Swets Information Services

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# e-Access
# Guide

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e-Access Guide

This guide serves solely as an overview of e-access considerations. It is not meant to be either comprehensive or definitive and is intended for informational purposes only.

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# INTRODUCTION

Electronic journals are here to stay. In fact, the migration from print to electronic journals is expected to accelerate in the coming years, with market share for e-journals projected to expand from 15% in 2003 to 60% in 2008[1].

This major shift will provide users with a far greater ease of access to information, but at the same time bring newfound challenges for libraries and publishers. More sophisticated journal management systems will be required.

As paper and electronic journals continue to co-exist, managing the costs and administration of a mixed collection will present added challenges.

Libraries face tough decisions regarding their e-collections. As with most electronic technologies, change is continuous. A library or information center must continually re-evaluate their e-strategy and scan the environment for changes impacting access and availability for their users. To illustrate, you can pay for, register, and activate an e-journal, but still find end-users cannot locate or access the e-journal.

It is not enough simply to think about access requirements. An organization must consider its overall electronic strategy. This takes into account technical capabilities, collection assessment, budgeting, pricing, negotiating, licensing, content integration, end-user communication, and arranging access. A well-formulated e-strategy can help a library adapt to the continuous, complex, changing environment of electronic resources.

This guide is designed with these complex issues and considerations in mind, to help libraries better understand their e-strategy. We at Swets have encountered a variety of e-access scenarios. Our experience suggests the following categories are a good starting point for approaching and managing electronic resources:

- Collection Assessment
- Price Determination
- Licensing Requirements
- Arranging Access
- Content Integration
- Maintenance
- Renewal

This guide is organized into seven categories, each comprised of a short overview, e-strategy considerations, and a checklist of key notable items. This e-access guide is intended to help you devise your own e-strategy, and is, by no means, exhaustive. Our hope is it initiates further discussion in your organization to uncover the critical needs.

1. 2004 Swets Information Services Market Survey

The following is a list of terms used throughout this guide:

**Access rights**

The level, location and type of content permitted to be accessed by a user.

**Authentication**

The manner in which content providers validate a user's authorization to view content.

**COUNTER-compliant**

Launched in March 2002, COUNTER (Counting Online Usage of Networked Electronic Resources) is an international initiative designed to serve librarians, publishers and intermediaries by facilitating the recording and exchange of online usage statistics.

**Current awareness service**

Information automatically pushed to users in the form of alerts for table of contents, abstracts or full text information

**LOCKSS**

Lots of Copies Keep Stuff Safe, is open source software providing librarians with an easy and inexpensive way to collect, store, preserve, and provide access to their own, local copy of authorized content they purchase (see lockss.stanford.edu).

**Multi-site**

A term used to describe publisher pricing calculated on the basis of individual physical locations, campuses, corporate offices or facilities having access to content.

**Open-URL link resolver**

A web-based protocol to allow for interoperability between a resource and the provider of that resource.

**Proxy access rights**

The level, location and type of privileges granted to users accessing a Proxy server.

**Proxy server**

A server that sits between a client application, such as a Web browser, and a host server. It intercepts all requests to the host server for the purposes of authorizing user access to proprietary information.

**Registration**

The manner in which customers must arrange for their electronic access.

**Tiered**

A term used to describe publisher pricing calculated on the basis of institutional type and size, commonly based on the Carnegie classification.

**Usage-based**

A term used to describe publisher pricing calculated on the basis of either frequency, duration or volume of information accessed.

**Web portal**

Commonly referred to as a portal, a Web site or service that offers a broad array of resources and services at a central access point.

# COLLECTION ASSESSMENT

What electronic content do I currently have? What electronic content do I need for my users? What electronic content is available?

As with any acquisition strategy, you must first determine your current holdings, user requirements and the availability of electronic content to formulate a complete picture of your library's needs.

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**e-Strategy Considerations:**

The overall strategy for electronic resources must be aligned with the research and development directions of the organization. It is critical that collections assessment decisions be made in the context of budgetary, staffing, technical, and infrastructure factors.

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The checklist below offers some suggestions to help you better assess your collection with regard to electronic content.

❑ Obtain an e-journal availability report from your serials vendor.

❑ Obtain and review current print and electronic holdings reports, either from your vendor or internal system.

❑ Obtain and assess usage of electronic resources across your organization, as this can be helpful to determine priorities for activities.

❑ Calculate your full-time equivalents (FTEs), usage, and type of users. Many publishers calculate the number of users based on job functions (i.e., scientist, researcher, student, etc.).

❑ Conduct needs assessments through internal surveys.

❑ Assess your current technical capabilities:

– Platforms

– Desktop access

– Proxy servers

– Integrated library system

❑ Analyze your budget to determine spend for content and technology.

❑ Evaluate packages relative to purchasing individual titles. Depending on your holdings and needs, for example, the cost of a 15-title package that includes 6 of the titles you need may be less than the cost of those 6 titles purchased individually.

❑ Examine Abstracting and Indexing services to fill gaps in your collection.

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# PRICE DETERMINATION

How much will it cost? How can I get the most for my money? What is the best deal? Shouldn't I get what I pay for?

Familiarize yourself with the various pricing structures. E-access pricing structures can be quite complex. The chart below illustrates some of the variables you can expect in pricing.

**Simplest (Free)** ————————————————————→ **Most Complex (Paid)**

| **Print + Free internet** (generally intended for 1 User Site) | **Single User Paid Access** (based on one workstations or ID / Password) | **Multi-User Paid Access** (based on either the number of workstations or ID / Password) | **Single Site Paid Access** (based on IP addresses and/or the number of FTEs, usage based, size of institution or tier) | **Multi Site & Consortial** (can be any combination of: usage-based, IP address, FTEs, number of sites, size of institution or tier) |
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> **e-Strategy Considerations:**
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> Skilled negotiation requires knowing what one wants and then charting a course to secure it. This requires knowing all of the pertinent facts and being prepared to leverage them. To this end, your e-strategy should incorporate both organizational needs and the price determining factors from the publisher.

The checklist below offers some suggestions to help you better prepare to evaluate pricing considerations for e-access.

❑ Your budget will determine your choices; consider a phased approach to obtaining content over multiple years.

❑ The option of eliminating some or all of your print holdings is attractive to many libraries, but considerations must be made for:

– Availability of perpetual access and archiving of e-journals

– Impact on systems, users, and patron relations

– Availability and skills of internal resources to handle e-journals

– Selection of suitable vendors who can assist with the conversion

❑ Think about your archiving needs and the associated costs in undertaking the management of your own electronic archives.

❑ As you obtain prices from your vendor or publisher, consider:

    – Examining package pricing relative to individual title prices

    – Check if back files are required and if there are associated costs

    – Determine the percentage price increases, as they vary depending on the license agreement

    – Recognize that bundled or e-journal packages can be restrictive in adding and deleting titles

❑ Understand all agreements and licensing options.

❑ Get informed about the help desk options available from your vendors and publishers.

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# LICENSING REQUIREMENTS

How much do I need to know about contracts, licensing, and copy-right? Who controls and owns what? Should this go through legal?

A key step in obtaining e-journal access is license negotiations. In addition to agreeing on price with the publisher, a license must be signed to obtain access to the electronic content. Publishers typically exercise greater control over the use of their electronic content than paper, and this can result in restrictions on use, including archiving.

> **e-Strategy Considerations:**
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> It is useful to involve your legal, technical, purchasing, and regulatory departments as you develop your e-strategy. Their input is critical in terms of setting priorities for acceptable contractual terms and required performance clauses.

The checklist below offers suggestions on what to examine in licenses and how to prepare for licensing negotiations.

❑ One of the first critical considerations you will need to make on e-journals is a lease versus buy option. Many publishers will supply you access to e-journals, but when the subscription ceases, access is cancelled to all content – this is a lease option. If you choose to buy your content, which means you have rights to the issues you purchased in perpetuity, then you will need to review the perpetual access clauses outlined in the license.

❑ Understand the payment terms, penalties, and renewal dates in the license.

❑ Know the term of the contract and ensure that it does not conflict with your budgeting, payment and renewal cycles.

❑ Understand the proxy access rights outlined in the license.

❑ Review the patron, walk-in, contractor, or off-site access rights in the license.

❑ If archiving is required, ensure that the license either has provisions for your own activities or, if you participate in LOCKSS, a LOCKSS clause is inserted in your license.

❑ Understand the contract provisions for interlibrary loan of electronic journal articles.

❑ Ensure that you know your re-distribution and printing requirements, and they are adequately reflected in the license.

❑ Ensure that the e-journals you are licensing:

    – Include all the features of their print counterpart

    – Include back file access where required

❑ Ensure your copyright requirements reflect those outlined in the license.

❑ Understand who is required and/or authorized to execute the license on behalf of your institution.

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# ARRANGING ACCESS

What actions must be taken with publishers or vendors to access my electronic journal collections?

Having negotiated and secured licenses for your e-journals, you may have to separately arrange for access rights to be "turned on." Customarily, this information is exchanged during the license negotiation phase, but there are some unique situations to consider for ensuring timely access.

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**e-Strategy Considerations:**

An essential part of developing an e-strategy is the assessment of available and qualified resources. A successful e-strategy considers the human resource requirements in relation to an organization's strategic human resources plans.

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The checklist below illustrates what you will likely need to do to arrange e-access. How it is done and by whom (library, publisher, or vendor) varies according to agreement and resources.

❑ Confirm whether or not you need to register at the publisher site, as some publishers require this to activate the e-journal (for example, third-party providers).

❑ Ensure your access details and requested titles are forwarded either directly to the publisher for access, or through your serials vendor.

❑ Make sure you receive a receipt of confirmation for set-up.

❑ Ensure you receive instructions on how to access your e-journals and at which URLs.

❑ Designate an e-access administrator to manage access-related questions and to liaise with publishers and vendors.

# CONTENT INTEGRATION

How will you make your e-journal collections known and available to your users? How are you integrating e-journal access into your overall library information system? Will you update holdings information for e-journal subscriptions? How will your users navigate among databases, e-journals, table of contents services, and proprietary content?

To make your electronic resources known to your users, you will need to provide two things: a holdings statement and linking, either through your catalog, web portal, or vendor gateway.

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**e-Strategy Considerations:**

Providing easily accessible information and services to end-users is an in-volved process that requires coordination among librarians, information technologists, and infrastructure personnel. Therefore, it is vital to develop a "big picture" strategy for how information will be organized, accessed, and delivered to the end-user.

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The checklist below prepares you for what you will need to consider in delivering e-resources to your end-users.

❑ Provide a holdings statement of your own or through the help of your vendors.

❑ Examine various tools for ease of navigation among content sources, for example:

– Open-URL link resolver

– A-Z listing service

– Web portal software

– Catalog

❑ Ensure you have up-to-date information from publishers, database vendors, and serials agents for your archived titles and back files.

❑ Load data about your e-journal titles into your electronic catalog, web page, or other database.

❑ Subscribe to notification services for title changes and availability information.

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❑ If you want users to navigate among various information sys-
tems, then consider how e-journals data will be updated among
the following resources:

  – ILS

  – Catalog

  – Full-text archives

  – Current awareness services

  – Indexing and abstracting services

  – Other proprietary databases and content

❑ If you plan to provide access through both Web pages and an
online catalog, you should think about your database approach:

  – One central database

  – Two separate systems for cataloging and web access

❑ Ensure you designate a super-user, Webmaster, or gatekeeper
for e-access.

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# MAINTENANCE

How do I manage disparate electronic journal sources and repositories with large dynamic collections without duplicating records or experiencing, even inducing, service interruptions?

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**e-Strategy Considerations:**

Acquisition and delivery aspects of content consume a large part of the work in e-strategy formulation, but too often little consideration is given to maintenance. The changing nature of e-journals requires one to consider the ongoing activities of content updates, URL updates, help desk support, software upgrades, and changing technology. In developing a successful e-strategy, one must also assess the resource requirements for supporting these activities in the context of the organizational demands on the content.

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Maintaining your e-journal collection may pose the most complex problems and issues to your library. The checklist below enumerates some of the more complex issues libraries face in maintaining their e-access titles and offers a few possible solutions.

❑ Plan for continual updating of URLs:

  – MARC record imports

  – Journal hosting services

  – Journal gateway software

❑ Plan for updating publisher and bibliographic changes:

  – Obtain a list regularly from your serials vendor

  – Subscribe to catalog record services, such as MARC records

❑ Ensure you have a process for adding/renewing titles.

❑ Be certain to update your vendors immediately with changes in your IP addresses, as this will prevent service interruptions.

❑ Plan for updating information across various systems, platforms, and locations (ILS, A-Z, Databases, etc.).

❑ Ensure there is ownership for managing all of this data.

❑ Develop a plan for e-access claiming.

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# RENEWAL

What electronic content do I currently have? What electronic content do I need for my users? What electronic content is available?

As with Collection Assessment, in consideration of renewals, you must first determine your current holdings, user requirements and what electronic content is available to satisfy your library needs. In fact, you may need to return to some or many of the considerations as found in the Collection Assessment phase.

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**e-Strategy Considerations:**

One of the key outgrowths from developing an e-strategy is a formalized process for making strategic decisions about electronic content. The nature of renewals requires reassessment of objectives, but by having an e-strategy in place, this process can be managed more efficiently and expeditiously.

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The checklist below offers additional suggestions to help you better determine and prepare for actions to renew existing titles and packages.

❑ Ensure your library is receiving e-journal updates, including bibliographic, third-party, pricing, and provider policy changes.

❑ Evaluate the impact of changes in:

– FTEs

– New sites

– Print additions and cancellations

– E-journal additions and cancellations

– Consortia offerings and options

– Institutional mission

❑ Evaluate new contract terms from publishers and content providers:

– Back files

– Archives

– Access rights

– Payment requirements

❑ Evaluate the impact of publisher changes concerning packages, newly published/available titles, and changes to pricing structures. Pay particular and close attention to changes in:

– Free to paid electronic access

– Pricing and policies for FTEs, usage, and tier structure

– Standard versus premium access offerings

❑ Know the timing of your renewals and expiry dates of licenses to accommodate negotiations and avoid service interruptions.

❑ Consider your vendor's timing to process orders with publishers.

# FURTHER READING

The Scholarly Electronic Publishing Bibliography Presents Selected English-Language Articles, Books, and Other Printed and Electronic Sources that are Useful in Understanding Scholarly Electronic Publishing Efforts on the Internet
http://info.lib.uh.edu/sepb/toc.htm

Statement of Current Perspective and Preferred Practices for the Selection and Purchase of Electronic Information, Developed by the International Coalition of Library Consortia (ICOLC).
http://www.library.yale.edu/consortia/statement.html

Standardized Agreement Language for Use in Negotiations With Vendors, Developed by the CIC Center for Library Initiatives.
http://www.cic.uiuc.edu/programs/CLIConsortialAgreementProgram/archive/BestPractice/StandardizedAgreementLanguageDec02.pdf

Consortia Licensing: Implications for Digital Collection Development. Lars Bjoernshauge
http://www.ifla.org/IV/ifla64/178-98e.htm

New Developments In E-Journal Licensing. International Coalition of Library Consortia (ICOLC)
http://www.library.yale.edu/consortia/2001currentpractices.htm

Licensing Principles Consortia and Practical Experiences. Hans Geleijnsen
http://www.lib.helsinki.fi/finelib/geleijnse/sld001.htm

Preservation of Electronic Information: A Bibliography
http://homes.ukoln.ac.uk/~lismd/preservation.html/

Task Force on Archiving of Digital Information: Final Report
http://www.rlg.org/ArchTF/

Electronic Publishing of Scholarly Journals: A Bibliographic Essay of Current Issues
http://www.library.ucsb.edu/istl/99-spring/article4.html

Legal Deposit
http://www.unesco.org/webworld/memory/legaldep.htm

Publications of Council on Library and Information Resources (CLIR)
http://www.clir.org/

Publications of the Research Libraries Group
http://www.rlg.org

Competencies Required By Librarians
http://info.lib.uh.edu/pr/v4/n6/corbin.4n6

Teaching Remote Users How To Use Electronic Information Resources
http://info.lib.uh.edu/pr/v5/n4/wielhors.5n4

Electronic Journals: Problem Or Panacea?
http://www.ariadne.ac.uk/issue10/journals/

Issues in Science and Technology Librarianship
http://www.library.ucsb.edu/istl/

Council on Library and Information Resources
http://www.clir.org/

OCLC Resources For Library Staff
http://www.oclc.org/navigation/librarystaff/

SuperJournal Project
http://www.superjournal.ac.uk/sj/

Elib
http://www.ukoln.ac.uk/services/elib

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