

# **TECHNIQUES FOR ELECTRONIC RESOURCE MANAGEMENT**

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TERMS and the  
Transition to Open

**JILL EMERY  
GRAHAM STONE  
and PETER McCracken**

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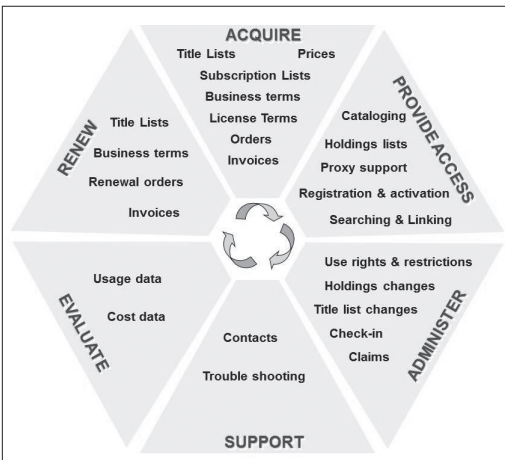
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# 1

## What's New with TERMS

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**T**echniques for Electronic Resource Management (TERMs) began in 2008 as a basic framework to help library workers become more familiar with a lifecycle of electronic resource management. Our initial vision expanded upon Pesch's electronic resources cycle and focused on the day to day activities of electronic resource management (see figure 1.1).



**FIGURE 1.1**  
Pesch's Electronic Resources Lifecycle<sup>1</sup>

The first iteration of TERMS (see figure 1.2) consisted of:

**TERMs 1:** Investigating New Content for Purchase/Addition

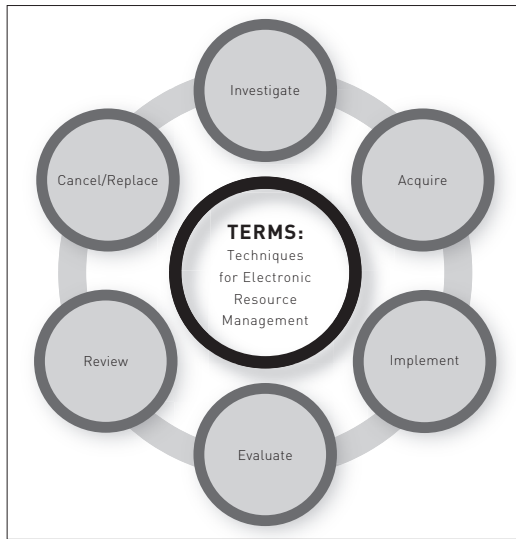
**TERMs 2:** Acquiring New Content

**TERMs 3:** Implementation

**TERMs 4:** Ongoing Evaluation and Access

**TERMs 5:** Annual Review

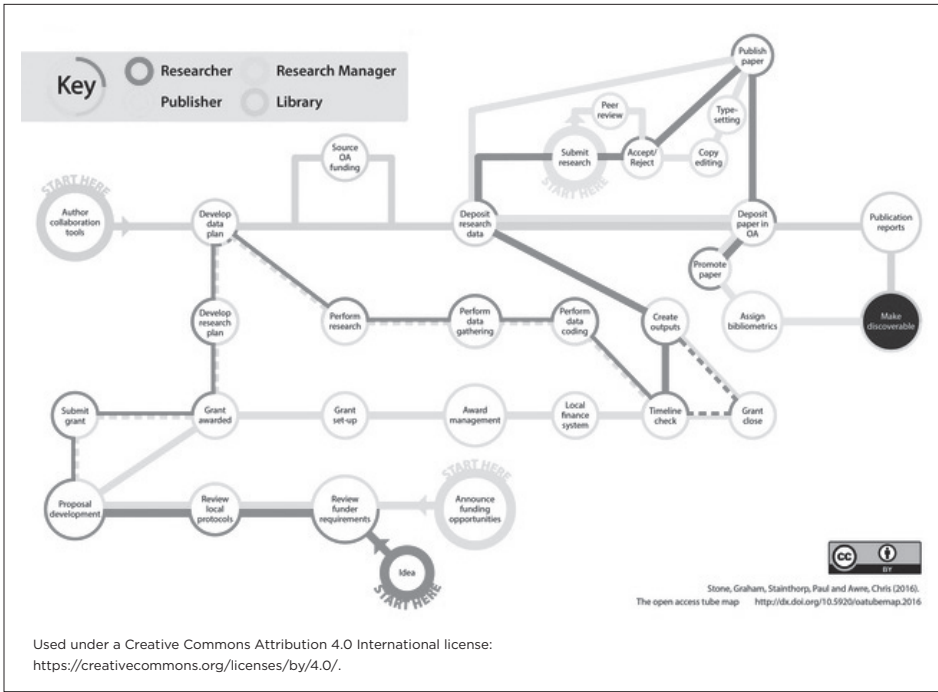
**TERMs 6:** Cancellation and Replacement Review<sup>2</sup>



**FIGURE 1.2**  
TERMs Version 1

We then moved on from TERMS and created a new framework around open access resource management in libraries, which we called Open Access Workflows for Academic Librarians (OAWAL).<sup>3</sup> We explored ways in which open access management could be folded into traditional library practices, and this was the subject of a presentation at a SPARC conference in 2014.<sup>4</sup> As OAWAL developed, we began to recognize overlaps between electronic resource management and open access workflows. Our work with Chris Awre and Paul Stainthorp on the HHuLOA project (Hull, Huddersfield and Lincoln Open Access) led to efforts to map OAWAL onto TERMS (see figure 1.3).<sup>5</sup>

From the collective continued work in this area and with feedback from others on the initial TERMS project, we determined the timing was right for a revised framework that reflected the changes to the lifecycle that have developed over the five years since the initial version of TERMS was published. In



**FIGURE 1.3**  
 OA Tube Map<sup>6</sup>

order to help us achieve this goal, Peter McCracken joined the writing team. We decided to rebrand this version TERMS 2.0. As with the first version of TERMS, we are publishing a definitive version, this time as an open access monograph. However, the TERMS blog will live on and we very much welcome feedback from the community to keep the development of this project fresh.

## Influence of TERMS

One of the most heartening things learned after the initial publication of TERMS was how it was incorporated into library and information science teaching and learning, particularly in the United States. There are two specific cases of note. TERMS has been used as a framework in classes on electronic resource management at the University of Wisconsin Library and Information Science (LIS) program as well as being utilized as a unit in the Master's of Library and Information Science program at the University of Illinois.<sup>7,8</sup>

In addition, the framework of TERMS has been incorporated into national electronic resource management conversations and software based on the TERMS framework has been developed.<sup>9-11</sup>



Three key publications produced in the past few years make direct reference to the work of TERMS: *Fundamentals of Electronic Resource Management*, *Reengineering the Library: Issues in Electronic Resource Management*, and *Electronic Resources Librarianship: A Practical Guide for Librarians*. The work of Verminski and Blanchat provides an excellent base of information on the management of electronic resources and highlights many of the issues that have arisen since the initial TERMS project began.<sup>12</sup> *Reengineering the Library: Issues in Electronic Resource Management* highlights major issues and concerns surrounding the area of electronic resource management occurring in libraries, from the management of knowledge bases and metadata to staffing for troubleshooting access issues to the management of openly available resources.<sup>3</sup> Talbott and Zmau's book refers to the initial iteration of TERMS as the "most definitive version of the e-resources life cycle," and provides a nice roadmap for the first three months of someone starting a new job as an electronic resources librarian.<sup>14</sup>

## Intention

In an attempt to bring together TERMS and OAWAL, we acknowledge that the framework has to be more flexible than originally conceived. With the advent of OAWAL, we made an attempt to warn against siloing digital management work outside of the traditional technical services roles within organizations. We noted that much of the staffing and work of digital library management and electronic resources in particular is comparable, and we are not alone in this opinion.<sup>15</sup> Having a firm grasp of scholarly publishing models; licensing terms for access, utilization, and reuse; administrative and descriptive metadata management; knowing where to look to resolve problems and issues; and figuring out how to preserve and maintain content digitally are all issues that the two working groups in a given organization have in common. Putting half the group into another office or another building, and not creating shared policies and practices, results in a false dichotomy or separation of work within an organization (see the Audience section later in this chapter). We hope this expansion of TERMS allows for the recognition by more administrative bodies and personnel that this is shared work undertaken by these management areas. Ultimately, all of the work is scholarly output, whether published by a commercial provider or through a local repository.

## Structural Updates

This version of TERMS adheres to our original matrix of six constituent parts:

- Investigating new content for purchase and addition
- Acquiring new content

- Implementation and troubleshooting
- Ongoing evaluation and access, and annual review
- Assessment
- Preservation and sustainability

These six topics are further broken down into at least six sections.

However, both the content and structure of each section underwent fundamental changes. The initial writing and publication of the TERMS project centered around the need to draw together disparate areas of library resource management into the electronic resources lifecycle. In 2008, we felt that electronic resource management as a specific area of library expertise was lacking in current practice, and relatively few libraries had implemented systems to manage this growing area of resources. The first iteration of TERMS focused on management of electronic journals and database subscriptions.

Around the time of our publication, e-book purchasing models were maturing; since then, the use of streaming media as a resource has grown, especially in North America.<sup>16</sup> Many colleagues noted that e-book management was not addressed in the initial iteration of TERMS. In the past five years the acquisition models for e-books have developed, changed, and become commonplace.<sup>17</sup> This version of TERMS considers the varying purchasing models currently available to libraries and this is a significant change in content. Day-to-day electronic resource management means working readily across these different types of purchasing models. Streaming media options present a similar issue. The new and different challenges that must be addressed with streaming media purchases are almost always based on licensing access as opposed to obtaining ownership of streamed content.

Another area that is more defined in this version of TERMS centers on the deal-breakers and negotiation techniques to use with licensing resources. Feedback from those initial communications with the library community and U.S. workshops informed us that this was a prime take-home from the content for many. The year after publication of the first version of TERMS, a key model license in North America was revised to include new issues and concerns developing around patron privacy, data-mining, and more robust user definitions.<sup>18</sup> For this version of TERMS, we spent considerable time reviewing notes from the past five years to develop a revised list of deal-breakers and to outline some of the techniques for pricing negotiation received as feedback from the community.

One area that was not anticipated in the conclusion to the first version of TERMS was the advent and growth of electronic resource troubleshooting as an area of expertise.<sup>19</sup> Although we recognized at the time there were going to be access issues and problems to resolve, the depth and extent to which this now takes up staff time and resources are quite significant. For this reason, we took troubleshooting and expanded it into its own chapter.

The framework stays agnostic on a specific tool but hopefully provides an overview that can help inform the tool adopted and used in a local environment.

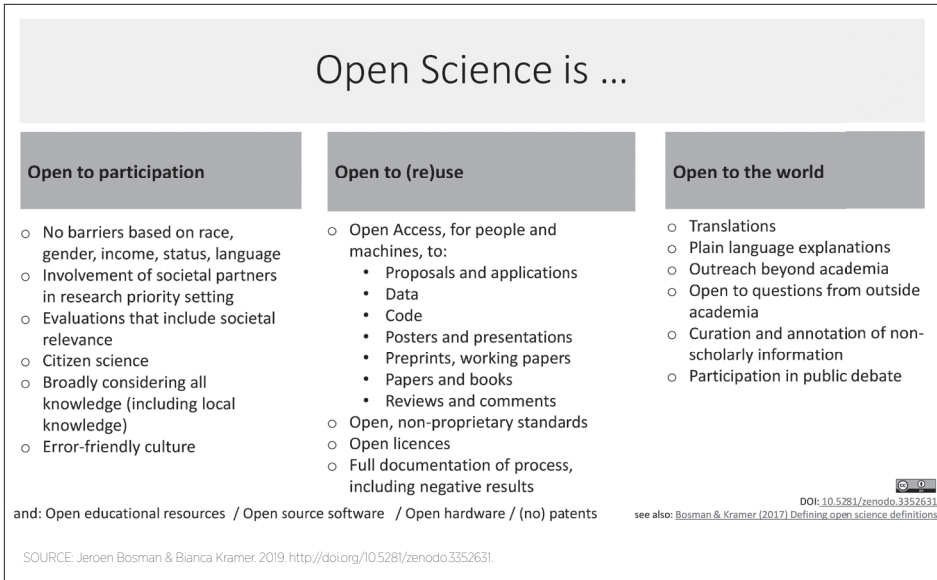
The other major change to have occurred in electronic resource management is the growth and inclusion of open access content. There are now over 13,500 peer-reviewed OA journals listed in the Directory of Open Access Journals (DOAJ), 4,000 open access repositories listed in the Directory of Open Access Repositories (OpenDOAR) and approximately 19,000 open access books listed in the Directory of Open Access Books (DOAB).<sup>20</sup> In addition, there is more open content developing as the European Union pushes for greater openness with the scholarship these countries produce as part of the Open Science agenda. Bosman and Kramer define open science as content that is open for participation, open for (re)-use, and open to the world.<sup>21</sup> (See figure 1.4.) The most recent initiative around this is known as “Plan S,” which was initiated and launched by the cOAlition S, a consortium involving more than a dozen national research funders in September 2018.<sup>22</sup> After consultation, revised implementation guidance followed in May 2019, which will fulfill its main principle:<sup>23</sup>

With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.<sup>24</sup>

Even before the guidelines were released, the Wellcome Trust in the United Kingdom launched its new open access policy (already under review at the time of the Plan S announcement), which is the first Plan S compliant policy and will come into effect in 2021.<sup>25</sup> It should be noted that cOAlition S is not just a European initiative. The Wellcome Trust and the Bill and Melinda Gates Foundation announced their membership of cOAlition S in the same press release, noting that “the Gates Foundation will also update their Open Access policy—which is already broadly in line with the principles of Plan S—over the next 12 months.”<sup>26</sup>

In what is a very fast-paced environment, an article by Johnson goes some way to explain the rhetoric that occurred in the two months after the initial announcement.<sup>27</sup> This will surely have a profound effect on electronic resources management.

Notwithstanding Plan S, to say there has been an explosion of open access content in the past five years is a bit of an understatement. Although developments around open access content streams were recognized at the onset of OAWAL in 2015, it is true to say that the impact that this content model would have on library workers and libraries was never fully grasped.



**FIGURE 1.4**  
Open Science Is . . .

Open access has had profound effect on collection management and the negotiation of content licenses. If there are no strategies to address open materials, a growing tide of content from throughout the world would be ignored. While much of the current emphasis for a transition to open access journal content has come from Europe, the focus in North America has been on the development of open educational resources (OERs) and material used within classrooms as a way to defray student costs.<sup>28–30</sup> In addition, recognition must be given to acknowledge that the Global South started a decade earlier than Europe in their transitioning to open access content.<sup>31</sup> As these developments grow out of academic institutions, many academic folk are starting to realize that there are other avenues of openly available content to consider alongside OERs. In the United Kingdom, open textbooks offer an excellent example.<sup>32,33</sup> Within this book, we will not talk much if at all about OERs as those tend to develop and reside somewhat outside the framework we have created. However, there are a few places within the framework where we approach or talk about considerations that could be applicable to work with OERs.

A further change is the merging of two of the original sections of TERMS: Ongoing Evaluation and Access and Annual Review, into a single chapter. When converting the original version of TERMS into a series of workshops, these two sections were almost always combined in order to maintain the flow. In this iteration of TERMS, it seemed a natural progression to combine the two into a more coherent section. This allows further development of the

chapter originally titled Cancellation and Replacement Review. This chapter has now been expanded considerably to cover assessment of e-resources, including usage statistics, cost per download and return on investment and other bibliometrics, which were covered briefly in the previous version of TERMS.

The merging of two chapters and the expansion of the assessment chapter also allows the inclusion of a completely new section that arose from a suggestion in a conversation with Liam Earney of Jisc in the United Kingdom. It was brought to our attention that a missing step in the workflow is that of preservation and continuing access after the cancellation review. However, this is only one aspect of preservation and sustainability and the new section also discusses the need to develop a preservation plan as part of the collection management and development policy. This includes choosing what to preserve, such as the weeding of e-books, the need for good metadata to aid the discovery of preserved material, preservation options for material that could otherwise be lost due to the “catastrophic failure” of a publisher or aggregator and the requirement to have an exit plan after cancellation review results in leaving the big deal.

As with the original published version of TERMS, the publication of TERMS 2.0 as a monograph will have the effect of fixing it at a given time. However, e-resource management will continue to evolve as new products, formats, and models come and go. For example, streaming media is still a relatively new concept and resource to manage. The transition from traditional legacy subscription models to an open access landscape in the medium (journals) to long term (monographs and textbooks) is still ongoing and naturally will have an impact on resource management workflows. In the short term, exit strategies for the big deal and using open access as a viable alternative are still required. At the time of writing, this is still a difficult process to fully automate. The introduction of COUNTER 5, and further developments of non-traditional bibliometrics will also have an influence on how electronic resources are assessed. Although covered in the following chapters, these areas are further discussed in the conclusion and will be developed as part of the TERMS blog, which remains an ongoing project.

## Audience

We want this book to be available to everyone in a given organization. This is part of the reason for publishing the work open access.

Although some libraries or institutions have a single member of staff or team to manage the entire workflow, many organizations have one set of people who select resources, another set of people who acquire and license material, another set of people who implement resources, and yet a different set of people who analyze resources. Furthermore, there may be a completely

different open access team and in some cases this team may not be based in the library at all.

Our hope is that this book can help each group understand each of these processes. We hope that an individual tasked with only one aspect of this work can recognize how to use the framework to their advantage to make that individual's own daily activities more efficient and find ways to evolve as new content streams emerge and are added to their processes. Not only does understanding the process in the broader context help to develop a greater appreciation of the work of each individual and what their contributions are to providing content to a given community, there is a genuine opportunity to make efficiencies in the various processes by working together more effectively. In addition, a greater understanding between subscriptions teams and open access teams may also help an organization save money by auditing publisher processes and making sure that discounts negotiated by one team are realized by others. This is especially important for the subscriptions team as we see a transition to open access publishing—the unchecked rise in article processing charges may be the next big negotiation point.

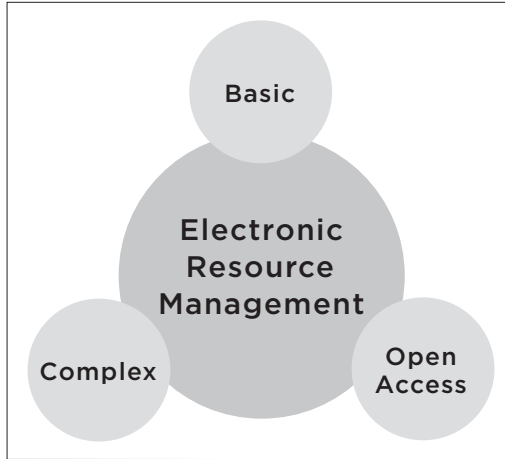
We have also written the book in a way that students in LIS programs can grasp the concepts provided and processes described in order to understand how the framework works overall.

## Design

We designed the book to work on the Pareto Principle.<sup>34</sup> This is the idea that 80 percent of the work is invested in 20 percent of the content managed. The majority of the resources we subscribe, purchase, license, or provide access to are not problematic or difficult overall. Most electronic resources and digital assets take very little time and interaction to put into place, access, and promote for use. However, any given resource may become problematic at any stage of management. Given this, we have divided the six TERMS into six categories and within the six categories divided this further into three parts. The three parts within each given section are (see figure 1.5):

**Basic resources**, or standard resources, are those electronic resources that are relatively straightforward to administer and manage. These represent the 80 percent of the content where a librarian's time is used efficiently to manage the resource. We see no specific relationship between the cost of an electronic resources and the time taken to administer it. Very large aggregated databases may be fairly easy to set up and manage and still be costly, for example.

**Complex resources** are the difficult and detailed electronic resources that constitute the other 20 percent of content but take up the majority of a librarian's time to manage. These may be inexpensive resources.



**FIGURE 1.5**  
Subdivisions of TERMS Sections

For example, resources that are not primarily targeted at the educational market. However, time is also money, and therefore time spent on these resources can quickly lead to them being very expensive to administer. Complex resources also include large multifaceted resources, which include a number of different elements such as large offsetting or “read and publish” agreements.

Unfortunately, we seldom know if an electronic resource will be “basic” or “complex” at the beginning of the selection, negotiation, licensing, and acquisition process. Furthermore, a resource may be easy to negotiate and license, but may be very difficult to manage when you are trying to get usage statistics for it, for example. Through this work, we will try to identify ways of managing those complex resources and minimize the work that must be invested to make them work.

**Open access** workflows can often be seen as entirely separate workflows or a set of add-on processes. However, this view fails to recognize some important points. Firstly, open access content is a critical set of content, in the same way as paid-for content. As such, it should be exposed to the same level of scrutiny as any other part of the library’s collection, management, and development policy. Secondly, open access resources also need to be implemented, embedded, monitored, and ultimately withdrawn just as would any set of resources. Finally, subscription and open access content is intrinsically linked in offsetting or read and publish agreements. These transformative agreements are increasingly becoming the norm as noted above regarding the launch of cOAlition S.<sup>35</sup>



TERMs 2.0 will present different ways OA content can be efficiently and effectively incorporated into the library electronic resources management workflow.

This book can be used in a number of ways. It can be read cover to cover to provide an overall picture of the framework. However, readers can also skip from section to section in order to find the information that is directly related to their work and process. This will be particularly helpful for those who have been asked to take on new responsibilities. For example, if someone who has worked on basic resources is being asked to take on more complex agreements, or if someone who looks after electronic resources is being asked to take on management of open access material, that individual can focus their reading on the relevant sub-section, i.e., complex or open access. In this way, we hope to have provided some ready paths for readers to follow to get more directly to the content they feel will be most helpful to them.

The lifecycle moves through the topic areas of: investigation of new content, procurement and licensing, implementation, troubleshooting, evaluation, and preservation and sustainability. Each section delves into each topic from the point of view of many voices and tries to present a cohesive sense of major themes within each subsection through the tracks of basic, complex, and open access realms.

We conclude by discussing what we see as significant developments and emerging initiatives. We think this is a successful framework when working with all online material within your library environment.

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