1-1-2007

Report to the CARLI Board of Directors

Consortium of Academic and Research Libraries in Illinois

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Electronic Resources Working Group Report
to the CARLI Board of Directors
January 2007

1. Introduction
The Electronic Resources Working Group (ERWG) was originally created in August 2005, but was reorganized and formally charged by the Board of Directors in summer 2006. The working group meets monthly, most often by conference call. Appointed members include librarians representing public and private colleges, universities and community colleges. The members and charge are included in Appendix 1. The working group is staffed by Tom Dorst and Elizabeth Clarage.

As the ERWG began its work this academic year (2006-2007), they met with the CARLI Executive Director who discussed the need for the working group to provide to the Board a recommended definition of the range of activity that should define the CARLI electronic resources program. The challenge for the working group was to guide and oversee the existing program while simultaneously discussing the model program that is desirable for the consortium.

There are a number of _academic_ library consortia in the United States that have electronic resource programs that could serve as models. The work of OhioLink, CIC (Committee on Institutional Cooperation), Boston Library Consortium, NERL (NorthEast Library Consortium), and the California Digital Library serve as helpful resources from which to draw best practices and organizational frameworks. However, the ERWG did not find that any single consortium could serve as the sole model that CARLI should replicate. Consortia are organized and funded in a variety of models and each has its own set of values for the acquisition of electronic resources. Indeed, the unique history of cooperation in Illinois and the legacy consortia that developed pieces of the e-resource program that are still in place within CARLI should be acknowledged for the content and offerings already established.

2. Brief History
Prior to the central subsidization of electronic resources in Illinois, academic libraries sought to obtain group discounted pricing for a variety of databases. Academic library consortia in Illinois began brokering electronic databases on behalf of their members in the early 1980's. Each of the consortia that now comprise CARLI approached the task from different, but essentially complementary perspectives.

ILCSO initiated a program, called IBIS, which made available a selected list of abstracting and indexing databases to which its 44 members could subscribe annually. A single platform was chosen by competitive bid to support IBIS and the licensing and billing were done centrally.

ICCMP sought to meet the needs of a larger and more diverse membership in its brokering efforts. It also came to focus on full text resources. While ICCMP did some central licensing and billing, it also negotiated discounted pricing, but let subscribing institutions license and pay vendors directly.

IDAL began brokering databases when ILCSO's IBIS contract came up for renewal in 2003. It built its program on the on the IBIS model, but expanded the scope to serve a membership that more resembled ICCMP's. The list of databases available from IDAL was expanded, as was the number of commercial platforms. IDAL included both abstracting and indexing databases and full text resources. IDAL's brokering program used the central licensing and billing approach for its brokering.

With the merger of the three consortia to form CARLI, all of the brokering practices and the entire scope of resources provided became the responsibility of the new consortium. The commitment made at the time of the merger was to maintain the service status quo. Operationally, the merger also required the transfer and renegotiation of all the ICCMP licenses that had been held at Northern Illinois University. This task was completed in the fall of 2006.

3. Current Program Overview-
The consortial ability to provide important electronic resources at the best prices will remain a core mission for CARLI. Therefore, the Working Group believes that it is now appropriate and necessary to evaluate and rationalize the CARLI electronic resources brokering program, both to create a clearly defined and easily explained program for the members and to ensure that CARLI staff time and capacity is available to meet the entire range of programmatic needs for electronic resources.

Through the *subsidized* resources program, member libraries have access to a blend of free, and in many cases, highly used resources. Currently CARLI is subsidizing the recurring costs of: EBSCO Academic Search Premier, EBSCO Business Source Elite, Oxford English Dictionary (OED), Liebert Journals, Chronicle of Higher Education, and HarpWeek maintenance. Recent one-time purchases include: Saskia Art Images collection and HarpWeek, 1890-1912.

The *brokering* program benefits the members through discounted pricing and single billing for multiple resources. Increasingly, libraries report that CARLI provides a substantial service to members by executing and holding licenses on behalf of CARLI libraries. This offsets the hidden, but not insignificant, costs to individual institutions of the negotiation and purchasing process. Currently the brokering program handles 193 databases and $5,144,198 in member subscriptions.

The ERWG thinks that both the subsidized and brokered resource programs be should be redefined to bring them more in line with current library priorities for tools and content. Some of the offerings and practices were developed in the legacy consortia and have not been examined in terms of benefit to the new membership of CARLI. Additionally, it was clear to the ERWG that in order to move forward more aggressively to acquire content for the consortium and to negotiate better pricing, staff time should be freed from maintaining resources and offerings that have low discounts and low numbers of subscribers, and therefore have a low return to the membership for the amount of staff time devoted to them.

4. Scope of Resources –
The ERWG accepts the changing definition of electronic resources within CARLI. It is clear from meeting discussions, member nominations, and Products and Services Vetting Committee (PSVC) that licensing not only content, but providing tools to manage content are the role and responsibility of the ERWG. The ERWG has considered offers for such products as ScholarlyStats and RefWorks to offer libraries a way to manage the dizzying array of electronic resources content. Currently CARLI is investigating an ERMS (Electronic Resource Management System). **The ERWG recommends that if CARLI establishes a formal task group for ERMS, that the ERWG have a liaison member to that group.**

5. Subsidized Resources
The ERWG recommends that CARLI continue to invest in subsidized resources for the membership through the creation of a permanent budget allocation. The current budget is allocated to match the recurring costs for long-standing obligations rather than setting a fixed amount that allows for the growth and addition of new resources. A process of review at the time of renewal for subsidized resources should be developed. The ERWG is willing to review the continuing need for these selected resources as they cycle for renewal. New resources proposed for subsidy will now be evaluated by the ERWG and the PSVC before they come to the Board

The ERWG further recommends the development of a 5-year budget plan (at a minimum) to purchase perpetual access to electronic journal content to build an e-journal archive (EJA). This content would be owned by CARLI for the membership. Without a subsidy or a pooled purchase, many libraries could not purchase this access on their own.

This kind of financial commitment would have many benefits:
    -An immediate increase in fulltext electronic serial content in all library collections

    -Purchased content, rather than leased, would potentially alleviate space problems because libraries would have the option of discarding print

    -A shared e-collection would serve as a cooperative "virtual storage" for Illinois libraries

Examples of the types of purchases that would fall within an EJA are:
Oxford Journals Online Archives, Science Magazine Classic 1880-1996, Historical Chicago Tribune, Sage Publications backfile.

If the Board endorses the commitment of funds to build a permanent electronic journal archive (EJA), there are several models for identifying the sources of money to fund such a significant project.

- All purchases come entirely from the central CARLI budget

- A surcharge, or tax, could be levied on libraries via the brokering program to build a pool of matching dollars.

- Assess a one-time charge or an annual charge for the 5 years, via a tiered-pricing model, to all libraries who want to access the content. In effect, this would build a "warchest" for the central purchase of electronic content that benefits the membership.

The ERWG would identify and negotiate for appropriate content based on the budget and with guidance and input from the membership.

6. **Brokered Resources**
CARLI currently brokers electronic resource offers in five categories. Up to this point, policies have not been established and there are no guidelines on the number of subscribers or discount levels necessary to include a database or a vendor in the brokering program.

Types of Brokering:
- The largest number of databases are brokered through competitively bid requests for proposal (RFPs). Discounted pricing is established for any member institution that wishes to subscribe to individual databases. Licensing and billing are done centrally for all databases in this category.

- A pre-specified group of libraries may seek to have the consortium negotiate a license for a specified resource on its behalf. Typically, such resources are sole source, with licensing and billing done centrally.

- The fastest growing type of electronic resource offer is the publisher provided full text journal package, with enhanced content access for all participating subscribers. Such offers are usually predicated on participants agreeing not to reduce their level of spending with the vendor established at the beginning of the offer for the duration of the contract. In return the participants are given access to the vendor's entire title list. Such offers provide price increase caps, rather than discounts from the list price.

- The consortium also brokers the one time, institutional purchase of resources. Such offers are usually straightforward and can be managed centrally or directly between the member library and the vendor.

- Most recently, CARLI has begun to broker resources for which the consortium provides a partial subsidy.

The Working Group recommends the following guidelines for the CARLI Database Brokering Program, in order to give the program a better defined structure, a scope that will meet members' needs, the capacity to take advantage of opportunities, as they arise, and the ability to clearly articulate the goals of the program to CARLI member institutions. Because these are guidelines, there will necessarily be offers that fall outside these parameters that will still be beneficial for CARLI.

- Brokered resources should have a minimum discount of 10% and/or appropriate tiered pricing that acknowledges the varying types and sizes of library.

- Publisher packages that aggregate content should carry caps on access fees and price inflation.

- CARLI should only support and handle resources that have at least 5 library participants.
- Self-selected groups of libraries that request that CARLI negotiate and license a resource on their behalf should have a minimum of 9-10 participants (approximately 5% of the membership).

 -Offers will be reviewed as they are received, but whenever possible, subscription periods and license duration will be aligned with standard fiscal or calendar year licensing periods.

- The CARLI Database Selection System should continue to be developed as the primary method of subscription to databases through CARLI.

A chart with examples of the level and variety of participation for selected resources is included in **Appendix 2.**

7. Pass- through deals
The EWRG endorses the handling of pass-through deals to the membership when the offer does not meet the criteria recommended for subsidy or brokered status. Pass-through deals have little impact on staff time and mainly involve the consortium serving as an information conduit. Pass-through deals are e-resource offerings where CARLI helps a vendor make the membership aware of an offer, but CARLI does not negotiate pricing or a license or manage billing.

The benefit of handling pass-through deals is that it gives CARLI the ability to manage its own message to the membership. Currently vendors who are not actively developing deals with the consortium circumvent CARLI. They contact libraries to offer "CARLI" pricing that has not been negotiated or "endorsed" by the consortial process. This creates confusion among member libraries who may believe the vendor is offering them the best price that the consortium could negotiate.

8. RFP Process

The ERWG endorses the new approach to the RFP process that is currently underway. The separation of bids for the competitive resources from the sole-source resources will put the consortium in a much better negotiating position. Three members of the ERWG, representing the three CARLI constituencies, will assist the staff in their review of the RFP responses.

This RFP process is another opportunity for CARLI to reduce the number of vendors when the vendor discounts are too small or the subscriber base is very small. The impact of offering competitive products through fewer vendors will mean that CARLI will not offer some databases on all of the preferred platforms currently available in member libraries (e.g. PsycInfo via EBSCOHost, OVID, OCLC, Proquest, and CSA). However, the ERWG believes that CARLI can demonstrate the value of no longer handling such an extensive offerings list by developing new content offerings.

9. Licensing Principles

Most consortia have developed publicly available licensing principles that are expressions of both the priorities of the members for acquiring content and statements of the business practices that consortia prefer to employ. The purpose of developing principles is to arrive at a common understanding within the consortium of how material/content/tools will be selected. It is also a communication tool to vendor community of our expectations of conducting business and preferred standards.

Some examples of statements from consortia that include only academic library members:

VIVA-The Virtual Library of Virginia
http://www.viva.lib.va.us/ruc/principles.html

The University of California Libraries
http://libraries.universityofcalifornia.edu/cdc/principlesforacquiring.html

NERL-NorthEast Research Libraries Consortium
http://www.library.yale.edu/NERLpublic/licensingprinciples.html

The ERWG recommends that CARLI develop a statement of licensing principles.
The ERWG would draft the document.

10. Advocacy

The CARLI Statement of Values includes "Advocacy for academic and research libraries at the local, state, regional and national levels." The EWRG believes that a role for CARLI in the e-resource community will be a natural outgrowth as the program matures. Once licensing principles are in place, CARLI will have the ability to craft appropriate statements to and about the vendor community. Currently all consortia benefit from the advocacy out of the ICOLC (International Coalition of Library Consortia) membership and larger more established consortia.

11. Communication
Effective and timely communication is currently a significant challenge to the growth of a robust and participatory electronic resource program. A plan to enhance communication is considered by the ERWG to be a pressing priority for the working group and the CARLI staff involved in licensing. Communication from CARLI to the membership and to the vendor community is essential in order to make collaborative, consultative decisions and to allocate resources effectively.

The EWRG has addressed some of the communication problems in its work during the fall of 2006. A vendor submission form was created for the website and for the first time, vendors had a single point of entry to introduce a product to CARLI for licensing. Previously, vendors did not have a single contact or a single, unified process for bringing offers to the consortium.

The chair of the ERWG, Kim Armstrong, and Tom Dorst met with Margaret Chambers, Assistant Director of CARLI Communications, to discuss strategies for communication with member libraries for licensing. There is currently a listerv dedicated to the subject of collections (ccg@carli.illinois.edu), but it is a legacy list that is devoted primarily to the Collections Enhancement Awards and print offerings.

Because of the dynamic nature of electronic resources licensing, the ERWG recommends the following:
  -Establish an e-resource contact at each member library

  -Establish a listserv for communicating e-resource business

  -Enhance the CARLI website to document current offers submitted to CARLI, status of offers, pricing, and key licensing information

There are several examples of well-developed websites that can be used as models for CARLI (Appendix 3):

  SOLINET
  http://www.solinet.net/electronic_databases/electronic_databases_home.cfm

  The SOLINET website is an example of a consortial (network) website that provides extensive information, consistently and in one place, on new offers, existing e-resources, and trials.

  Yale University Library
  Permitted Uses of Online Resources
  http://www.library.yale.edu/journals/licensing.html

This website displays key license information collected from all electronic resources on such permissions as: ILL, e-reserves, coursepacks, downloads, and use by walk-in users. The benefit for CARLI would be that all member libraries would not have to read each license to extract permitted uses of the content.

12. Operational
      A. Central Staff
The ERWG believes that there is a need for clearer definitions of the roles of the CARLI staff most involved in electronic resources. Some of these staff members came to the new consortium with critical functions for certain electronic resources within their communities of interest. Now that the merger is complete and the licenses are all held at UIUC, and based on the comments and experience the working group has had, the central CARLI staff roles should be clarified, both to the CARLI library community and the vendor community.

If the changes to the program that are recommended in this document are accepted, it will be critical have staff who function as a team, work with the ERWG, share information with libraries and vendors, and negotiate effectively to meet the growing demand from the membership for e-resources.

      B. Electronic Resource Working Group
The ERWG, with balanced representation from the CARLI membership, is an effective body that can assist CARLI staff in the development and evaluation of offers, the negotiation process, and in monitoring the effectiveness and success of the e-resources program. Additionally, the ERWG can develop policies and procedures that will guide additional development of the program.

      C. Negotiations
In many consortia in the U.S., skilled member librarians join central staff to negotiate for electronic resources. The benefit of this model is that the consortium can draw on the expertise of many librarians, central staff can functionally expand their workforce available for negotiating, and negotiations are often more effective done in teams. **The EWRG recommends that CARLI use member librarians for selected negotiations and that the CARLI staff, the ERWG, or the CARLI Executive Director can request that a librarian join a negotiation.** The librarian does not need to be a member of the ERWG.

13. Conclusion
If the recommendations of this report are accepted and implemented, the ERWG believes that the current structure that is in place should be effective for handling electronic resources, although staffing resources may need adjustment as the program grows and matures. That structure includes the central staff, the RFP process, the E-Resources Working Group and the Products and Services Vetting Committee. After an initial period of adjusting the brokered offerings, the guidelines from this report will assist staff and committee members as they decide which proposals should be considered for subsidy, brokering, and pass- through, and which resources are not appropriate for CARLI.

SUMMARY OF RECOMMENDATIONS

1. The ERWG recommends that if CARLI establishes a formal task group for ERMS, that the ERWG have a liaison member to that group.

2. The ERWG recommends that CARLI continue to invest in subsidized resources for the membership through the creation of a permanent budget allocation.

3. The ERWG recommends the development of a 5-year budget plan (at a minimum) to purchase perpetual access to electronic journal content to build an e-journal archive (EJA).

4. The Working Group recommends the following guidelines for the CARLI Database Brokering Program, in order to give the program a better defined structure, a scope that will meet members' needs, the capacity to take advantage of opportunities, as they arise, and the ability to clearly articulate the goals of the program to CARLI member institutions (Appendix 2):
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- Self-selected groups of libraries that request that CARLI negotiate and license a resource on their behalf should have a minimum of 9-10 participants (approximately 5% of the membership).

5. The ERWG recommends that CARLI develop a statement of licensing principles.

6. Because of the dynamic nature of electronic resources licensing, the ERWG recommends the following:

-Establish an e-resource contact at each member library

-Establish a listserv for communicating e-resource business

-Enhance the CARLI website to document current offers submitted to CARLI, status of offers, pricing, and key licensing information

7. The EWRG recommends that CARLI use member librarians for selected negotiations

APPENDIX 1
ELECTRONIC RESOURCES WORKING GROUP

Kim Armstrong (2006-2009), University of Illinois at Springfield, Chair
Raeann Dossett (2006-2007), Parkland College
Dawn Lynn (2006-2007), Loyola University
Jeff Matlak (2006-2008) Western Illinois University
Kathryn Miller (2006-2007), National Louis University
Laurie Sauer (2006-2009), Knox College
Wendy Shelburne (2006-2008), University of Illinois at Urbana-Champaign

Staff Liaisons: Tom Dorst and Elizabeth Clarage

Body to which the group reports:
CARLI Board of Directors

Scope of work:
The CARLI Electronic Resources Working Group advises the CARLI staff and the CARLI Board and discusses possible new purchases and renewals of electronic resources. The ERWG analyzes the budget allocation from the consortium and makes recommendations to the Product and Services Vetting Committee of the Board. The ERWG identifies opportunities for reducing costs to members through the negotiation of brokered resources. The ERWG also develops policies and principles for the negotiation and acquisition of electronic information and determines appropriate methods for evaluating resources and gathering member feedback.

Tasks required on completion of work:
Decisions about brokered electronic resources are the purview of the ERWG. Recommendations for new or enhanced CARLI products, services and programs that require central funding or subsidization should be sent to the CARLI Products & Services Vetting Committee or the CARLI Program Planning Committee. The Chair will forward other documents dealing with staffing, policy, and budget issues to the CARLI Board for review and approval.

APPENDIX 2 BROKERED SUBSCRIPTIONS

Database						
MOST SUBSCRIBED - multiple vendors	**CSA**	**EBSCO**	**OCLC**	**OVID**	**ProQuest**	**Wilson**
PsycInfo	1	39	4	13		
PsycArticles		33	3	9	1	
MLA International Bibliography		36	5		5	
CINAHL		36		7		
ATLAS		15	6			
Art Abstracts		8	10			1
RILM Abstracts of Music Literature		14	3			
Applied Science and Technology Abstracts		7	6			1
SPORTDiscus		11		2		
Sociological Abstracts	10		3			
Social Sciences Abstracts		10	2			1
LEAST SUBSCRIBED	**CSA**	**EBSCO**	**OCLC**	**OVID**	**ProQuest**	**Wilson**
Worldwide Political Science Abstracts	1					
SocINDEX with Full Text		1				
SIRS Researcher			1			
Readers' Guide Abstracts						1
PsycInfo Plus Text					1	
Media Review Digest			1			
Kiplinger Finance & Forecasts		1				
International Political Science Abstracts		1				
International Pharmaceutical Abstracts		1				
International Bibliography of Theater		1				
Index to Legal Periodicals			1			
Humanities Index International		1				
Humanities Full Text						1
Historical Wall Street Journal					1	
GLBT Life Full Text		1				
GEOBASE			1			
Education Full Text						1
Culture Grams					1	
Criminal Justice Abstracts	1					
Cochrane Collection		1				
CA Student Edition			1			
Book Index with Reviews		1				

MOST SUBSCRIBED - single vendor						
ACS Web Editions	38					
Project Muse (all versions)	33					
Communication and Mass Media Complete-EBSCO	27					
MathSciNet-AMS	23					
Books in Print with Reviews-OCLC	13					
Historical New York Times-Proquest	9					
NO SUBSCRIPTIONS						
PAIS Archive						
MagillOn Literature						
MagillOn Authors						
Information Science and Technology Abstracts						
Disclosures Corporate Snapshots						
Contemporary Women's Issues						
Consumers Index						
Biotechnology and Bioengineering						
Biography Index						
Art and Humanities Search						
Alternative Press Index Archive						

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Academy of Political Science See also: Ingenta Select
Political Science Quarterly

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No	Course Packs	
Yes	Print	
Library	Use by Walk-ins	