

Selecting and Cataloging OA Resources

Collection Development Process

Open Access Resources at the UC Libraries
Policies and Procedures for Shared Cataloging, Linking, and Management

June 9, 2006

Definition

Open access¹ resources have no financial or legal barriers to access for members of our user community. The following factors must be in evidence:

1. The publication must be available online at no charge to readers or institutions. No subscription can be required for online access.
2. Readers must be permitted to use the material for any lawful purpose, including downloading, copying, making derivative works, distributing, printing, searching, or linking to the full texts of works, crawling for indexing, or passing as data to software.
3. No licensor/licensee relationship shall exist between the publisher or provider of the online publication and the individual user or institution.

Note that some open access resources may provide open access to only portions of their content (e.g., just the backfiles (such as HighWire titles), just the frontfiles, or only some types of articles (some PubMed Central titles). In this case, the 856 field will indicate what content is open access. For example, "Open access to research articles only" will appear in BioMed Central records.

Some open access resources may require registration (i.e., require the user to provide information before access is granted).

Policies

- The **Joint Steering Committee on Shared Resources (JSC)** oversees UC policies for shared cataloging of open access materials.
- Scholarly open access resources (e.g., peer-reviewed journals) are eligible for consideration.
- UC bibliographers must nominate resources for consideration. Unsolicited requests will not be considered.
- Journals must be indexed in a major disciplinary abstracting or indexing service, defined as any Tier 1 abstract or index or the equivalent free service such as PubMed Central. This list is currently available on the **request form**.
- Non-journal open access resources (databases, monographic collections, web sites, map and image collections, etc.) are also eligible for consideration. A brief justification must be submitted for each individual collection according to the evaluation criteria below. Resources delivered through a CDL service (e.g. Luna Insight collections) may be subject to additional technical review by CDL staff after JSC approval.
- Once approved, the Shared Catalog Program (SCP) at UC San Diego will catalog resources and include these records in the existing SCP data streams sent to campuses. A record will appear in the Melvyl Catalog after a campus incorporates that record into their local catalog. Linking via UC-eLinks will be implemented, where possible. A resource liaison may be assigned for each resource or package. SCP will provide regular link checking.
- Requests for cataloging individual items within a collection may also be submitted, using the more detailed project request guidelines on the Shared Cataloging Program website at <http://cdlib.org/inside/projects/scp/newprojects.html>. Such requests will be considered on a project basis subject to SCP workflow, available cataloging expertise, and other considerations.
- SCP cataloging priorities are outlined more fully on the SCP website at <http://cdlib.org/inside/projects/scp>.

Evaluation Criteria

Making resources available to the UC community entails considerable cost, whether the resources are licensed or open access. Open access resources should be evaluated according to the same quality

use indicators that would be applied to licensed content. Examples of factors to consider include:

- Does the resource satisfy a demonstrable need in ongoing research and/or teaching at UC?
- Is it produced or supported by a recognizable and reputable organization? Is it likely to persist?
- Is it stable and reliable (i.e. free of performance or other problems)?
- Is the interface easy-to-use?
- Does the resource require specialized technology (non-standard browser plug-in, special font support, use of a specialized application, etc)? If so, additional vetting may be required before the resource is approved.

Procedures

	Journals	Non-Journals (Collections of Monographs, Images, and Maps; Databases and Web Sites)
Nomination	A UC bibliographer fills out the request form . The form gets routed to the Shared Cataloging Program (Becky Culbertson). Becky will batch and route forms to Wendy Parfrey as needed.	UC bibliographers should contact the appropriate JSC subject liaison to nominate a resource.
Verification of open access status	UC bibliographers should only submit resources that meet the criteria above. For journals that are automatically approved, the JSC is responsible for verifying the open access status of that resource if that status is challenged.	
Approvals	<p>The following journals are automatically approved and will be routed for cataloging without any approvals process:</p> <ul style="list-style-type: none"> • Journals indexed in a major disciplinary abstracting and indexing database ; or... • Journals that have an existing SCP record (i.e., this is a new open-access URL with new access, equivalent access, or less content). • Journals listed in the Directory of Open Access Journals (DOAJ). <p>The following require JSC approval:</p> <ul style="list-style-type: none"> • Journals not indexed in a major disciplinary A&I database. Becky Culbertson will send Wendy Parfrey batches of these titles periodically. 	JSC will approve nominated resources as part of their regular operations. Resources delivered through a CDL service (e.g., Luna Insight databases) may be subject to additional technical review by CDL staff. When a nominated resource is approved, JSC will inform SCP and UC-eLinks staff so they can begin cataloging and linking, respectively.
Cataloging	<ul style="list-style-type: none"> • To the extent possible, SCP catalogers will assign BibPurls (PIDs) and add them to the OCLC record. • Non-journals will be cataloged at the collection-level only unless requested otherwise. Requests for item-level cataloging will be considered on a project basis following SCP guidelines at http://cdlib.org/inside/projects/scp/newprojects.html . • Cataloging hook in 793: <ul style="list-style-type: none"> • "Open access resource freely available; selected by the UC libraries" • When only portions of the resource are open access, the 	

<http://www.cdlib.org/inside/collect/openaccess.html>

	appropriate wording will be added to the 856 \$z. Addition of such wording will be added reactively, i.e., when SCP is advised or discovers that portions of the resource are not open access.
Linking	<ul style="list-style-type: none">• To the extent possible, article-level linking via UC-eLinks will be created for all open access resources.
Management	<ul style="list-style-type: none">• Open access resources will not be added to the existing CDL MIS database, but may be included in a future ERM system.• The CDL will attempt to troubleshoot access issues when reported.• Some larger groups of open access resources (e.g., BioMedCentral) may require a resource liaison.

¹ Definition compiled by Dave Fisher, UC San Diego. Sources include: Bethesda Statement on Open Access Publishing; Budapest Open Access Initiative; SPARC Open Access Newsletter, issue 64, August 4, 2003; DOAJ web site; Creative Commons Attribution — Non-Commercial — shareAlike License 1.0.

Document owner: **Wendy Parfrey**
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URL: <http://www.cdlib.org/inside/collect/openaccess.html>

Questions? Comments?

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Policy:	422	
Subject:	INTERNET MATERIALS	
Approved by:	LMAC	
Contact:	Coordinator, Collections Management	Approved: April 9, 1998
Prepared by:	Task Force on the Internet and and the Collections	Revised: March 21, 2002 February 17, 2005

Purpose

The objective of this policy is to provide guidelines for the collection and incorporation of relevant Internet materials into the UML online catalogue. For procedures related to the acquisition and cataloguing of NETDOC resources see CAP Policy 435 - NETDOC Purchase Procedures.

Definitions

1. **Internet resource.** An Internet resource is an electronic work in a machine-readable format, which is accessible through a wide-area network. This is in contrast to a direct access electronic work issued in a physical carrier, e.g., CD-ROMs, computer disks (floppy disks), etc., accessible only in a stand-alone PC or through a local area network.¹
2. **UML online catalogue.** The University of Manitoba Libraries' online catalogue consists of the BISON database of MARC records. It is accessed through a Web-based interface (U of M's implementation of Sirsi's Web 2).
3. **URL: Uniform Resource Locator.** The URL provides a World Wide Web address that specifies the location of a resource on the Internet. This address is used to create a hypertext link in the Web-based interface of the UML online catalogue. This link when clicked takes the user directly to the resource.
4. **Full text/full image.** A monograph is considered to be full text/full image when the entire content, including images, of the print title is available online. A periodical is considered to be full text when the text of all articles in a print issue are available online and the full text of all the issues in at least one volume are available online. Born digital works are considered to be full text/full image.

¹ This is based on the definition of Internet resources in Dillon, Martin and Erik Jul. 1996. Cataloguing Internet resources, the convergence of libraries and Internet resources. *Cataloging & classification quarterly*, v.22, no.3/4 and the definition of direct access computer files in *Anglo-American cataloguing rules, second edition, 1988 revision*.

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Preamble

The Internet includes a wide range of resources of varying quality. High quality Internet resources relevant to the mission of the University of Manitoba Libraries in its support of teaching and research programs of the university will be selected for inclusion in the UML online catalogue. The best way to choose Internet resources of high quality is through title by title selection according to current collection management policies, guidelines, and statements.²

Policy Statement

Selection, retention, archiving and deselection of Internet resources within current UML collection policy guidelines rest with bibliographers/unit heads who have designated responsibility for specific areas. This policy does not apply to individual library's home pages or to Web-based NETDOC materials.

Selection³

1. The following categories of Internet material may be selected for inclusion in the UML online catalogue:
 - a) full text electronic resources, including monographs, serials, etc.;
 - b) online parts of print works, e.g., a print work with statistical tables only available on a Web site;
 - c) multimedia resources (works including images, videos, and sound, with or without text).
2. The following categories of Internet resources will in general be excluded from the UML online catalogue:
 - a) search engines, e.g., Google;
 - b) directories/indexes to the Internet itself, e.g., Yahoo.
3. Printed copies of electronic resources documents are accepted for inclusion in the UML online catalogue only in exceptional circumstances when a bibliographer or unit head determines that the material should be permanently retained and warrants the additional cost of printing, storing and binding the document.

² Demas, Samuel and others. 1995. The Internet and collection development, mainstreaming selection of Internet resources. Library resources and technical services, v.39(3), p.280.

³ See Appendix A for suggested selection guidelines.

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Funding

Those Internet resources which require payment (license fees, subscription fees, etc.) are funded from the unit libraries' acquisition funds (operating or gift).

Access/Cataloguing

1. Access to Internet resources will be provided in the UML online catalogue by catalogue records which will include 856 fields for Electronic location and access. 856 fields generally include URLs.
2. Catalogue records for print titles which have parts available only on the Internet will also contain URLs for those parts and notes identifying the parts.
3. Internet resources will be identified in the UML online catalogue by the equivalent of a library location name: Internet resources.
4. All Internet resources should be made available through UM Links whenever possible.

Retention/Maintenance of URLs

1. Deselection of Internet resources will in general follow the same policies applicable to deselection of other categories of materials. (see CAP Policy 315: Discarding of Library Materials)
2. URLs of Internet resources in catalogue records will be monitored to ensure their continued functionality.
3. Questions regarding malfunctioning URL's should be directed to the Electronic Resources unit.

Procedures Applicable to All Units

1. Requests for Internet resources (whether free or requiring payment) are sent by email to the Electronic Resources unit with the title and URL. Requests for paid resources should also include fund number, depth of coverage and number of simultaneous users desired (where applicable).
2. Electronic Resources staff obtain license agreements for Internet Resources and complete a preliminary review of related materials, noting areas of special technical interest or legal conditions. These licenses are then forwarded to the Head of

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Electronic Resources for detailed review. The Head executes changes to licenses, ensuring compliance with all legal requirements and intended use, elimination of foreseeable breaches of contract, and indemnification. Licenses that require amendments or signature are signed by the Head and routed for signature to the publisher or vendor. Licenses which are approved without changes are accepted online or signed as required. The final version of all license agreements are printed and filed in Electronic Resources.

3. Once activation of an Internet Resource has been confirmed by Electronic Resources, the Head of Electronic Resources advises the Electronic Journals Distribution List of each new title or change in title. These announcements serve to request promotion, cataloguing by Bibliographic Control or NJMHSL Resource Management, as appropriate, and technical updates by LETS, in order to establish and maintain the necessary access points.
 - a) In the case of bibliographic databases with unconfirmed or questionable full-text content, Electronic Resources will distribute a list of available journals to subject bibliographers. Bibliographers will then examine the journals in the database and request specific titles for cataloguing. The Head of Electronic Resources will advise the Electronic Journals Distribution List of new titles selected by the subject bibliographers; this notice will serve to request promotion and cataloguing by Bibliographic Control.
4. Upon notification by the Head of the Electronic Resources unit, Bibliographic Control enters catalogue records with functioning links to Internet resources into the UML online catalogue.
 - a) Electronic Resources will add the titles to the UM Links whenever possible.

GUIDELINES FOR SELECTION OF INTERNET RESOURCES:⁴

(Note: These criteria are intended to assist in the evaluation and selection process. Resources can be acceptable without meeting all of the criteria listed.)

Quality and Content

Credible source as indicated by:

- Content peer-reviewed by experts in the field.
- Produced as part of the mission of a national or international organization.
- Developed by an academic institution or commercial enterprise with an established reputation in topical area.
- Resource is indexed or archived electronically (if appropriate).

Importance of resource as demonstrated by availability:

- Resource is available from or pointed to by multiple Internet sites.
- Database or document is reproduced in multiple formats (print, online, CD-ROM, etc.).

Content is comprehensive or unique:

- Resource is known or can be shown to cover subject area well.
- Information would likely be unavailable to clients otherwise.
- Resource is full text.
- Internet version of the resource is the most current.

Content of Internet version is complete or meets client needs:

- Internet document or database mirrors that available from other sources or in other formats.
- If the timespan or the content of the Internet version of the resource is limited, the resource is still of use.
- Because of subject area, increased demand is likely in the future (e.g., health care reform).

The resource stays current through regular updates or demonstrates ongoing maintenance.

⁴ (adapted for U of M from Guidelines for Internet resource selection by Gregory F. Pratt, Patrick Flannery, and Cassandra L. D. Perkins, C&RL News, March 1996)

http://www.umanitoba.ca/libraries/media/422_Internet_materials.pdf

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Appendix 1.2

Relevancy

- Resource is related to teaching and research programs of the University of Manitoba.
- Library personnel or client recommended resource.
- Access is provided by other local institutions or major universities.
- Usage data indicate client interest or demand.

Ease of Use

- If a logon sequence is required, it can be scripted or automated for clients.
- If searchable, searching is similar to that of other available Internet resources.
- If a unique interface is used, the resource is of sufficient importance that client access is still worthwhile.
- If needed, user help files or resource description files are readily available.
- The amount of user support required from Reference Desk or LETS Help Desk is minimal or acceptable.

Cost and Copyright

- Any subscription or access costs are reasonable and justifiable.
- It is simple to comply with restrictions on duplication or dissemination of information from the resource.

Hardware and Software

- Providing access requires little or no change in existing or planned hardware and software resources.



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Copyright Information

Selecting Web Sites for Cataloging

Selecting Web Sites for Cataloging

Ad Hoc Committee On Digital Access: Final Report (1998)

" Access should be provided to electronic information created, purchased or acquired contractually by the library. Access to electronic information which is not created, purchased or acquired contractually (eg. free web sites), should be provided when selected by a subject selector."

<http://www.lib.virginia.edu/cataloging/policies/local/digital.html>

Guidelines for Selecting Web Sites for Cataloging

1. The site must be relevant to departmental teaching and research.
2. Its content should be scholarly, clearly organized, and easy to search.
3. It should be maintained and up-to-date, and largely complete rather than under construction.
4. Emphasis should be on sites offering full content rather than partial summaries of content.
5. Sites with password requirements should not be cataloged.

Cataloging Request forms

<http://www.lib.virginia.edu/cataloging/policies/forms/web-req.html>
(Everything except serials)

<http://www.lib.virginia.edu/cataloging/policies/forms/web-ser.html>
(Serials only)

Cataloging contacts

Electronic cataloging in general: Erin Stalberg, stalberg@virginia.edu; 982-2854

E-journals: Deej Baker, dbc@virginia.edu; 924-4958

E-journals (backup): Cary Coleman, rcc6qa@virginia.edu; 924-3288

(These guidelines reviewed by Collections Group July, 2004)



Cataloging Services

SEARCH VIRGO CATALOG



GO TO VIRGO DATABASES

help us grow | home | general info | services | collections | subject guides | index | QUESTIONS?

- About the Cataloging Services Department
- Request, Maintenance and Statistics Forms
- Policies and Procedures
 - Cataloging Procedures Manual
 - Class Archives
 - WorkFlows Tips
 - Reports
- Catalogers' Resources
 - Serials / Periodicals

Library Cataloging Request Form

for Adding Free Serial Internet Resources to VIRGO Online Catalog

Library Collection Selectors: please use this form to add **serial** titles for Internet resources to the library's online catalog. Serials selected should be full-text and not require the use of individual passwords, etc.

All fields should be filled in with the exception of those labelled optional.

Bibliographic Information:

Title

URL:

Licensing:

Full text holdings begin with:

Relevant Comments (optional): Include such things as availability of print, etc.:

Selector Information:

Selector's Name:

Email Address:

Phone:

 |

Coordination of Electronic Journal Activities
Urban campuses and Pullman campus
April 28, 2006

SUBSCRIBED TITLES

Vancouver – because of the volume of electronic journals,

- Vancouver will license, process and make links available in Griffin to their electronic journals. Linking will be done through the III Electronic Resource Management module.
- Vancouver will notify the SFX KnowledgeBase manager* in Pullman of new titles for inclusion and activation in SFX. The information needed is the title, ISSN, dates of coverage and who has access. This will provide linking from source databases as well as listing in the SFX electronic A-Z list.

Energy Library, Spokane and TriCities - Because of the small number of electronic journals dealt with at these campuses, Pullman Collections and Technical Services unit will handle activation/registration, Griffin linking, and SFX activation.

Procedure:

- Campus will purchase and license
- Send an Electronic Product Purchase Request form prominently marked with your campus name

<http://www.systems.wsu.edu/bin/libdocs/librarians/E-PurchaseRequestForm.doc>

to Serials and Electronic Resources (SER) unit acquisitions staff person** along with copies of any documentation about the title. This might include license, terms of agreement, relevant emails, contact information for technical support and customer service.

- The Electronic Product Purchase Request form will be processed with a top priority according to our usual work flow.
 - SFX will be activated to provide linking from source databases and inclusion in the SFX electronic journal list
 - Resource and license records will be created if needed
 - Links will be added to Griffin via ERM
- SER will notify the purchasing campus when the title is available in Griffin

FREE TITLES

All campuses send Electronic Product Purchase forms to Pullman SER acquisitions staff person for processing. We automatically add free titles from the following suppliers:

Bioline

<http://www.wsulibs.wsu.edu/TSD/ejournalprocedures4-28-06.doc>

BioMed Central (journals with complete free full text not just selected)

Directory of Online Access Journals (DOAJ)

EMIS

Highwire

Internet Scientific Publications

JSTAGE

National Academy Press (eBooks)

PubMed Central

Scielo

University of California Press Free (eBooks)

**Chris Benson as of 2006

*Janet Chisman as of 2006