

ELECTRONIC RESOURCE ACQUISITION PILOT STUDY FINAL REPORT

Emma Shepheard-Walwyn
Collection Services
19 November, 2007

Executive Summary

In light of the increasing numbers of e-resources targeted at academic libraries and the increase in the e-resource budget for 2007, a pilot study was held to investigate the integration of e-resource acquisition into current print acquisition processes. To this end, the Electronic Resource Acquisition Team was established for the period May – December 2007.

The team was trained in the complexities of e-resource acquisition and management, achieving a 12% increase in e-resource acquisition from 2006 (as at September 2007). In addition, several sub-projects were also undertaken by the team throughout the project period: Browse by Subject Project, Info Page Clean Up Project, Ledger Clean Up Project, Updates Page Project and the ERMS Project.

As a result of the work completed by the team throughout the ERAT project, documentation and strategies were created and developed to enable the continued effective acquisition and management of e-resources.

It is recommended that the acquisition and management of e-resources be integrated into current acquisition and record management process in Collection Services. We recommend that an introductory presentation be held for Collection Services in early February 2008, with training to follow in late February. Several checklists and flowcharts have been developed, as well as a proposed training schedule to assist the integration process.

It is also recommended that the ECL, CM, AC and Cataloguing maintain a close working relationship to ensure a work balance across Collection Services, especially as new projects arise.

We further recommend that in the duplication of print and e-resources, that the print resources be considered for deselection or transferral to the Stack Room.

We acknowledge that integration of e-resource acquisition and management into current acquisition and record management processes will have a considerable impact on workflows and processes (especially in the interim), as well as requiring staff to work at a higher level of understanding and interpretation.

I would like to acknowledge the assistance of Brenda Norton, Gael Lamont, Georgie Wildman, Kirsten Francis, Marilyn Edwards and Melanie Mills in the preparation of this report.

Table of Contents

	<i>page</i>
Executive Summary	2
Table of Contents	3
1. Pilot Parameters	4
1.1 Purpose of Pilot	4
1.2 Expected Outcomes	4
2. The Electronic Resource Acquisition Team	5
2.1 Establishing the Team	5
2.2 Areas of Responsibility	5
2.3 Regular Activities	5
2.4 Additional Projects	5
2.4.1 Browse By Subject Project	6
2.4.2 Info Page Clean Up Project	6
2.4.3 Ledger Clean Up Project	6
2.4.4 Updates Page Project	7
2.4.5 ERMS Project	7
2.5 Pilot Achievements	7
2.6 Pilot Impacts	8
3. Integrating Processes	9
3.1 Issues of Implementation	9
3.2 Recommendations	9
3.3 Workflows	10
3.4 Training Schedule	11
4. Appendixes	12
4.1 E-Resource Acquisition Checklist	12
4.2 E-Journal (Single Title) Acquisition Checklist	13
4.3 E-Resource Acquisition Flowchart	14
4.4 E-Journal (Single Title) Acquisition Flowchart	15
4.5 E-Book Acquisition Flowchart	16
4.6 E-Resource Renewal Flowchart	17
4.7 Definitions	18

1. Pilot Parameters

1.1 Purpose of pilot

The purpose of the pilot is to integrate the workflows for the acquisition of e-resources into current print and other media acquisition processes. Throughout this process, pilot team members will be expected to participate in the handling, administration and management of e-resources and identify issues that may arise prior- and post- integration into current practices.

Pilot team members will be given additional training to enable them to become familiar with the various aspects of e-resources with a view to releasing the Librarian (Electronic Collections) from operational activities and mentoring further Collection Services staff as post-integration.

1.2 Expected outcomes

At the end of the pilot period it is expected that the team will:

- develop the necessary experience and skills to be able to operate independently and confidently in the acquisition and maintenance of e-resources
- develop a level of expertise and understanding of the e-publishing environment (content, functionality, delivery) as it applied to academic libraries
- understand the role of consortia in e-acquisition
- develop and understanding of the specific aspects of e-resources, in particular licences and agreements, technical issues (web, local server, proxy, browser), the delivery and availability of MARC records, and SerialSolutions activation and functionality.
- develop effective team-building and communication skills
- establish guidelines for the successful integration of e-resource acquisition and maintenance into current acquisitions processes
- establish guidelines for the financial accountability and management of e-resource acquisition, renewal and cancellation.

2. The Electronic Resource Acquisition Team

2.1 Establishing the team

The Electronic Resources Acquisition Team [ERAT] was established in May 2007 consisting of Brenda Norton, Emma Shepheard-Walwyn, Gael Lamont, Kirsten Francis, Marilyn Edwards and Melanie Mills. Georgie Wildman joined the ERAT group in July 2007, with Donna Pang in September and Chris Farley in October. The project is to run until 21 December 2007.

2.2 Areas of responsibility

Brenda Norton – information gathering and acquisition process, trials, info pages, Ledger Clean Up Project, renewals

Chris Farley – Browse By Subject Project

Donna Pang – Browse By Subject Project

Emma Shepheard-Walwyn – information gathering and acquisition process, trials, info pages, selection and evaluation of new products, consolidating product feedback

Gael Lamont – oversight and project direction, enabling ERAT group to operate separately from the Acquisitions Team, managing the additional work for the Acquisition Team as a result of the project

Georgie Wildman – trials, Browse By Subject Project, Updates Page Project, renewals

Kirsten Francis – ERMS project, information gathering and acquisition process, trials, info pages, EzProxy, E-book acquisition, bulk import of MARC records

Marilyn Edwards – info pages, MARC record creation, Browse By Subject Project, Info Page Clean Up Project

Melanie Mills – oversight and project direction, Browse By Subject Project, Updates Page Project, Ledger Clean Up Project, Info Page Clean Up Project, organising initial documentation and training, selection and evaluation of new products, consolidating product feedback

2.3 Regular activities

In day-to-day activities, the team will handle selection, information-finding for acquisition, processing of licences, cataloguing, creation and editing of web pages and informational material, financial and Library system recordkeeping, management of invoice payments, relationship management (vendors, other library staff, academics), trials, basic technical set-up including EzProxy, team building including on-training and keeping each other informed of issues, and general administration.

2.4 Additional projects

Four additional projects were undertaken during the pilot period with the aim of tidying previous acquisitions, and providing a firm foundation for the rest of Collection Services once integration takes place.

2.4.1 Browse by subject project

The purpose of this project was to develop subject browse options for patrons as an additional access point to the increasing number of electronic resources available in the Library. This project was intended to complement the subject pages already maintained by the Subject Liaisons.

Activities: Creation of Browse by Subject Index Page and individual Subject Pages. Retrospective maintenance of catalogue records to assign appropriate subjects, plus adding to index and subject pages.

Achievements:

- Creation of Browse by Subject Index and Subject pages.
- Creation of a sub-process to be included in normal e-resource acquisition processes.

2.4.2 Info page clean up project

The purpose of this project was to ensure that all current info pages included the appropriate information and had an appropriate catalogue record.

Activities: Retrospectively checking all info pages to ensure catalogue records were available and creating records when required. Creating catalogue records and info pages for database packages.

Achievements:

- Ensuring that all current database (individual and packages) have info pages have catalogue records

2.4.3 Ledger clean up project

The purpose of this project was to establish clear, consistent guidelines for the continuing financial recording of e-resource acquisitions.

Activities: Establishing the financial information required for the effective management of e-resources. Adjustment of existing financial records to ensure that they meet the new guidelines.

Achievements:

- Guidelines established for recording the relevant financial information when ordering, receiving, cancelling and renewing e-resources.
- Creation of five new ledgers (both CAPEX and OPEX) to accurately reflect budget expenditures and enable clear financial tracking and reporting
- A retrospective clean-up of existing financial records.
- Establishment of regular financial reports for the e-resource ledgers

2.4.4 Updates page project

The purpose of this project was to revitalise the current updates page and to ensure that new content, changes and new platform information is updated on a timely basis.

Activities: Working with the ECL to ensure the updates page contained only current information. Receiving direction from the ECL and adding further updates as required.

Achievements:

- Revitalising a neglected info page by ensuring current information is available for users.

2.4.5 ERMS project

This was an existing project undertaken by Kirsten Francis, Sam Rodgers, Lucy Lang and Christine Quill that had an impact on the ERAT project. This project was an essential pre-cursor to the ERAT project.

Activities: Adding retrospective licence information to SerialSolutions. Creating a link from info pages to licence information where appropriate.

Achievements:

- All licence information has been added to SerialSolutions.
- Ensuring that all appropriate licence information is available to users.

2.5 Pilot achievements

- A significant increase in e-resource acquisition (from 33% in 2006 to 45% of all acquisitions as at September 2007)
- Increased understanding of e-resources, web skills, licence analysing, and support tools for team members
- Increased understanding of the Acquisitions and Cataloguing modules for the ECL.
- Creation and development of guidelines and procedures with improved recordkeeping and reports processes
- Creation of a supportive learning environment with increased mentoring and team-building skills
- Creation of five new ledgers to accurately reflect budget expenditures and enable clear financial tracking and reporting
- Successful completion of the Browse By Subject, Info Page Clean Up, Ledger Clean Up and Updates Page projects.
- Successful completion of the pilot in a live working environment.

2.6 Pilot impacts

- Complexity of processes, print and e-resources are dissimilar with different demands.
- Increased deadlines with additional internal and external dependencies
- Necessity of assimilating a large amount of unfamiliar information and training in a short space of time.
- Additional demands on the ERAT group with training, and other routine tasks unable to be completed due to time pressures.
- Additional pressure on the Acquisitions Team to cope with the loss of two FTE (plus) during the pilot.

3. Integrating Processes

3.1 Issues of implementation

- Creating a team that is skilled and confident in the acquisition and management of e-resources
- Ensuring institutional knowledge is maintained in a dynamic and constantly changing environment, while accounting for staff turnover.
- Complexity of work requires staff to work at a higher level of understanding and interpretation. This reflects the higher financial risks and impacts involved if problems arise.
- Recruiting staff at an appropriate level of expertise (Assistant Librarian level) to ensure staff retention.
- The impact of cancelling print and individual e-subscriptions on workloads.
- Adjusting workflows and processes to manage an increasing e-resource budget with a large print budget.
- Managing the increasing amount of online material aimed at academic libraries.
- The varying degrees of involvement and training of some members in the ERAT project will impact on their ability to mentor and train other members of Collection Services.

3.2 Recommendations

- An introductory presentation to be held for Collection Services in early February 2008 to ensure all members have an understanding of the process. The presentation will include demonstration sessions of SerialSolutions, licences, web pages, Blackwell's e-books and the role of consortia.
- Wider training to commence in late February 2008 as detailed in section 3.4.
- A closer working relationship between the AC, ECL, CM and the Cataloguing Team (as necessary) to ensure a work balance across Collection Services, especially as new projects arise.
- Although all Collection Services members will be involved in e-resource acquisition and management to some degree, it is recognised that some individuals may develop detailed knowledge (such as the AL(ER) and pilot team members). This is desirable for some of the more detailed processes such as EzProxy and MARC record downloads.
- All e-resource recommendations from the ECL and CM should be given to the AC for distribution amongst the Acquisitions Team.
- The following tasks should be viewed as rotation tasks to be undertaken by the Acquisitions Team:
 - Updates, maintenance (editing, updating contact details, info pages, SerialSolutions, etc).
 - Trials (all tasks involved)
 - Subscription cancellations (note that the renewal process will be an annual task, but that cancellations may occur throughout the year).

- All duplication of print and electronic resources in book and journal format to be referred to Collection Management for possible deselection:
 - It is recommended that print books may be considered for deselection when an e-book is acquired on a case by case basis, as at the stage of the final report.
 - It is recommended that print journals be considered for deselection when an e-journal is purchased as long as we have perpetual access and the appropriate backfiles.
 - Items may be transferred to Stack in lieu of deselection.
- Due to the complex nature of e-resource acquisition, detailed instructions must be completed before integration occurs (refer to section 3.3).
- We recommend that there be regular meetings for all involved in e-resource acquisition and maintenance as a forum for discussion.

3.3 Workflows






Two checklists were developed during the pilot to ensure that all necessary steps were completed for the successful acquisition of an e-resource:

- *E-Resource Acquisition Checklist* – (see appendix 4.1) this checklist gives detailed steps for the acquisition of an e-resource.
- *E-Journal Acquisition Checklist* – (see appendix 4.2) this checklist gives detailed steps for the acquisition of an e-journal.

From these two checklists, four workflow charts have been developed to give an overall view on the complex processes involved in e-resource acquisition and management:

- *E-Resource Acquisition Flowchart* – (see appendix 4.3) this flowchart illustrates the acquisition process for databases, e-journal collections and backfiles.
- *E-Journal Acquisition Flowchart* – (see appendix 4.4) this flowchart illustrates the acquisition process for individual e-journals.
- *E-Book Acquisition Flowchart* – (see appendix 4.5) this flowchart illustrates the acquisition process for e-book collections and individual titles.
- *E-Resource Renewal Flowchart* – (see appendix 4.6) this flowchart illustrates the renewal and cancellation processes for all e-resources.

The following colour codes have been used to distinguish the processes undertaken by different members or groups in Collection Services:

-  ECL
-  Acquisitions
-  Cataloguers
-  AL(ER)
-  Collection Management

These documents will form the basis of the detailed instructions to be completed by Georgie Wildman to enable integration training to commence in early 2008. Finalised instructions (after trialling) will be completed before integration.

3.4 Training schedule

It is recommended that the training schedule take place in four consecutive steps to ensure that Acquisitions Team members build a clear understanding of the complex process of e-resource acquisition and a firm foundation for the future:

Step 1 - training will involve the ordering processes – information gathering, understanding the licence, and finding information in SerialSolutions.

Step 2 – training will involve in depth instruction in SerialSolutions – adding the licence information and updating all other modules.

Step 3 – training will involve the receiving process – EzProxy (including special access), importing MARC records, solving access problems.

Step 4 – training will involve all aspects of Dreamweaver – trials, web pages, updates page. As Dreamweaver and other training is required to update or create trial and info pages, this step has been placed last to enable staff to attend external courses outside the control of Collection Services.

Step 5 – as new circumstances arise, additional processes will need to be developed.

This schedule may be impacted upon by staff availability.

4. Appendixes

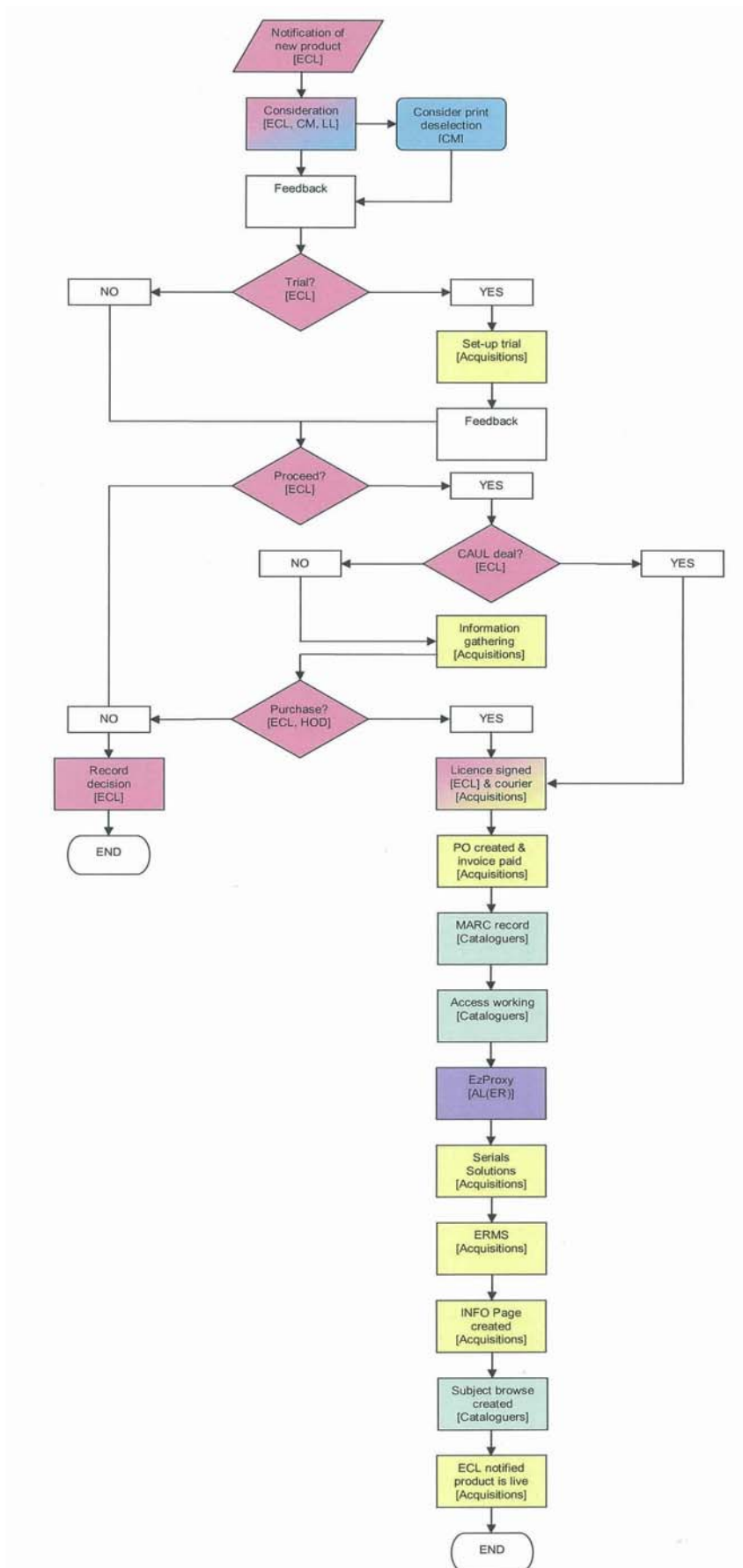
4.1 E-Resource Acquisitions Checklist

E-RESOURCE PURCHASE CHECK-LIST		Date started:	
Name of product:		PO:	
Requested by:			
Supplier of product:			
TASKS	Completed (initial)	TASKS	Completed (initial)
Update spreadsheet:		Vendor e-mailed (tick when completed): PO number sent to vendor: <input type="radio"/>	
Licence attached: (With user and archival access information flagged, licence can then be used to sign later)		Invoice requested: <input type="radio"/>	
		MARC records requested: <input type="radio"/>	
		VUW IP addresses supplied: <input type="radio"/>	
		VUW linking resolver server address and image file supplied: <input type="radio"/>	
Price model details: (Attach information for an institutional licence – including subscription, one-time payment, annual fees, unlimited or concurrent usage, network charge, etc)		Invoice sent for payment (write PO no. on invoice & add invoice details to PO header notes):	
		MARC records: (Downloaded and amended if required by Cataloguers)	
Method of delivery (tick one): ONLINE: <input type="radio"/> NETWORKED: <input type="radio"/> SGL USER: <input type="radio"/>		Access tested and working correctly: Access working <input type="radio"/> URL forwarded to AL(ER) for EzProxy <input type="radio"/>	
MARC records available (tick one): YES: <input type="radio"/> NO: <input type="radio"/>		EzProxy updated by AL(ER) (initial when completed):	
Approved by ECL (tick one): YES: <input type="radio"/> NO: <input type="radio"/>		Serials Solutions updated: (renewal information, contact information, marc records, licence, item activated)	
Fund details (tick one): OPEX: <input type="radio"/> CAPEX: <input type="radio"/>		ERMS processing (initial when completed):	
Licence signed by ECL (initial when completed):		INFO page created: (Includes updating Alpha page)	
Signed licence sent to vendor: (Completed signed original to be filed in ECL's licence cabinet)		Subject browse page created: (Includes updating MARC record)	
Purchase order created: (include all payment & requestor info in notes)		ECL notified that item is live and all above steps have been completed:	
Notes:			

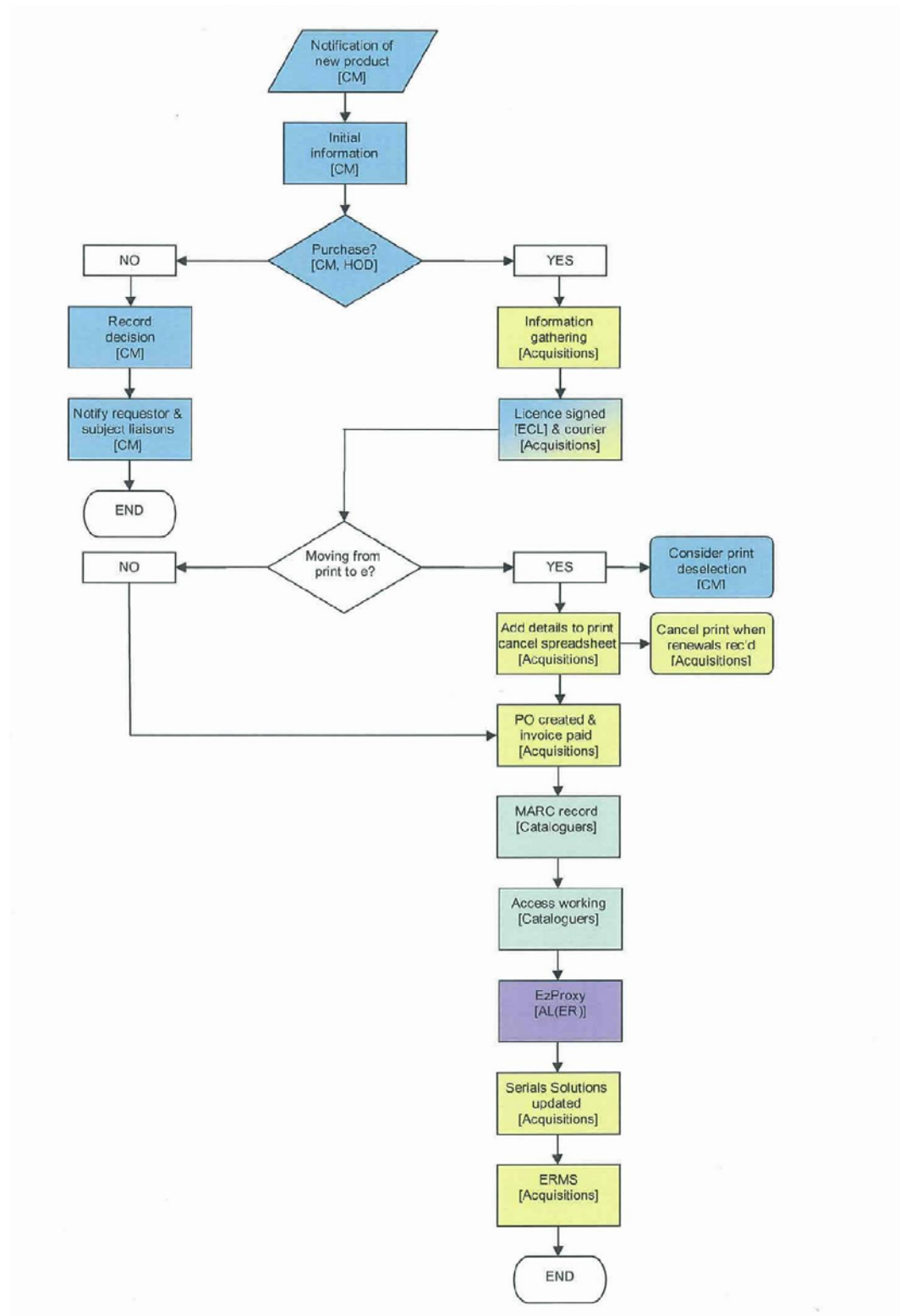
4.2 E-Journal (Single Title) Resource Acquisitions Checklist

E-JOURNAL (Single Title) PURCHASE CHECK-LIST		Date started:	
Name of product:		PO:	
Requested by:			
Supplier of product:			
TASKS	Completed (initial)	TASKS	Completed (initial)
Licence attached: <i>(With user and archival access information flagged, licence can then be used to sign later)</i>		Purchase order created: <i>(include all payment & requestor info in notes)</i>	
Price model details: <i>(Attach information for an institutional licence – including subscription, one-time payment, annual fees, unlimited or concurrent usage, network charge, etc)</i>		Vendor e-mailed (tick when completed): PO number sent to vendor: <input type="radio"/> Invoice requested: <input type="radio"/> MARC records requested: <input type="radio"/> VUW IP addresses supplied: <input type="radio"/> VUW linking resolver server address and image file supplied: <input type="radio"/>	
Method of delivery (tick one): ONLINE: <input type="radio"/> NETWORKED: <input type="radio"/> SGL USER: <input type="radio"/>		Invoice sent for payment (write PO number on invoice):	
Approved by CM/ECL (tick one): YES: <input type="radio"/> NO: <input type="radio"/>		Access tested and working correctly: Access working <input type="radio"/> URL forwarded to AL(ER) for EzProxy <input type="radio"/>	
Fund details (tick one): OPEX: <input type="radio"/> CAPEX: <input type="radio"/>		EzProxy updated by AL(ER) (initial when completed):	
Licence signed by ECL (if applicable) <i>(ECL to initial when completed):</i>		Serials Solutions updated: <i>(renewal information, contact information, marc records, licence, item activated)</i> <i>(If MARC record is unavailable from Serial Solutions, forward to the Cataloguers)</i>	
Signed licence sent to vendor: <i>(Completed signed original to be filed in ECL's licence cabinet)</i>		ERMS processing (initial when completed):	
Notes:			

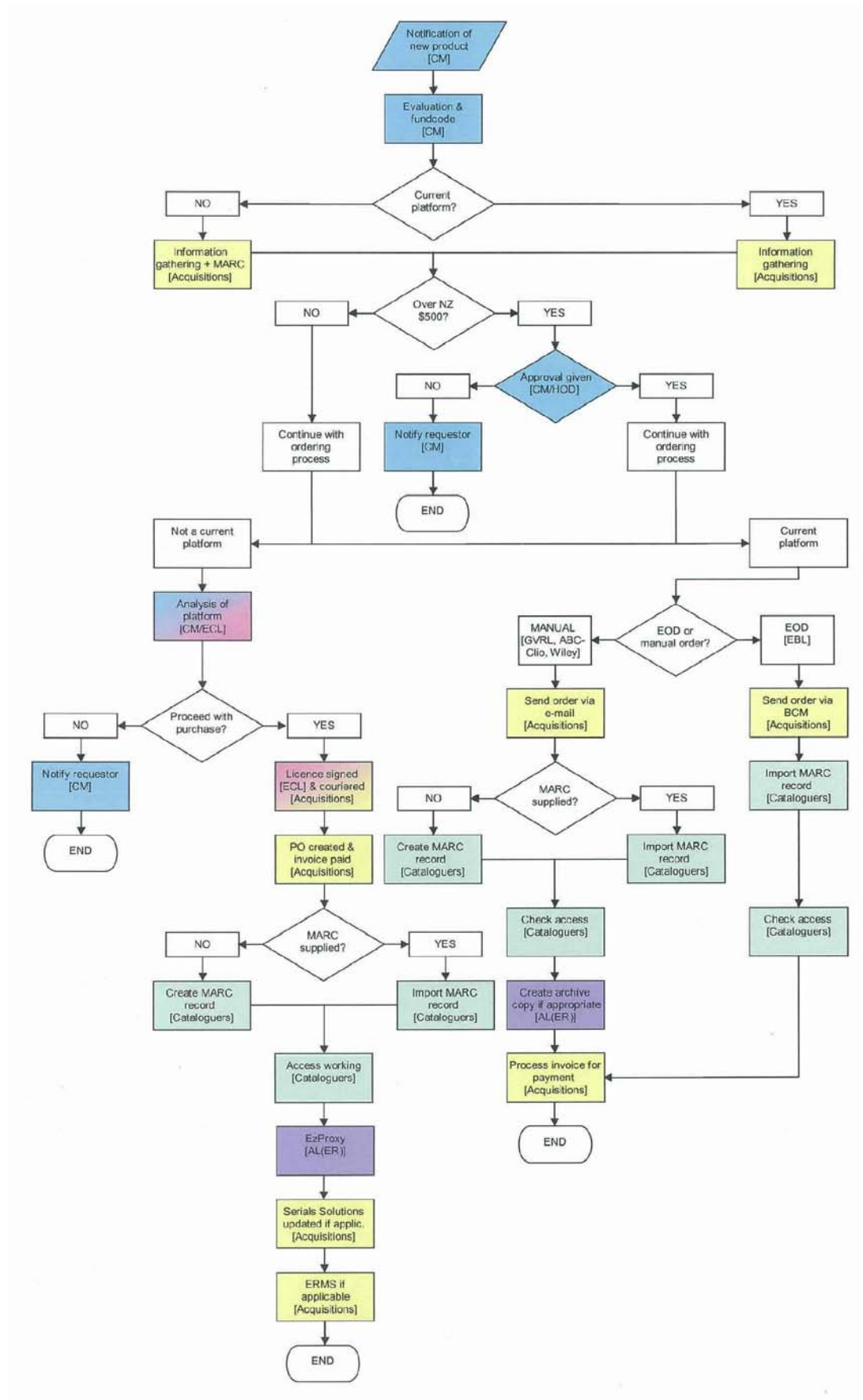
4.3 E-Resource Acquisitions Flowchart



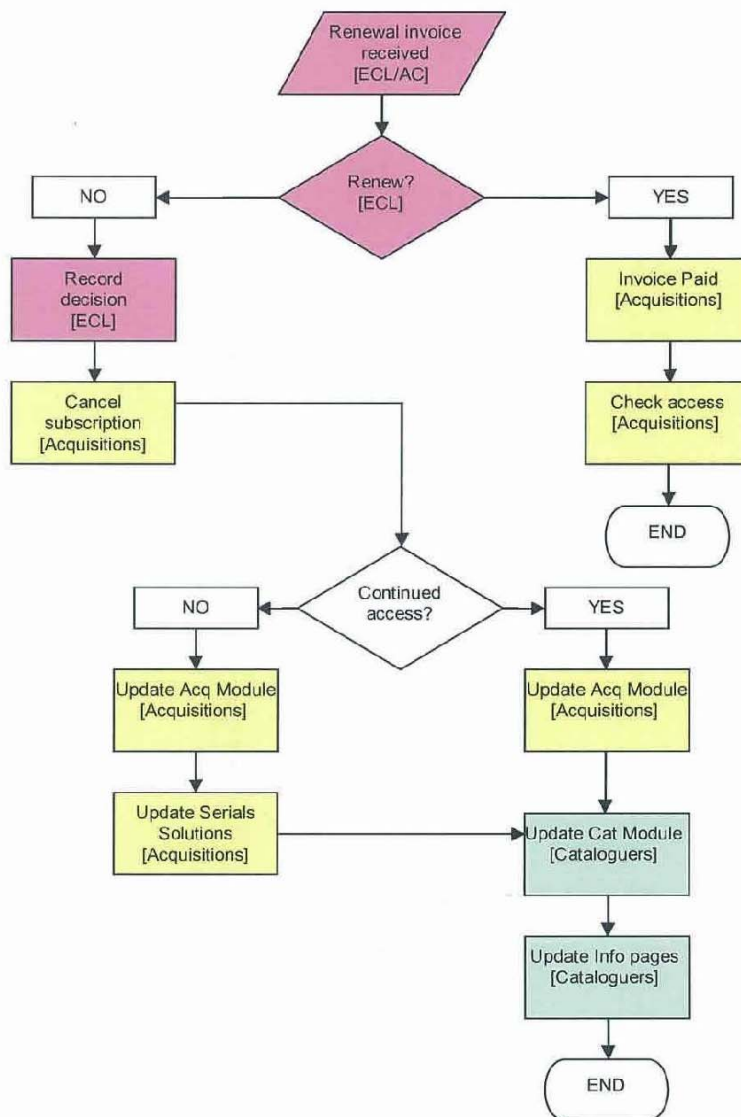
4.4 E-Journal Acquisitions Flowchart



4.5 E-Book Acquisitions Flowchart



4.6 E-Resource Renewal Acquisitions Flowchart



4.7 Definitions

Archiving

- *Archive copy* - the Library is allowed to make a permanent copy to hold locally.
- *Perpetual Access* - provided through a publisher or a 3rd party (for example, Portico). Allows for the continuing access to e-resources through changes in software and technology.

E-Ledgers

- *E-Books* - collections of monographs or one-off purchases.
- *Dataset Purchases* - any one off initial purchases NOT back-files or e-book collections
- *Serials Back-files* - print or electronic format. Back-files are serials or journal titles, either a collection or single title.
- *Subscriptions, Electronic* - any ongoing CAPEX e-resource invoiced annually or any further Datasets Purchases ongoing fees
- *Subscriptions, Rented (OPEX)* - subscriptions for which there is no archive copy available at termination of agreement or arrangement for perpetual access through the publisher or a third party.

EzProxy

- *EzProxy* - (sometimes referred to by its server name *Helicon*) allows on-campus and off-campus users to access Library resources. It provides authentication in order to access licensed/subscribed resources, and also allows internet traffic charges to those and free resources to be billed back to the Library, rather than to the user (on-site only).

Format

- Online - access to the item is through the World Wide Web either by IP access or Username and Password.
- Networked – CD-ROM or stored information which is able to be shared on the network, sometimes limited to onsite access such as MapToaster.
- Single user - online access is limited to a single concurrent user by the vendor.
- Print - print tangible format
- Print + E - electronic version comes with the print format either free or at an enhanced subscription rate.

SerialSolutions

- AMS (Access and Management Suite) - knowledge base of Serials Solutions including an A-to-Z Title List, E-Journal Portal, and Overlap Analysis Tool.
- ERMS (360 Resource Manager) - Lifecycle management tool for E-resources including trial, evaluation, license and renewal information.
- Article Linker (360 Link) - Open URL linking tool synchronous with the AMS.
- MARC Updates (360 Marc Updates) - MARC records providing monthly updates from Serials solutions on amended, new and deleted records for the library OPAC.

Acronyms

- *AC* – Acquisitions Coordinator
- *AL(ER)* – Assistant Librarian (Electronic Resources)
- *CM* – Collection Management (Assistant Librarian and Librarian)
- *ECL* – Librarian (Electronic Collections)
- *ERAT* – Electronic Resources Acquisitions Team
- *LL* – Library Liaisons
- *HOD* – Head of Department (Collection Services)