

E-resource Request Processing Procedures

Electronic Resources: New Purchase Requests
Revised 10/2007 - DRAFT

PRs for new e-resources are initiated through an online form at <http://www.lib.ku.edu/~staff/elecinfo/EIpurchase.shtml> which generates an email to elecres@ku.edu.

Angie Rathmel and Rachel Miller are primarily responsible for checking elecres daily for new requests, and for creating the initial SHER record. Gaele Gillespie and Carol Jeffries serve as back-ups.

SHER entry:

- If database, under the database title
- If ejournal, under the publisher name

First steps, who will handle:

- If a new license or license amendment is required, Rachel either handles directly or refers to Gail Underwood [see separate Licensing workflow document]
- If no licensing is required, Angie goes ahead and orders. Rachel alerts Angie to any special circumstances (e.g., connection with other product; consortial angle; if vendor needs to be someone other than database provider; shared payment complications).
- If the requested e-resource is in any way related to a pre-existing membership or package or group order, or any unusual complication involving pre-existing print orders, Angie/Rachel will consult with Gaele, and as needed Gaele will handle the order.
- Some e-resources Rachel will order herself after negotiating the license to avoid another hand-off.
- In general, ejournal requests are handled in the same way as any other new journal purchase request, except
 - License may be required
 - Vendor choice is affected by vendor of pre-existing orders for titles from the same publisher

Licensing

- Gail and Rachel are the license negotiators
- Rachel will evaluate incoming purchase/activation requests that require licenses, and decide whether to handle directly or refer to Gail. Since Gail works 50% for RLDC, the main criterion in the decision is whether Gail has time.
- The PR may come in with the license linked or attached. Sometimes all that's available online are end user terms and conditions and it is necessary to contact licensor to obtain an actual institutional license.
- Negotiator reviews and revises the license against KU guidelines
- Revised license is emailed to KU General Counsel (our assigned contact is currently Lisa Hoebelheinrich) for review
- Revised license incorporating any changes from KUGC is emailed to licensor

- Typically, licensor responds that they cannot accept all changes, and negotiations begin
- Gail and Rachel will discuss any unusual technical or business requirements and bring them to the attention of appropriate staff.
- Turnaround time expectations:
 - route the modified license to KUGC **within __ days** of the purchase request
 - route the KUGC-approved license to licensor within __ days of its return by KUGC
- Progress in license review/negotiation should be recorded in SHER license tracking section.
- Emails are maintained in the appropriate folder in elecres
- Once the negotiations are complete and agreement reached, the license is signed by KU's designated signatory, Mary Roach. Two originals are signed and FedEx'd to the licensor.
- At this point, it is usually OK to notify Angie or whoever to proceed with order and payment. In some cases, licensor will not allow order until license process is complete. In other cases, KU will want to make sure license is fully-executed before proceeding.
- Status of license continues to be monitored until an original final fully-executed license (signed both by us and them) is returned by licensor and filed in license files, in its own special RED folder. All relevant documentation is filed alongside.
- Elecres folder is moved to the public folders
- SHER is updated with license terms.

Ordering a database

Whoever is responsible for a particular database order will:

- enter the necessary information about the request into SHER as soon as possible.
- create a brief bibliographic record in Voyager for the title(s) requested (either "temp order record" to be overlaid with OCLC record, or "perm order record" when the product is a non-bibliographic entity)
- create the PO/Line Item
- confirm any missing information with the provider, e.g., price, simultaneous users, etc.
- place the order [turnaround expectation: order **within 2 days** of all info received?]
 - Send vendor: PO#, KU IP range, FTE if required, our understanding of the price (including whether 1-time or ongoing), billing address
 - If shared payment, consult with Lois/Rachel re billing requirements
- stay in touch with vendor until order has been confirmed, access activated, and a working access URL provided
- When access confirmed [timeframe expectation: within 1 day], send "ready to catalog" email to Margaret Wilson/Judith Emde, with
 - URL
 - Blurb and descriptors from EIPR
 - Number of simultaneous users

- BibId of temp/perm record linked to PO
- It is understood that the usual licensing terms apply (i.e., unlimited simultaneous users and access for Lawrence and Edwards) unless Rachel/Gail have provided information to the contrary.
- Update SHER with:
 - bib ID number and PO number
 - purchase order number, order date, and renewal date; access information including product URL; and vendor contact information
- Update Voyager with notes, e.g., re pricing structure, payments, etc.
- place in U:/ERWorkflow/Ejournal spreadsheets any list provided by vendors of ejournals included in packages

Cataloging a database

- Margaret Wilson/Judith Emde are responsible for database entries in the OPAC and Databases A-Z
- Margaret catalogs on Voyager/OCLC
- Margaret/Judith upload to Databases A-Z? or key entry?
- Judith notifies Jill of URL so that ezproxy config file can be updated (unless was already done at the stage of database trial)
- Update SHER
 - Make sure entry is same as in Databases A-Z
 - Add cataloging date
 - Update access URL in SHER if a different one is being used
- Judith notifies library staff that the resource is available, via an email message to kulib-l.
- Somebody is taking Judith's message and adding it to the Service Desk blog??

Database payments:

Primary responsibility for database resource payments belongs to Lois Bauer.

Database invoices generally arrive addressed to the Electronic Information billing address or via email to elecres@ku.edu.

Lois will evaluate the first invoice in consultation with order staff to make sure that

- Product is the correct product
- Billed amount and coverage is what we agreed on

Rachel is primarily responsible for monitoring funding info in incoming EIPRs and communicating appropriate when additional/different info is needed in the order or payment process.

- Sometimes the funding identified in the EIPR is not complete or correct.
- Resources under \$2000 normally go on Subject Fund EI subfund, above \$2000 on EIF – but there are exceptions
- When a new resource goes on the EIF, typically a new fund is created

- The money that goes into this new fund may need to be transferred from a subject fund, or from RDC Special Allocation funds, or a combination
- Often the first payment for a resource is a combination of 1-time and ongoing and the 1-time funding is different from the ongoing funding.
- The payment may need to be shared with another KU agency; grant or KUEA funds may be involved.

Ejournals

- Order same as any other journal
- Use POLI to record online access information
- Monitor status of order until activation has been confirmed
- Update SerialsSolutions profile from Not Tracked to Subscribed [if publisher not listed in SS, ask SS to add]
- Notify bibliographer that requested title is available in ejournal search
- Payment is handled same as for any other journal (Lois, Sarah)
- Under publisher entry in SHER, list the titles covered

Electronic Resources: Renewals
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Primary responsibility for e-resource renewals belongs to Lois Bauer.

E-resource renewal invoices generally arrive addressed to the Electronic Information billing address or via email to elecres@ku.edu.

These invoices are handled in the same way as other renewal invoices, to the extent possible. They are reviewed with the following questions in mind:

- Is coverage consistent with previous invoice's coverage? (E.g., if previous payment covered July 2002-June 2003, we'd consider it a problem for invoice in hand to cover Jan-Dec 2003.) If not, Lois will contact the vendor/publisher to find out why and to get corrected invoice.
- Is the billed amount reasonable (e.g., within 5-10% of previous billed amount)? If not, Lois will contact the vendor/publisher for clarification. If the large price increase is not a mistake, the steward will be notified (with a cc to Susanne Clement and elecres) and given a deadline for making a decision, based on renewal/payment due date and expiration date.
- Is the invoice for the correct product (e.g., web vs. CD-ROM), or does it offer new subscription options, or include additional titles besides those we've ordered, or unexpected additional charges? As needed, Lois will seek clarification from the vendor/publisher and/or refer the matter to the steward (with cc to Susanne and elecres) for a decision.
- Is the product under consideration for upgrade, migration, or cancellation? The steward or bibliographer is responsible for notifying Acq/Serials (usually email to Lois or Gaele or Rachel) if any status change is being considered. Platform migrations and product upgrades are typically handled in elecres. However, the information must be added to the Voyager PO line item note to alert Lois and be taken into account in the renewal process. Upon arrival of the renewal notice/invoice Lois will communicate with the steward, with cc to Susanne and elecres, with a deadline for decision based on payment due date and subscription expiration date.

Some publishers/providers do not automatically send renewal notices or invoices. To avoid loss of access to their e-resources, "nudge" mechanisms have been created to help identify products that are due to expire and for which an invoice must be requested. If one of these products is noted in Voyager as being under consideration for cancellation, Lois will consult with the steward before requesting a renewal invoice.

Some renewals require additional steps:

- New license or license amendment may be required: referred to Rachel/Gail
- New FTE or other information required for calculation of the renewal price. The source of the data provided for previous renewals should be documented in SHER or Voyager. Questions are referred to Rachel/Gaele.

- Signed renewal form required in order to generate invoice: Lois will sign. Exception: If the document makes reference to licensing terms, refer to Rachel/Gail.
- If funding for a product is shared with another KU agency, with consortial partners, or requires an increased Endowment fund allocation, Lois will consult appropriately before making the renewal payment.



E-Resource Ordering

Prior to ordering an E-Resource product, the initiating selector should arrange for a test of the product. There are certain things that have to be done regarding tests. The procedure is outlined below:

1. Notify your Collection Development Group Leader, the Electronic Resources and Copyright Librarian, and the Collection Development Council. See if they are aware of any consortia negotiations currently under way regarding this product.
2. Discuss any problematic license provisions with them, and also notify them of the conditions of the test. If the test requires that a license of any sort be signed, that has to be treated as a contract and approved by the University Purchasing Office. Yes, this is true even if it is a test and even if it is free.
3. If this is not a web-based product, you will also need to meet with the appropriate people in DLT and I-Tech to explore and finalize the technical aspects of implementation. Probably the easiest way to contact them would be to send a [Help Ticket](#) (Intranet).
4. Notify Deb Richner of the test and request that the test information be posted on the Test Databases. If the product is not web-based, it may not be possible to make it available on the Test Databases page. Specify a deadline for when the test information should be posted on the Web site. Provide the following information:
 - Name and URL of the product
 - Product description
 - Any restrictions on who can participate in the test
 - Relevant passwords, user ID's and other login information
 - Contact information so selectors can send comments or request additional information
 - Deadline for the end of the test
5. Send a message to All Selectors distribution list notifying them of the test. Request feedback by a specific date.

Acquiring an Electronic Product

Once a product test is over, the appropriate selector should evaluate the results. If they are favorable, the selector should contact the [Electronic Resources and Copyright Librarian](#), who, depending on the circumstances, may do the negotiating or may also delegate at least part of that task to the selector. If a product provides access to individual monographic or serial titles, the vendor should be consulted about the availability of MARC records that can be loaded into The CAT to facilitate access to the resource.

If the negotiations end satisfactorily, a copy of the license (with any changes noted), final price, and name of a contact at the vendor should be forwarded to [Becky Albitz](#), the Electronic Resources and Copyright Librarian, for approval. If approved, this documentation will be initiated and forwarded to [Jaime Jamison](#), Electronic Resources Specialist. Jaime will work with Heather Benner to verify funding. These individuals will work with the Libraries' Budget Office and the University Purchasing Office to finish any final negotiations and get the order processed.

The Electronic Resources Specialist will notify the selector when the URL has been activated. In cases where sets of MARC records are supplied as part of the purchase, the Bibload Working Group will be notified to initiate the loading of the records into The CAT. Cataloging will also be notified so that the appropriate collection-level bibliographic record can be added to The CAT. Once a selector has the URL, she/he should complete the [E-Resource New Database Request Form](#) so the database can be added to the E-Resource List (A-Z). A notice should also be sent out via email to [all selectors](#) notifying them that access is available. The information on the agreement will be made available via [ERLIC2](#) the Electronic Resources License Information Center.