotiation to take place. Some vendors and providers may be open to shifting your renewal period or else extending your agreement for a shorter period of time in order to avoid cancellation to see if usage can be increased. Be creative when talking to a provider or vendor as they will often be more open to trying new things than you first expect.

For instance, if an ebook provider has recently come out with a new platform for their product; see if you can trial the new platform with previously purchased ebook content from that provider.

In addition, there may be other funds available from Faculty or research offices in order to share the costs – negotiation does not just have to be with the vendor! You may need to negotiate funding with departments or other areas on campus. If this is the case you may need to produce the reports detailed above for senior management in the library so that they can open negotiations with faculty – if you have already done them as part of the annual review you will be able to move things along more efficiently!

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## **Chapter 7. Cancellation and Replacement Review Timeframes**

### **Abstract**

With ever-changing program offerings and a shift in usage of resources, some resources will need to be cancelled. Once the decision has been made to cancel and replace a resource, notify the patrons of the change. Begin evaluation of replacement product and do not forget that there may be Open Access alternatives. The next phase is then to start the process all over again...

### **Cancellation and Replacement Review Timeframes**

In the digital environment, electronic content and services provided to access electronic content are constantly evolving and changing. What seems appropriate now is not as relevant two to five years later. This is especially true regarding service provision to access electronic resources. This is an area where the market is still extremely volatile and where new services and tools come to market every three to six months. After reviewing the content collection or the service provider, it may be determined that it is time to cancel access to this content due to low usage, cuts to budgets, or because something else has become more significant and important to your institution. It may be that a provider has made a significant platform change and the new platform does not allow you to provide access to content and functionality as seamlessly as you were able to do so previously. Another change may be that significant content is no longer available through an aggregator supplier.

In addition, the amount of Open Access (OA) content available continues to grow both from national governments and through ever-growing digital repositories. The publication of the Finch Report (1) in the UK and its subsequent support by the UK Research Councils (2) will see a step



change in the way research in the UK is published. A move towards gold OA where authors pay article processing charges (APCs) rather than subscriptions could see up to 6 percent of the world's research (the United Kingdom's contribution to global research) available on open access. Locally, an institution that may have a multi-year deal with a publisher should consider writing in a clause for a cost break if there is the likelihood of their faculty publishing five or more APC articles with that publisher in any given year. Will publishers set-up their subscriptions to drop by 6% as they offset the costs through APC? Will aggregators still be able to justify providing access to this free content in their resources while still be charging for the privilege? These are just a few of the questions and considerations for librarians to consider as gold OA and OA mandates proliferate.

If you are buying resources through a consortium, you may need to consider needs of the consortia as a whole when making your decision to cancel and replace resources, as it may not be possible in any given year to cancel and replace consortium-purchased resources. The consortia may elect to move away from specific resource deals which may make purchasing too expensive for your institution alone. Electronic resource managers should establish a review planning schedule for determining relevance and retention of electronic resource content and services every three to five years to insure purchases are still fulfilling the needs of their home institution. More than likely this review will be scheduled to coincide with the renewal or contract expiration of a given resource. For standard serial subscriptions, the review is often undertaken every year. (3)

## **Consultation with Stakeholders**

Content and services in most libraries are not purchased in a vacuum but often can be retained in one. They are purchased because there was a demand either from faculty and students or from other members of your organization for the services being offered at the time. In some cases, the content or service may be available on more than one platform or through more than one interface. Part of the evaluation in the Chapters 5 and 6 should be to look at how resources are being used and if they are still filling the purposes for which they purchased. After the review of usage and content provision has occurred, share the results of the review with all interested parties for a retention decision. The sharing can be as broad as posting cancellation lists to a library's web pages for faculty and student input or a coordination of cancellation previews through library and campus department liaisons. (4) There may be a small but vocal minority who deem this content or service essential and it is important to understand all uses and arguments for retention occurring of the resource in question. Be sure to include in the evaluation and consultation, your local content editors and the need to maintain resources due to ongoing scholarly input from your institution's scholars.

If it is found that resources to be canceled is edited by local faculty, in order to benefit from the wider view. If there is a 5% cut in overall budgets then something will have to go regardless of what different factions in the faculty say. Liaison with senior management in the faculty can help with these difficulties and puts the onus on the faculty themselves to make difficult decisions. Another avenue may be to negotiate for funding from other areas on campus that have a vested interest in the research production and creation at your institution.

Be sure to include any significant reports or usage issues from your trouble-shooting mechanism to show why use may have dropped off or if there has been a significant shift in the content being offered. For instance, an aggregator database may have re-negotiated terms of access for content and suddenly a library is experiencing an 18 month embargo period instead of a 12 month embargo period to content. This sort of information will be revealed through the trouble-shooting mechanisms in place as opposed to announcements from the content provider.

Share what the post-cancellation rights will be for the content with your stakeholders. Will your library retain the right to access the years previously purchased or not? Will perpetual access be made available through a third party site or be delivered on CD-ROM or hard drive to the library? If so, will there be an opportunity for the library to host the content locally? See if you can identify possible OA replacements for the content being lost and find out if you can retain any local scholarship in your institutional or digital repository.

If the decision is made in the demand driven acquisition plan for resources to change what is available significantly, then the stakeholders should be notified. If the plan is just being tweaked to accommodate for a low performing subject area or publisher, it may not need to be brought to the attention of the stakeholders. However, if a significant number of MARC/XML records are going to disappear or be removed from the OPAC, then it is important to let the stakeholders know the reason for the removal of the access points or perhaps change-over to a new provider. The stakeholders may have valuable input as to why certain resources underperformed in a given year or timeframe such as curricular changes, a major research shift, and/or called boycott of a given publisher. In addition, there may be good reasons for maintaining records for older content

within the catalog for some but not all subject areas and this discussion should happen where all the stakeholders can communicate the needs to retain older content accessibility.

### **Notify the Provider/Vendor**

Once the decision has been to move away from a product or service, inform the vendor as soon as possible. Be honest and explain the evaluations undertaken and explain why the product is no longer meeting the demands of your institution. In the cases of moving a resource to another platform or provider, explain why the move is being made honestly. If the move is based on a much cheaper price quote, share a ballpark figure to allow the original provider the chance to counter offer. This information may result in more reasonable pricing on the original platform, and improvements or development of the product by the original vendor or provider. If the choice is to replace a given product with another one from the same provider, changing out products may result in a discount on what is to be purchased. Again, be very frank in explaining why one product may be more suitable for your library.

If in the end, the cancellation or replacement comes down solely to cost, make sure to let this be known as well. There still tends to be an idea that libraries do have a choice when it comes to what is purchased, but more and more, the decisions being made at a given library are what can be readily let go in order to preserve what is truly core or essential to a given institution. (5) Cost may be the deciding factor, but only for resources where content is not king.

Be sure to share with providers and vendors when subscription products are being paid for using one time funding mechanisms. This indicates to the provider that in the next year they are likely to lose business and the cancellation will come as less of a surprise.

Do not burn any bridges! Many resources have post cancellation access, which means you need to keep up a working relationship with suppliers; this might also incur a platform access fee going forward, so this needs to be budgeted for in future years. Review the license to fully understand what your post-cancellation rights to access may be. In addition, you may re-subscribe to the resources in future years. Content is bought and sold by publishers and vendors, therefore, you may end up back with your original vendor a year or two down the line!

### **Notify Your Patron Base**

Once the decision has been made to cancel and replace a resource, notify the patrons of the impending change to occur. This can be done as simply as adding a notation to the A-Z listing of resources for databases, or by annotating a holdings record in the catalog to indicate the cancellation.

For large scale journal cancellations, it is always best to provide a cancellation list on the library's web pages that alert the faculty and students about forthcoming cancellations. If possible do this at least one to two months in advance of the change occurring. Many electronic resource services allow for publicly displayed notes that can be presented to your patrons. Use this functionality to announce future changes and cancellations. If the cancellation is to be to a large collection or of a substantial nature, you may want to explain the changes via your library's web presence or through newsletters or emails to your patron base if possible.

When notifying your patron base, make sure to offer alternatives where possible and to note any post cancellation access. Give your patrons enough notice in order for them to transfer any notes or saved searches from their personal profiles in the resources that are about to be cancelled. If

possible, indicate alternative resources that may be available more readily on mobile devices and remotely from the library. One way to do this is to record quick instructional videos showing how readily alternative resources can be accessed on mobile devices or from other areas on campus.

With demand driven access, you may need to be able to explain why content from a given year is no longer available or available on a different platform. Always try to focus on the positive aspects of the change in service such as more current content being made accessible or a new platform having more functionality.

### **Notate Your Records**

In your Integrated Library System (ILS), accounting system, or ERM note the decision and mark each item for cancellation for each resource to insure that subsequent invoices are not paid erroneously. Also record the reasons for cancellation to refer to in the future as staff changes often result in the loss of this type of information. If you have been subscribing to the resources through a third party vendor or consortium, make sure the third party vendor/consortium contact is fully informed to all the resources to be cancelled. (6) Have a shared drive space or internal communication mechanism where cancellation spread sheets or databases can be archived and retrieved for informational purposes.

You will need this evidence in future years as journals, in particular, have a nasty habit of sneaking back into the collection around the time of the big deal renewal. In some cases access may also reappear if the title transfers publishers or platforms.

Be sure that your knowledge base management staff are also well aware of the titles being cancelled so they can remove access appropriately or change holdings information as needed. It is a good idea to review the access points for the cancellations made a few months post cancellation in order to insure that patrons are not being directed to content streams which are no longer available.

Sometimes you may cancel a resource several months in advance. If this is the case, remember to set up a reminder in your ERM system or on your calendar to remove access on your knowledge base on the date the subscription runs out. In the case of post cancellation access, you will need to check whether you need to change your holdings information to ensure your users have up to date information and that your link resolver works efficiently.

### **Investigate Open Access Alternatives**

There is a growing field of OA resources, digital humanities web sites, and information on freely available digital scholarship. (7,8) There is also a growing body of hybrid journals where an institution may not have full access to a single journal title or even a journal issue but select articles from a title. The challenge for electronic resource managers is how to best provide access to this content. The first challenge is finding ways to identify the content available from hybrid journals and then how to provide access through knowledge bases.

University Presses are also acting together to provide ready access to OA monographs or where there has been a partnership undertaken with a library to publish works freely. These materials should be selected just as they would be for subscription materials with an evaluation of the content and ready understanding of the functionality of the digital copy. There is also a range of

freely available textbooks and these too should be evaluated for relevance and usefulness to the overall collection.

Use much of the same criteria outlined in TERMS to assess OA content. Just because a resource is free does not make it of scholarly value. Subject these resources to the same rigour you would a possible subscription. In addition, linking can often be a problem. For OA content, this can be a major source of user dissatisfaction so make sure the resources are as seamlessly accessible as possible.

Sometimes, these resources are overlooked and not added to a library collection simply because they are freely available, which diminishes their exposure to potential users and researchers.

Libraries can have and often do have influence on these materials staying readily available when they are cataloged and included for standard preservation through library crowd sourced preservation mechanisms like LOCKSS (9) and CLOCKSS. (10)

### **Begin evaluation of replacement product**

In coordination with subject/liaison librarians and collection management librarians, the electronic resource manager should now return to the beginning of the electronic resources cycle described in Chapter 2 and start all over again, either looking at replacement resources for any cancellations or to re-access any continuing resources described in chapters 5 and 6 on an annual basis (new platforms for existing systems may also need to be implemented (Chapter 4).



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## **Chapter 8. Looking forward**

### **Abstract**

The current version of TERMS as represented through the TERMS wiki outlines some of the best practices with electronic resource management today. However, the resources to be managed continue to evolve and develop into new models of scholarship and new systems for management. This requires workflows to be rewritten and redesigned sometimes as the scholarship models change and the systems used to manage the resources are upgraded.

### **Introduction**

Up to this point, TERMS has outlined and illustrated some of the best practices for the current state of electronic resource provision in libraries. However, there are many developments occurring both with the resources available to libraries and how they will be purchased as well as the systems that will be used to manage these new offerings. This chapter will outline some of the new resources being made available from new ebook models, to the fracturing of known scholarship publishing through the development of hybrid journal publishing, and new resources being developed from the digital humanities arena. In addition, the chapter will also describe some of the changes occurring with management systems such as the development of next generation integrated library catalogs and web scale management tools. As systems develop and change, workflows must also change and be redeveloped to best suit the management systems in place.

## **eBook Management, Article Publishing, and New Forms of Scholarship**

The purchase and access models for ebooks are still in flux. Publishers are premiering both new models for purchase and platforms for access on a regular basis. It can be said the ebooks pricing models are where electronic journal purchasing was a decade ago, which indicates they are all over the map. Some models allow for single title purchase through traditional book vendors, some titles can be purchased singularly on publisher platforms and/or aggregated platforms with other ebooks, others are set in packages from publishers and some are incorporated into publisher database web sites. Along with major ebook platforms such as EBL, ebrary, EBSCOhost, and MyiLibrary, many publishers are creating their own content platforms that intersperse their ebook content with ejournal content. In addition, there's still disagreement on whether books should be made available as PDFs, EPUBS, or HTML5. There is also a growing movement of Open Access (OA) ebooks being developed along with the various for-fee options. Librarians will need to decide whether to purchase ebooks in packages, separately title by title, as part of various content platforms, and through demand-purchasing models.

All of the major scholarly publishers are now offering the ability for scholars and researchers to pay article publishing charges (APCs) upfront through a purchasing model known as hybrid journal publishing or Gold OA. (1) As the mandates for OA publishing grows among institutions of higher education and major research centres, librarians are being asked to find ways to manage both the APCs for articles and find ways to reconcile these payments alongside their traditionally subscription models. Currently, most of the management systems in use by libraries are unable to handle tracking and management of article level purchasing. As this area of scholarship grows and expands with national mandates in effect, both librarians and library tools will need to develop new skills and functionality.

Furthermore, there is a growing body of scholarly literature that is neither considered to be part of scholarly ejournals or single ebooks. Examples of one of the new format of scholarly resources are Palgrave's Pivots. (2) There are various other models being developed out of the growing field of digital humanities and the development of new digital projects coming from university press publishing. (3) Lastly, there are the developments of multimedia resources such as JoVE (The Journal of Visual Experimentation), which have streaming videos incorporated as part of the journal. (4) As the traditional publishing models are fractured and re-created into new formats, librarians will need to have new and different ways of both purchasing and accessing these new content types.

### **Next generation Integrated Library Systems (ILS) and web-scale management systems**

TERMS has sought to understand the workflows and processes we have in place for ERMs and related systems such as ILS. However, there are many criticisms of the current crop of ILS such as:

- the inability of them to deal with the changing formats of resources, as digital resources supersede print collections this leads to complaints by staff that the systems are simply not up to the job
- the confusion created by the different interfaces encountered by the user as they search for information, users familiar with the ease of searching the internet for information are increasingly desiring the same ease when searching the library for information. (5)

In the world of ERM, things have come a long way since the publications of the outcomes of the DLF Electronic Resource Management Initiative, Phase II (6). However, there are criticisms of ERM systems too, as noted in Chapter 1, implementation of ERMs are still relatively few and far between (7, 8), certainly in the UK there are very few examples of successful implementation and interaction with the ILS.

Marshall Breeding describes 2012 as "...a watershed year in the roll out of a new generation of library automation platforms, especially in the academic library arena". (9) It can be argued that many ILS currently in place are hindering the electronic resources manager and limiting improvements in workflow efficiencies, this then leads to duplication of effort, such as rekeying financial information into both the ILS, the ERM (or spread sheets) and the institution's financial system. In the current financial climate where libraries are reducing budgets and staffing, ILS that require a dedicated team with specialist expertise to support them, lack the integration with other key systems, such as student records, finance, etc. and contain fixed workflows often based around print material are monolithic compared with the newer systems that have come to market in recent years.

Open Source ILS replacements, such as Koha and Evergreen, and also Open Source library catalogue replacement layers, such as VuFind, are a reaction to the fact "...that collections have changed considerably over the past 10-20 years yet the workflow/services of the library system have not kept pace to help process/present a modern 'collection'" (10). These systems are based, however, on the systems that they are designed to replace, thus Chad describes the current ILS marketplace as "ripe for disruption" (11).

Work sponsored by the National Library of Sweden and carried out by Marshall Breeding in April 2012 described the current marketplace for the major e-resource knowledge bases and their associated link resolvers. The study looks at the top and second tier of providers, such as Ex Libris, Serials Solutions, EBSCO and OCLC. The research is a good picture of the marketplace in 2012 and in it Breeding mentions the work of JISC Collections' Knowledge Base + and Kuali OLE's GoKB, "The Kuali OLE project and JISC have recently launched a joint project funded by the Andrew W Mellon Foundation to create a Global Open Knowledgebase (GOKb), a community-based knowledge base; however, this is not described as a replacement to commercial knowledge bases though it does seem positioned to serve as an alternative, with similar scope of e-content coverage (and an enhanced data model). It will become the knowledge base for Kuali OLE." (12)

Breeding goes on to report that, "Some libraries have already migrated away from link resolvers and knowledge bases previously in place to achieve better alignment with newly acquired discovery services. We can expect further migrations to take place associated with the implementation of Alma, Intota, WorldShare Management Services and other new-generation library services platforms." (13)

A combination of community knowledge bases (the KB+ model has already had interest from Germany, Japan and China) and new-generation library services platforms, with little of the baggage associated with the old ILS, may be just the disruption that Chad envisages.

Before we can know what we want from a next generation library service we need to understand the problems and frustrations library staff and users feel with the current ILS by recording our existing workflows and this is one of the main outcomes of TERMS. However, almost as soon as we understand the current TERMS and the associated workflows, we need to discard them and identify what we need expect from the new systems, such as Intota and Alma, and where they can improve on the older models.

Understanding new systems, such as Serials Solutions Intota and how it will integrate with community knowledge bases such as KB+ is one of the aims of the HIKE (Huddersfield, Intota, Knowledge Base + Evaluation) project in the UK (14). HIKE, part of the JISC Library Systems Programme, (15) seeks to evaluate suitability of Intota for the UK higher education market place as a replacement for the traditional ILS. The project is currently assessing both e-resources workflow and acquisitions workflows for both print and electronic formats in order to identify and discuss the current issues and frustrations felt by staff dealing with the traditional ILS and its lack of interoperability with other systems and to recognise areas where efficiencies could be made, either through avoiding the duplication of work or through tasks which are time intensive, or areas where accuracy could be improved by highlighting tasks where the risk of error is high.

The role of the electronic resources manager over the coming years is to adapt to these new systems by building upon TERMS including new workflows and ways of purchasing, such as those required for Patron Driven Acquisition (PDA) and the management of APCs for the purchase of single articles by local access via Gold OA.



## **Workflow Versions**

As next generation ILS systems and web scale management tools are adopted, workflow will be adapted to take advantage of the new service provision tools. For Portland State University, we can illustrate two workflow changes that occurred because we were able to develop integration between our ILS ERM system and locally developed web pages that provide public display of resources. In the first version, the two systems were managed completely separate from one another. This meant that staff had to enter information in multiple systems in order for access to be sustained. Any changes that occurred within one system then had to be replicated in another system. With the changes made, scripting was put into place that allowed for the automatic transfer of information from the ILS ERM into the web page management system for the majority of the critical access fields such as title, URL, and platform provider. This automated process now occurs each day and reduces the staff needed to update systems individually. Another advantage is that subject liaisons now have the ability to readily edit and update resources as needed in the public view without the intervention of technical services staff. This means that if there is a service failure outside of standard business hours, the subject liaison can log in and notate the resource record as needed and even suggest alternative resources to be used. Figures 8.1 and 8.2 show how the work has simplified and become more interactive among everyone involved in the information chain. As new systems are created and adopted, the workflows will change and become more efficient, especially in systems where more of the operations are better integrated.

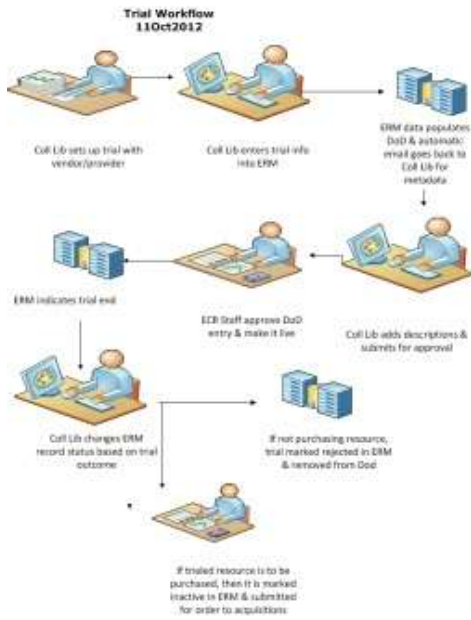


Figure 8.1: Caption: Trial Workflow

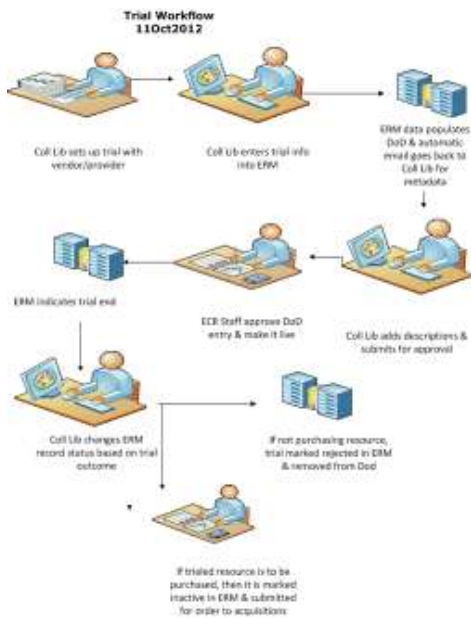


Figure 8.2: Caption: Database of Databases Workflow

## **Conclusion**

In conclusion, the authors have achieved the goals set for the TERMS project. The crowdsourcing of the sections helped to insure that the project remained relevant and worthwhile to the targeted audience. The response to TERMS from Brazil, Europe, India, and North America confirmed that it was still a much-needed endeavor and the authors are extremely proud that this work is already being used as the basis of a course offered to Library and Information Science students in the United States. The TERMS wiki (16) will be in the good hands of the dedicated editorial team that has been established and it is expected that entries will continue to grow and develop as new formats of scholarship evolve and the next generation ILS and web scale management systems become more widely adopted. TERMS is already showing that the content in each of the six TERMS wiki pages, including shared workflows, are being used to prepare the electronic resources manager to address this international need to map and understand the e-resources cycle in order to provide seamless access to patrons and create efficiencies in the e-resources workflow.

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## Chapter 2 Appendix 1

### Patron Driven Acquisition – supplier platform review

Product:

Company:

#### 1. User Experience

Ref no.	Requirement	Notes	Total	Score
1.1	Number of clicks from the Library Catalogue to reach full text			/10
1.2	How can the PDF be accessed? E.g. download, save copy and paste, print. What are the copyright vs. DRM restrictions?			/10
1.3	To what extent is the look and feel of the interface user friendly?			/10
1.4	How intuitive are the screens to navigate? E.g. between sections/chapters			/10
1.5	Ability to search in text			/10
1.6	Does the system enable the user to search at appropriate levels for their needs			/ 10
1.7	Is the platform interoperable with bibliographic software? Test against Endnote, RefWorks, Zotero, CiteULike			/10

1.8	Usability on mobile devices?		/10
		<b>Total as a percentage</b>	

## 2. Pricing model

Ref no.	Requirement	Notes	Total	Score
2.1	What are the licensing conditions and do they restrict potential access? E.g. simultaneous users, credits etc.			/ 10
2.2	Is there a minimum spend?			/ 10
2.3	What is the average cost per title by subject?			/10
2.4	How are the costs calculated? E.g. cost of catalogue record, are there any discounts?			/10
2.5	Estimate of staff costs			/10
		<b>Total as a percentage</b>		



### 3. Content

<b>Ref no.</b>	<b>Requirement</b>	<b>Notes</b>	<b>Total</b>	<b>Score</b>
3.1	How do the products compare on overall content of chosen subjects?			/ 10
3.2	What is the distribution of date of publication			/ 10
3.3	Are the most up to date editions available?			/ 10
3.4	What is the overlap with existing subscriptions? E.g. Ebrary, Safari, Books24X7			/ 10
		<b>Total as a percentage</b>		

#### 4. Administration

Ref no.	Requirement	Notes	Total	Score
4.1	How much set up time is required?			/ 10
4.2	How much flexibility is there in editing the profiles once set up? E.g. current ed. Only, ability to cap price, restrict by year, limits to subject, publisher or series			/10
4.3	How are additional titles/ deletions/ duplicates handled?			/10
4.4	How are invoices handled and monitored?			/10
4.5	What methods are in place to check access? How easy is this to do in house?			/10
		<b>Total as a percentage</b>		

## 5. Management information

Ref no.	Requirement	Notes		Yes/No
5.1	What is the process of notifying floors of purchases			/10
5.2	How is the fund accounting information administered? E.g. frequency of reports etc.			/10
5.3	Provision of usage statistics			/10
5.4	Service and support			/10
		<b>Total as a percentage</b>		

**Chapter 4 Appendix 1 Sample User Survey**

We are interested in your thoughts on our NEW library service

*Ease of use*

1. How easy was the resource to use to use?

	<i>Ease of Use</i>							<i>Comment?</i>
	<i>Very easy</i>	<i>Easy</i>	<i>Quite easy</i>	<i>Quite difficult</i>	<i>Difficult</i>	<i>Very difficult</i>	<i>Not Applicable/Did not use</i>	
<i>a. How easy are the screens to understand?</i>								
<i>b. Were the icons clear?</i>								

2. Did you feel you needed help to use the resource?

Comments (Optional)

*Refining your search*

3. Did you refine your search

Yes No

If you answered YES please explain how you refined your search...

*Your results*

These questions are about the results you received from your search

4. Was the layout of the results clear?

Yes No

Comments (Optional)

5. Were the results relevant to your research topic?

Yes No

Comments (Optional)

6. Did you find what you were looking for?

Yes No

Comments (Optional)



*Advanced Search*

7. Did you use Advanced search?

Yes No

a. If you used Advanced search: Was it easy to use?

Yes No

Comments (Optional)

b. Did it offer enough advanced features

Yes No

If you answered NO - What other features would you like to see? (Optional)

8. What did you like BEST about the resource?

9. What did you like LEAST about the resource?

*Further research*

If you are willing to be contacted for further research please enter your email address