Yale University Library e-book study

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Background

The commercial marketplace of e-books is rapidly evolving and expanding, having lagged for many years behind the development of online journals and related e-resources. There is a complex range of ebook product offers coming from publishers today in terms of pricing; purchasing arrangements (direct purchase versus using a book vendor; collections versus individual titles); usage data (or the lack thereof); licensing agreements (leasing versus purchase); MARC record provision (or the lack there of); and variable access to these resources on e-readers and newer devices, such as the iPad.

Daniel Dollar, as Interim Head of Electronic Collections, in consultation with Ann Okerson, AUL for Collections and International Programs, proposed conducting a study to review these developments in order for the Yale University Library to more effectively address collection development and management of e-books. Julie Linden, a selector with interest and experience with e-resources was asked to conduct the study with the charge as stated in the introduction. Julie was assisted in the study by Holly Zerbe, a National Library of Medicine Associate Fellow who was working at the Cushing/Whitney Medical Library under a one-year practicum placement.

Introduction

The charge for this e-book study was as follows:

> The study would include three components: (1) a review of the practices of a small number of selected peer institutions; (2) a review of the Yale Library's current practices; and (3) recommendations for online book selection, acquisition and description, with specific attention to improving the existing workflow. Selectors, acquisitions, e-collections, and cataloging personnel would be consulted in writing the review. The review should also include a summary of the library's e-book acquisitions and licensing arrangements. The review will culminate with a white paper that presents methodology, findings, and recommendations; this paper will be circulated throughout relevant YUL groups and individuals.

Yale University Library acquires e-books in a variety of ways: in multi-title packages, either leased or purchased; and via firm-order individual title purchases, through our US/UK approval vendor, and directly from other vendors or publishers. We learned that New York University Library and the University of Toronto Library have approached e-book acquisition differently from Yale, with constraints on acquisition options that may streamline workflows but may also limit available content and usability of that content.

In interviews with Yale University Library staff, we heard common themes:

- There is a lack of clarity about the distribution of responsibility among units and libraries for e-book acquisitions and cataloging tasks
- E-book policies and procedures are not consistent, not documented, not publicized, and not rationalized
- Workflows differ among libraries
- Because tasks are often assigned to individuals, rather than groups, there are many opportunities for workflow disruptions

This report's recommendations focus on streamlining existing workflows and improving internal communications, while keeping YUL's e-book acquisitions options open. However, this report does not recommend specific changes in staff or unit responsibilities, nor does it attempt to completely redesign workflows. While such changes are necessary, they must follow from a broader consideration and reconfiguration of technical services operations for electronic materials. This report's primary recommendation, therefore, is that the roles and responsibilities of Sterling Memorial Library's technical services departments, of the school and departmental libraries' technical services departments, and of the e-collections department, in regards to e-books, **must be clarified**, **documented, communicated broadly, institutionalized, and appropriately staffed.**

Review of selected peer institutions

We contacted librarians at New York University, Stanford University, University of Toronto, California Digital Library, and the University of Chicago; only NYU and Toronto responded to our request to schedule a phone interview.

New York University (Angela Carreño, Head, Collections Development)

NYU's e-book selection and technical services processes are streamlined because they have deliberately limited their options; they select individual titles only through GOBI and make all e-books (whether obtained in packages or as individual titles) available on the ebrary platform. All ebook packages are negotiated to provide access on both the publisher's platform and the NYU ebrary platform. Yale has not seriously considered such an approach, instead YUL has pursued a similar path with e-books as was taken with e-journals, purchasing or subscribing to content on vendor and publisher supplied platforms, including ebrary further, the ebrary interface leaves much to be desired (comments from Yale faculty and students support this assertion). Where Yale could emulate NYU is in a more deliberative, strategic, documented approach to transitioning to e-books from print. NYU's e-book strategy document is included in Appendix A of this report.

University of Toronto (Caitlin Tillman, Head, Collection Development; Warren Holder, Electronic Resources; Weijing Yuan, Digital Collections Librarian)

The University of Toronto has successfully implemented "local load" for several e-book packages deals, meaning that the e-books are purchased, loaded onto UT servers, do not have DRM technology that would prevent access at any point, and are discoverable through both the library catalog and the locally-developed Scholars' Portal interface which accesses e-book content on an ebrary-powered platform—similar to NYU's approach. UT's major challenges with e-book packages are reducing duplication with print and determining appropriate cost-share among campus libraries. Their strategy for tackling these

challenges is to approach publishers with the aim of purchasing all available e-book content and the option to selectively purchase print; and to determine historic per-campus print spend on that publisher's books in order to establish a fair e-book cost-share. Title-level book selection is done only through Coutts, and the books are available, with DRM, on the Coutts MyiLibrary site and not in the UT Scholars' Portal. Titles may be single use or multi-user. Over the past two years, 200-300 individual e-books were purchased through Coutts, mainly in the sciences, but selectors are overall not comfortable with the constraints (DRM, differential use pricing) and prefer the Scholars Portal "local load" approach. Toronto does not have a workflow for buying e-books that are not available either from packages or from Coutts. Toronto's advice to us was to "keep options open" in terms of dealing with vendors, to not put all our eggs in one vendor basket. That has certainly been Yale's approach since we began acquiring e-books; our challenge is how to streamline workflows while maintaining the many options.

Review of Yale Library's current practices with recommendations for online book selection, acquisition and description

Yale University Library staff interviewed for this study

- Selectors: Andy Shimp (Engineering & Applied Science) and Greg Eow (American & British History, American Studies); additional input from Julie Linden (Political Science, International Affairs, and Government Information)
- SML Acquisitions: Susan Tucker and Anna Gutswa
- SML Cataloging: Matthew Beacom
- Technical Services outside of SML: Patrick Butler (Science Libraries), Anne Myers (Law Library)
- E-collections: Daniel Dollar

Selection practices

The selectors we consulted have not transitioned to an "electronic-preferred" approach for monographs. Instead, decisions about acquiring an e-book rather than or in addition to a print book are taken case by case. Factors influencing selectors' decisions include:

- Specific faculty requests for electronic versions (typically for reserve readings).
- Selector's determination that an e-book will be more useful for students than a print edition (again, typical for reserve readings).
- Ease of selection/acquisition/activation—if acquiring the e-version seems potentially more difficult or time-consuming, selectors may choose to acquire print. Selectors' perceptions of "ease" or "difficulty" here can be influenced by their understanding, or lack of understanding, of "who does what" within the workflow.
- Availability of an e-version. YBP's GOBI system makes it easy to determine whether a title is available in an e-version (on the ebrary or Netlibrary platforms). It can be more difficult to determine e-version availability if the title is not in GOBI or if a different platform is desired.

- Duplication across formats. In light of the past two years of collections budget constraints, with a mandate to avoid duplication of materials, selectors struggle with the question of how best to avoid duplication across formats and when an exception to this rule is appropriate. Selectors report anecdotally that students sometimes specifically ask for print editions; users may be in a transition period and not ready to abandon print for e-books. In other cases, a selector might prefer an e-version, but purchases a print edition because the e-version is not available in a timely fashion (although YUL may well acquire the e-version later). Two examples to illustrate:
    - Oxford University Press sells subject-based "uploads" of e-books, but the titles in those "upload" bundles have typically already been released in print (sometimes several months earlier than the online version is released), and YUL has already acquired the print titles.
    - Springer's e-book package is typically acquired by YUL near the end of the fiscal year, but it contains titles released early in the year.
- Platforms. Selectors have heard from faculty and students that they dislike both the ebrary and NetLibrary platforms, which are the only platform options from YBP. So while YBP may be the easiest and fastest method for selecting e-books, it does not necessarily yield preferred options.

E-book packages present some different issues for selectors:

- E-book packages that are one-time purchase expenditures are good candidates for end-of-year spending, but can be difficult to plan for. For example, because the Science Libraries acquire so much content through NERL, and NERL invoices are often paid late in the fiscal year, the Science Libraries are particularly challenged to plan and budget for potential end-of-year e-book package purchases. The necessity of license review and the compressed end-of-year timeline also pose challenges to spending funds on packages at the end of the fiscal year.
- E-book subscription packages can pose problems when vendors make unfavorable changes. Selectors may be faced with the choice of continuing to fund a package whose terms or platform or content may have become unfavorable or less attractive, or cancelling the subscription and therefore effectively withdrawing thousands of titles from the collection.

Selection recommendations

- Users may be in a transition period, but budgets do not allow us to support both print and e-formats extensively. When can/should we judiciously duplicate, and when do we choose one format over the other? Some selectors may be comfortable making these decisions, but the issue is worth a CoDGeR discussion and some documented and publicized guidelines (much like the guidelines CoDGeR issued early in the print-to-e journal transition).
- Charge a task force to examine and report on e-readers and e-book platforms, to inform selectors about options. The product of this group's work would be a summary of benefits and features of various platforms (e.g., number of simultaneous users; platform dependence/independence; download/print capability, etc.) The summary should be revisited at least once a year to keep up with trends in the marketplace, to allow selectors (and by extension, users) to experiment with emerging competitors to established platforms.

- Going forward, pay attention to potential duplication with the Law Library, and as necessary, develop strategies for addressing it. Although Anne Myers indicated that the Law Library doesn't not yet have a critical mass of e-books, duplication with Law across print and e-formats, and eventually duplication of e-books, is likely to be an issue in the future and will be especially hard to ascertain and manage across two separate ILS's.
- E-collections should establish an end-of-year deadline for submitting licenses for review (much as acquisitions establishes an end-of-year calendar, distributed to selectors, for requesting vendor codes, placing orders, etc.).
- CoDGeR should schedule e-book package decisions (such as Springer) early enough to facilitate avoiding unwanted duplication across formats.
- This report's main recommendation—"The roles and responsibilities of Sterling Memorial Library's technical services departments, of the school and departmental libraries' technical services departments, and of the e-collections department, in regards to e-books, **must be clarified**, **documented, communicated broadly, institutionalized, and appropriately staffed"**—will create efficiencies in selectors' work. Not only will selectors be clear about whom to contact with e-book questions and problems, but will also not undertake tasks that are more appropriately handled elsewhere in the workflow, such as requesting cataloging.

Acquisitions practices

As noted in the introduction, e-books are acquired in packages (purchased or leased) and by individual title firm orders (some through YBP's GOBI system, some directly from another vendor or publisher).

Packages

Because YUL has been acquiring e-book packages for several years, and because each package typically translates to a single order (although possibly involving multiple fund codes), acquisitions practices and workflow for packages appear to be well-understood by selectors and staff involved. The process is not, however, trouble-free.

Generally, SML Acquisitions creates orders and pays the invoices for packages. Selectors must identify and communicate to SML Acquisitions the funds to be committed. There can sometimes be a significant time intervals between the decision to acquire the package, the creation of the purchase order, and the invoice payment. The reasons for such delays are not clear. Such delays can complicate fund management for selectors and for school/departmental library acquisitions units.

In Orbis, there is a disconnect between e-book titles and e-book package purchase orders, which makes it impossible for staff to resolve acquisitions-related questions about these titles. Purchase order records for e-book packages are linked to summary bibliographic records that identify the package, but do not identify the individual titles associated with the package, and individual bibliographic records for each book title loaded into Voyager are not linked in any way to the purchase orders.

Title-level selection through YBP's GOBI

E-books on the ebrary and/or NetLibrary platforms are available for selection in YBP's GOBI system. These selections are processed by acquisitions staff in SML and in school/departmental libraries, depending on which subaccount the selector chooses in GOBI's "Order Details" screen.

Subaccounts are not only location-based, but are also format-based; in other words, e-books are ordered on a different subaccount from print books. Selectors may not be aware of this, may be choosing the incorrect subaccount for their e-book orders, and therefore may be introducing an extra step for acquisitions staff.

Appendix B to this report includes e-book workflow documentation provided to us by SML acquisitions staff and by Patrick Butler (Science Libraries). Rather than replicate those workflows in a narrative here, we highlight some noteworthy aspects:

- Despite using the same vendor system, SML Acquisitions and school/departmental library acquisitions units have different workflow for ordering e-books. For example, SML uses an automated EOD/EDI ordering process, while the Science Libraries do not.
- The ordering process involves several people and steps that could perhaps be streamlined. The more individuals involved, the more opportunities there are for tasks to fall through the cracks or for communications failures; we heard several examples during our YUL interview. To illustrate with a few aspects of the workflow: Acquisitions Assistant Madhu Luthra reviews all the GOBI selections and forwards the e-book requests to Anna Gutswa; Anna checks the e-books license status with Daniel Dollar, who confirms the existence of a signed license on file and confirms that the order can proceed. Notification of e-book activation (with a URL) is e-mailed from YBP to SML acquisitions staff; for orders originating from school/departmental libraries, the information must be forwarded from SML to the school/departmental library.

Title-level selection outside of YBP/GOBI

For e-books not available through YBP/GOBI, pricing and licensing information must be obtained from the vendor and the license must be approved before the order can be placed. Our YUL interviews revealed that responsibilities for these tasks are not clear, that practices vary among selectors and technical services staff, and that determinations of responsibility are not rationalized.

Confusion about task responsibilities is compounded by the fact that some aspects are centralized (e.g., license review) while others are not (e.g., ordering, payment), and by the fact that fund codes originally designed for location-based print materials are historically applied by staff in those location-based acquisitions units—a legacy procedure that no longer makes sense for electronic materials.

Recommendations:

- Determine how e-book acquisitions tasks are best distributed among staff. **This decision must be made before the remaining recommendations can be implemented.**
- Ensure that the staff who are tasked with e-book acquisitions responsibilities have the necessary permissions across all YBP accounts that they may need to access (in other words, do not let the segmentation of YUL's YBP profile into different accounts dictate e-book ordering workflow or staff assignments).
- Review, revise, update, and consolidate where possible *all* e-book acquisitions workflow documentation. Procedures for SML and for school/departmental libraries should be uniform; exceptions must be clearly justified. Responsibilities for tasks should be clear and must be institutionalized in actual work practices. Documentation needs to be made available in a *single SharePoint* directory (not scattered across different units' directories) to all selectors, acquisitions staff, cataloging staff, and e-collections staff.
- Establish system of tracking orders that is accessible to all staff so that it is easy to identify where each order is in the workflow. This can help facilitate the workflow by making sure each step is being handled in a timely manner and help prevent orders from falling through the cracks.
- Assign procedures and tasks to groups, not to particular people and verify that everyone in the group is familiar with each event that triggers the next step in the workflow and is relevant to them. This ensures backup when the primary staff person is not available to perform the task, and also helps prevent documentation from getting out of date.
- Similarly, communications, both internally and with vendors, should be at the (small) group level, not at the individual level. An email to a single staff person can unnecessarily delay order or receipt of an e-book, if the email is not received or acted upon for whatever reason.
- Create licensing documentation that can be consulted before an order is placed, so that orders are not delayed by having to consult a single person for approval when a signed license is already on file and could be verified by up-to-date, accessible documentation.
- Allow for flexibility in payment from fund codes that were created in an age of location-bound collections. Review, revise, document, and communicate the policy and procedure on payments.
- For e-book packages, adopt the automated method recently devised to link titles in e-resource packages back to the package purchase order. Using a spreadsheet that lists every e-book in a given package, Systems Office staff would populate suppressed bibliographic records with the titles and ISBNs. Acquisitions staff could then search for individual e-book titles and easily identify the related purchase order and invoices.

CATALOGING

Individual e-books cataloging workflow:

While both SML and school/departmental acquisitions staff notify Kathryn Trotti in CMS of e-books to be cataloged, they take different approaches. SML acquisitions staff create a brief record and send the request for cataloging (with the brief record bib ID in the request).School/departmental acquisitions units often search OCLC for copy, import a record, add a MFHD, and create a PO record. They then send a

request for cataloging—although sometimes this step is omitted and there have been instances of e-books that have not been completely cataloged until discovered at a later date. Kathryn Trotti receives the request, finds the existing record and adds very little to the record, a 590 note, a tweak to the link text in the 856, etc. Sometimes Kathryn has more work to do; the record that was brought in from OCLC may not be a good match, for example. However, the school/departmental acquisitions staff has done most of the work to catalog the record (when there is OCLC copy) before handing it over to Kathryn.

For e-books ordered through GOBI, YBP provides a full cataloging record to overlay the brief order record. Acquisitions staff are notified about the availability of the full record and forward the information to Kathryn Trotti so that she can update it according to YUL standards.

Recommendations:

- All acquisitions staff should create only a brief record (i.e. not import an OCLC record) and then sending the cataloging request to Kathryn* (with the brief record bib ID in the request). This approach makes the work for the acquisitions assistant easier and sends the cataloging work to a catalog assistant who does this work frequently, has a strong background for problem solving, and is the right person to decide about triage to an original cataloger if there is no existing copy for the e-book in OCLC. This approach would also unify the workflow for all library units, thus cutting down on confusion, errors, and gaps in communication.

  *As per the recommendation in the acquisitions section above, tasks should be handled by groups, not by individuals. Even if Kathryn continues to be the primary person handling this task, the request should be sent to a group to ensure backup.

- Request that YBP provide records that are tailored to YUL's specifications, so that no fields have to be modified by YUL staff.
- Request that YBP also notify designated cataloging staff (in addition to designated acquisitions staff) when full records are available, so that acquisitions staff do not have to forward the information to cataloging.

Packages

While ideally every e-book package would come with high-quality MARC records that are loaded to Voyager in a timely fashion, the reality is more haphazard. MARC records are not always available; they may be available but are not included in the price of the e-book package and therefore require a separate expenditure; they may be of poor quality and not suitable to load into Voyager. Further, there is no clearly established workflow for ensuring that available MARC records are pursued; there are instances of e-book packages for which MARC records are available but are neither loaded into Voyager nor, it appears, have been sent to Cataloging for evaluation or to Systems for addition to the record load queue. For example, records for Yale dissertations within the ProQuest Dissertations & Theses are apparently free to us (http://www.proquest.com/en-US/products/dissertations/marcrecords.shtml); MARC records for Casalini Libri's Editoria Italiana Online are included in the product cost (personal communication with Casalini representatives), and it appears that many records for EIO e-books were loaded at one point, but

that updates have not been done (see recent publications from this EIO catalogue spreadsheet: http://eio-yale.casalini.it/inc/scelta_catalogo.asp).

Currently, responsibility for determining MARC record availability and requesting evaluation, purchase or loading lies with individual selectors (see workflow here: http://www.library.yale.edu/ito/eresource/eresourceform.html). Because selectors are not responsible for identifying MARC records for any other materials they select, this anomaly for e-books may not be known to all selectors (particularly new selectors), is not well-justified, and can result in YUL's acquisition of e-book packages without any pursuit of corresponding MARC records.

Recommendations:

- While selectors should certainly ask their vendors about MARC records for e-book packages, the other tasks involved should be routinized within acquisitions and cataloging.
- For every package, acquisitions should record the availability of MARC records in a way that is findable and interpretable by staff in other departments, including selectors and systems.
- Review all existing e-book packages (whether purchase or subscription) to determine whether MARC records are available, already loaded into Voyager, and up to date. Create a spreadsheet on SharePoint documenting the results. This spreadsheet should be linked to or integrated with the "e-resource record load" spreadsheet, which needs to be updated (see **www.library.yale.edu**/~lso/databaseadmin/eresource/E-resourceRecordLoadQueue.xls). Both files should allow selectors, acquisitions and cataloging staff, and systems to determine the status of the records for any given e-book package.
- Once the reclamation process is complete and batch record loads into Voyager can resume, the Production Systems Team should announce that to all staff, review the pending load requests, discuss timeframes with selectors who have made those requests, and make transparent the process for setting priorities.

Ideally, e-book package MARC records would be available from a third party vendor, the way that e-journal package records are now available via Ex Libris MARCit! and Serials Solutions. Contracting with such a vendor to provide records for titles in our e-book packages would allow us to streamline workflows into a single process with a single contact. Such an e-books service does not currently exist, but YUL should take opportunities to push this issue with both third party vendors and e-book publishers. In the meantime, the preferred way to obtain MARC records for e-books is to acquire them directly from the vendor or from OCLC, as part of the e-book contract and price.

Appendix A: NYU e-book strategy

Appendix B: SML e-book workflow, Electronic Resources Workflow for Science Libraries, and Science Libraries E-book Ordering Checklist (draft)

What is the NYU Platform?

NYU purchased the its own platform from ebrary. Currently that platform resides in California and is managed and maintained for NYU by ebrary. Regardless of location, this server is NYU's own and the content is secured for NYU, ebrary's role is solely to provide assistance to NYU with this platform. At a later date the server may move to New York and be locally managed and maintained, a change that should not be at all noticeable to our patrons or vendors (beyond ebrary), regardless of any impact on local workflows.

Why an NYU Platform?

- Open for indexing by search engines
- Full text searchability across publishers and platforms
- Ability to create a browsable virtual reference space (and potentially other collections)
- Because our platform offers a spot where one technical solution can apply to all ebooks things like annotation sharing, citation software, hooks out to social networking are more easily addressed
- Platform proliferation as an obstacle to efficient delivery
- Potential of middleware (umlaut) as delivery mechanism (integrates with OpenURL as well as other sources like Google Books, Internet Archive and, potentially, our platform)
- Having files for the books we purchase seems to be a step in the direction of thinking about preservation (although non-local solutions LOCKSS/PORTICO may be preferable)
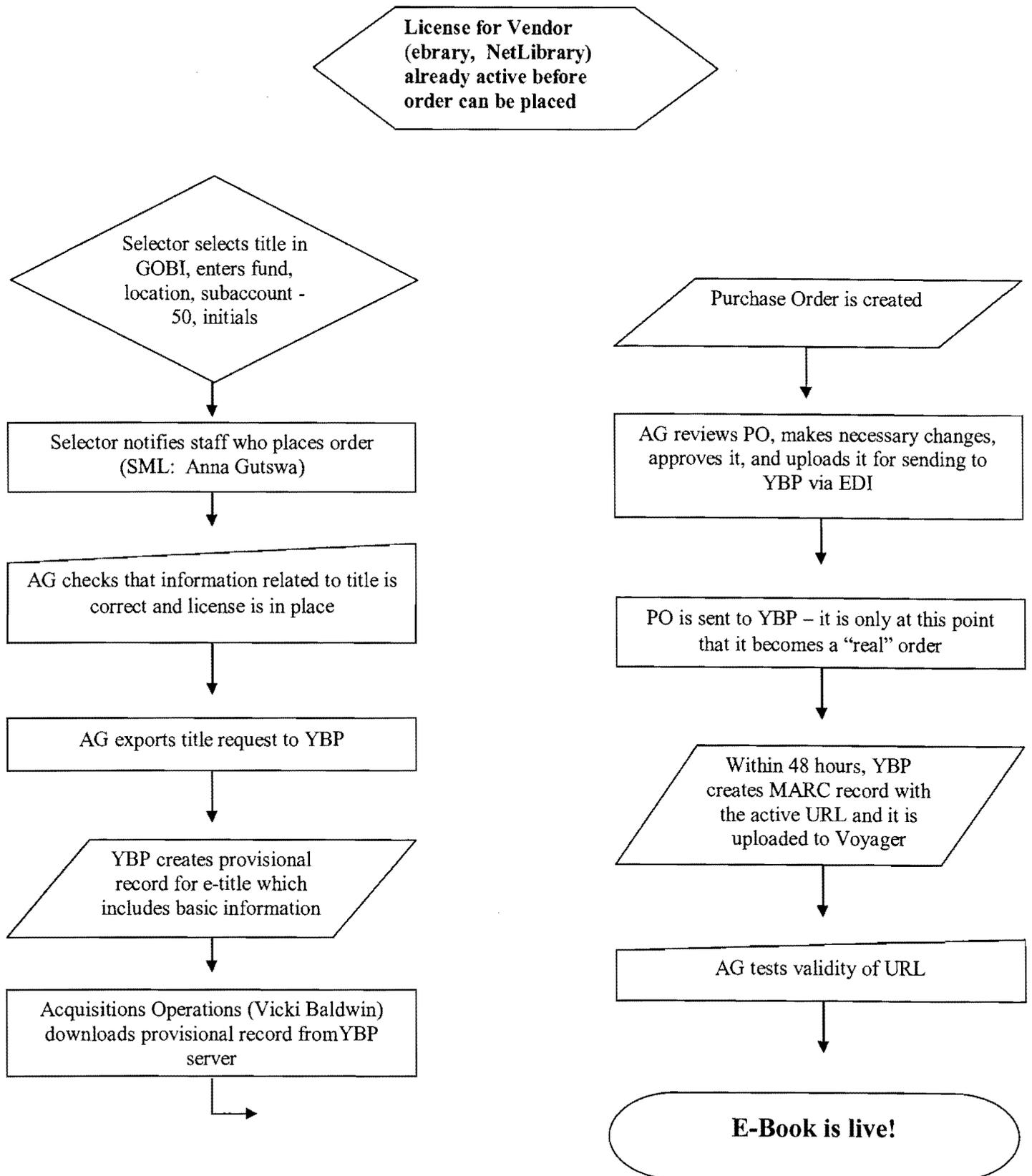
Why maintain access on publisher platforms?

- Integration of journal and ebook content
- Discovery through SFX and citation linking (as the publisher's url is likely to be the norm)
- Open for indexing by search engines
- DRM is sometimes less strict on publisher sites than on other sites (including our platform)
- Publisher supplied MARC records link to the publisher site
-

Why vendor (YBP) involvement

- Avoid all duplicative purchasing on electronic books (to include an NYU-wide and possibly, in the future, a wider consortial perspective)
- Control duplication of formats (print and online)
- Potentially negotiate discounts for print when the electronic access has been purchased
- Maintain option of harnessing selector expertise – to choose individual titles, to make format decisions
- MARC records – invaluable for discoverability, should be quality and free
- Need for streamlined and customizable invoicing (especially when cost-sharing among the institutions libraries or among consortial libraries is involved)
- Need for streamlined processing of MARC records – best if the issue of quality control can be solved once and then record processing can be automated

Typical e-Book workflow through YBP / GOBI

License for Vendor
(ebrary, NetLibrary)
already active before
order can be placed

Selector selects title in
GOBI, enters fund,
location, subaccount -
50, initials

Selector notifies staff who places order
(SML: Anna Gutswa)

AG checks that information related to title is
correct and license is in place

AG exports title request to YBP

YBP creates provisional
record for e-title which
includes basic information

Acquisitions Operations (Vicki Baldwin)
downloads provisional record from YBP
server

Purchase Order is created

AG reviews PO, makes necessary changes,
approves it, and uploads it for sending to
YBP via EDI

PO is sent to YBP – it is only at this point
that it becomes a "real" order

Within 48 hours, YBP
creates MARC record with
the active URL and it is
uploaded to Voyager

AG tests validity of URL

E-Book is live!

E-book Workflow @ YUL: From Selection to Access

Step	Who	What
1. Identify e-book to be purchased	Selector	Obtain bibliographic information about the item: *title, author, edition, publisher, ISBN (eISBN), price* If contacted by a vendor, request e-book information and pricing be sent to you, then follow the steps below.
2. Determine e-book usage needs	Selector	Considerations: ▪ Will e-book be leased (via aggregator) or purchased? ▪ Is single-user option acceptable if multi-user not available? ▪ If not, will multiple copies of the e-book be ordered?
3. Send request to Acquisitions	Selector	Contact your Acquisitions Unit: **@ SML: use E-Resources Order Form, or select in Gobi** http://www.library.yale.edu/ecollections/neweorders.html
		@ School & Departmental Libraries Email your local acquisitions contact with this information: *bibliographic info, usage needs, vendor, price & fund code*
4. Pre-order activities	Acquisitions	Check Orbis for duplicates. Contact vendor to request a copy of the licensing agreement or terms & conditions statement applicable to the e-book. Forward the licensing agreement (or terms & conditions statement) by email to E-Collections / License Review Team. email: license-rev-libr@panlists.yale.edu
5. License Review	E-Collections	Read & review terms of licensing agreement. Verify technical requirements, terms & conditions. As needed, negotiate license terms to comply with YUL standards. Once approved (if approved), contact Acquisitions staff person to confirm that license has been cleared and the order may proceed.
6. Order e-book	Acquisitions	1. Create preliminary bib & holdings records (suppress both). 2. Create & Approve Purchase Order to submit order. 3. If working directly with vendor, provide PO #, & request invoice.
7. Receive e-book	Acquisitions	1. Receive e-book URL from vendor via email ("notice of activation"). 2. Test URL to verify accuracy & active status ("order fulfillment").

		3. Mark PO "Received" and forward invoice to FST or local contact to be paid.
8. Catalog E-Book	Acquisitions & Catalog Mgmt Team	Acquisitions staff contacts Catalog Management Team and forwards active URL for e-book. Catalog Management Team updates bib record to full-level record, adds the active URL and un-suppresses the record. CMT also processes changes to MetaLib. When e-resources require original cataloging, requests are forwarded to a member of the Original Cataloging Team.
9. E-book Troubleshooting	Selectors, Reference Librarians, Anyone... E-Collections	Report problems or technical difficulties with e-book to E-Collections Troubleshooting Team for investigation & resolution. email: e-resprob@mailman.yale.edu

E-Book Questions?

Need help...	*Contact:*
Initiating an order for e-books?	Your local Acquisitions expert (if ordered locally), or Anna Gutswa (anna.gutswa@yale.edu) Electronic Resources Specialist, Order Support Team Susan Tucker (susan.tucker@yale.edu) Manager, Order Support Team
Inquiring about the status of an e-book order?	Your local Acquisitions expert (if ordered locally), or Anna Gutswa (anna.gutswa@yale.edu) Electronic Resources Specialist, Order Support Team
Ordering an e-book using Gobi?	Vicki Baldwin (victoria.baldwin@yale.edu) Interim Acquisitions Operations Manager
Comparing e-book terms, licenses, platforms, offers?	Lisa Carlucci Thomas (lisa.thomas@yale.edu) Digital Collections Librarian, E-Collections
Reviewing new or updated licenses?	License Review Team email: license-rev-libr@panlists.yale.edu
Reporting an e-book problem?	E-Collections Troubleshooting Team email: e-resprob@mailman.yale.edu

Electronic Resources Workflow for Science Libraries

This document outlines steps for acquiring and managing online resources (databases, reference tools, continuing education software, e-books).

1. Announcements of new products:
	a. Funneled to appropriate subject selector. Consider types of resources that may need directing in different ways (cross-subject product vs. specific subject product)
	b. If the subject selector who receives the announcement believes it to be of multi-disciplinary nature, that selector will contact appropriate selector(s).
	c. Information about a package of resources, wherein the department may have a stake in the package decision is sent to the director, who coordinates department's examination of interest, options, and understanding of overall institutional implications of the proffered package.

2. Communication among staff about product:
	a. Initiated by the subject selector, or the director for resources of departmental interest. If the product requires additional funding support, the selector will consult with the director.
	d. Consider suggesting expensive resources as consortial deals. The selector informs Kim Parker for NERL polling.
	c. Consider suggesting cross-disciplinary resources to CoDGeR for potential central funding. Notify CoDGeR representative Andy Shimp.

--Decision point--
	Assumption is made at this point that enough interest in the product has been determined to warrant further action.

3. Trial activations:
	a. Done by the selector in communication with vendor.
	  --If a trial requires a license, request license for review or send Yale generic license (follow license review, below).
	b. The selector notifies Andy Shimp to create a MetaLib record.
	c. The selector announces the trial(s) to YULIB-L (for public trials) or SELECT-L (for staff-only trials).
	d. The selector (as appropriate) advertises to academic departments and sends information to the director for posting on the science libraries website.
	e. For a YUL home page news notice of trial, notify Library Communications (Geoffrey Little) and/or local website news producer.

Note: Steps 4 and 5 should be undertaken simultaneously. A decision not to order may occur either because the product is unsuitable or the license cannot be successfully negotiated.

4. License review:

a. The selector requests copy of license from vendor if this wasn't done at time of trial request. Option to send copy of Yale generic license (long: http://www.library.yale.edu/ecollections/licensing/genLong.doc or short: http://www.library.yale.edu/ecollections/licensing/genShort.doc).

        b. Send to license-rev-libr@panlists.yale.edu for review. c. When language is all negotiated, Electronic Collections will arrange necessary signatures. E-Collections staff will fax and mail the license to the vendor; a copy will be returned to the selector.

        c. E-Collections keeps a copy in the official license file. It will be scanned and summarized for purposes of informing readers of permitted uses.

5. Product assessment:

        a. Done by the selector; includes many considerations including archival options http://www.library.yale.edu/ecollections/ereschecklist.pdf. Gather feedback from colleagues and academic departments.

        b. The selector will ask the vendor about various issues designated as important on http://www.library.yale.edu/ecollections/vendorcontactproc.html.

        c. If product requires unusual technical items (unique plug-ins), the selector consults with ILTS WW&DCS.

        d. The selector negotiates with vendor on price, features, packaging, deadlines for improvements without which discounts come into play, etc. (Note, who does this again may be dependent on type and nature of product under consideration).

        e. If the vendor supplies MARC records for individual items in the product, contact e-res_list@mailman.yale.edu to consult about the records.

        f. If analytic records are needed and vendor does not offer [quality] MARC records, the selector consults with Metadata Services about cataloging options. Options may include MARC record sets available from other sources. If no solution, consult with the director.

--Decision point--

        Assumption is made at this point that decision to acquire has been made. If not - unit must decide whether it wishes to keep records of negative decisions and who will record such where if so.

6. Ordering/Cataloging:

        a. After verifying that the license has been approved, a fund is assigned by the selector, or the director for products of departmental interest.

        b. The selector considers suggesting cross-disciplinary resources to CoDGeR for present or future central funding.

        c. For subscriptions, the selector considers placing the order through a subscription agent in order to reduce paperwork and improve monitoring.

        d. The selector completes the online form for appropriate staff to create a catalog and acquisitions record. (See Science E-Book Task Force proposal. Until the form is available, contact Patrick Butler).

        e. Designated technical services staff create an acquisitions and catalog record. Staff follow normal procedures for creating an acquisitions record for a monograph or serial and identify the resource as electronic while selecting the fund. If the purchase

includes both a one-time fee and an annual platform or maintenance fee, the staff member creates separate order records for each type of fee. For details on ordering e-books, see the e-books check list.

f. The selector notifies the vendor of purchase decision -- can be through printed PO or via phone, email, or fax. Particular attention should be made to designating with vendor the appropriate YUL contact person for bill-to, for technical issues, and for content/interface update information. If MARC records are being ordered for individual analytic titles of a product, the selector should take care to ensure this additional component of the order is transmitted with whatever needed invoicing instructions have been specified to ensure appropriate funds can be used.

g. The selector or designated technical services staff registers via web page (if necessary)

h. The selector or designated technical services staff supplies IP information to vendor (http://www.library.yale.edu/ecollections/IP.html).

7. Recording administrative information.

a. At the time an acquisition record is created, designated technical services staff record in a note field any administrative information such as account number and administrative password. In the future, administrative information will be recorded in Verde.

8. Notification of activation / Publicity

a. Vendor sends the selector activation information and URL

b. The selector adjusts default interface setting (if interface is adjustable). Consider whether SFX linking (into or out from) is a desired object, and consult with Electronic Collections about implementation.

c. The selector notifies acquisitions staff to change the status of the Orbis record from "on order" to "received."

d. Andy Shimp creates MetaLib page (or revises trial page)

e. The selector places links on webpages as appropriate (Note: Recommendation for most links to point to MetaLib link for easy maintenance.)

f. The selector announces to YULIB-L or other departmental list as appropriate

g. The selector (as appropriate) advertises to academic departments and reports to Andy Shimp for Science Imprint newsletter and David Stern for website news.

h. For a YUL library home page news notice, the selector notifies Library Communications (Geoffrey Little) and/or local website news producer.

9. Invoicing/payments:

a. Invoice arrives and is sent to your library's financial assistant   for payment. Please see #14 below for renewal invoice procedures.

10. Instruction/help guides

a. Written by the selector if desired.

b. Linked on MetaLib record by Andy Shimp.

11. Ongoing maintenance:

a. IP address changes. Kim Parker notifies selectors if this happens via a SELECT-L message. The selector in turn notifies vendors of the revisions to our IP address list.

b. Service outages. The selector will contact vendor technical support. As appropriate the selector will post a message to YULPUB with the status of the problem. When there is a problem with a resource from a vendor from whom we have multiple products (SilverPlatter, OVID, etc.), the person who discovers the problem should place a call to the Electronic Collections Department

d. The selector proactively works with vendors as new issues and potentialities arise over time (e.g. SFX linking, branding, Metalib, etc.)

13. Usage statistics and assessment:

a. The selector requests stats from vendor

b. The selector contacts yulstats@yale.edu to have the usage stats added to the Web page: http://www.library.yale.edu/ecollections/access/UsageStats.html.

c. If statistics are transmitted instead of posted on a website, decide whether statistics will route through the selector or go directly to yulstats@yale.edu. If statistics can only be sent to general product contact, develop procedures for routing on to yulstats@yale.edu.

14. Renewals:

a. Renewal invoices are forwarded to the selector for approval.

b. The selector reviews the product, considering any usage stats or assessment, changes to licensing terms and the current number of simultaneous users. The selector then either approves the invoice for payment or cancels the subscription.

--Decision point--

Assumption is made at this point that decision to cancel has been made or that the product has died or been transmuted in some significant fashion.

15. Cancellation:

a. The selector communicates with vendor a decision to cancel.

16. Closure - product no longer available:

a. The selector notifies Andy Shimp to suppress MetaLib record.

b. The selector notifies a staff member who handles cataloging to suppress Orbis record.

c. The selector pursues archival guarantees and desired implementation of same.

E-Book Ordering Check List (DRAFT)

Selector

☐ Selector or appropriate staff member verifies availability and purchase options. See publisher list below for major e-book suppliers. Please indicate:
- ☐ Single book/one-time fee
- ☐ Single book/subscription (ongoing fee for content)
- ☐ Collection/one-time fee
- ☐ Collection/subscription
- ☐ Ongoing platform or maintenance fee

☐ Selector or appropriate staff member verifies pricing and assigns fund code(s).

☐ Selector or appropriate staff member verifies that a license has been signed. See below or contact Electronic Collections at license-rev-libr@panlists.yale.edu. If no license, the selector contacts the publisher for licensing terms and consults with Electronic Collections before proceeding with the order.

☐ Selector or appropriate staff member requests a purchase order from Acquisitions.

Acquisitions

☐ A purchase order is created and the selector is notified and supplied with the purchase order number.
- For a Single book or Collection/one-time fee
  - use one PO with a Firm Order type
  - use the fund code ending in Mono Mach Read
- For a Single book or Collection/subscription (ongoing fee for content)
  - use one PO with a Continuation Order type
  - use the fund code ending in Serials Mach Read
- Ongoing platform or maintenance fee
  - create a separate PO with a Continuation Order type for this fee
  - use the fund code ending in Serials Mach Read

Selector

☐ Selector or appropriate staff member provides the vendor with the purchase order number and completes the order.

☐ If the purchase is a collection, the selector or appropriate staff member determines if the publisher supplies MARC records (see publisher list below). If necessary, complete the form at http://www.library.yale.edu/lso/databaseadmin/eresource/eresourceform.html to request a MARC record load.

☐ When the item is turned on by the vendor, the selector notifies the Acquisitions staff.

Acquisitions

☐ Acquisitions staff receives the item in the purchase order if necessary and contacts Rowena Griem in cataloging.

Cataloging

☐ Rowena completes the cataloging of the e-book.

E-Book Publisher List (UNDER DEVELOPMENT—contact Andy with questions)

<u>**Blackwell ECHO**</u>
Scope: Do not use pending transition to YBP
Access:
Administrative username/password:
Ordering instructions:
Contact:
Fee:
Simultaneous user options:
Terms:
MARC records available:
License?:

<u>**Ebrary permanent access titles**</u>
Scope: Includes titles that are not part of ebrary's subscription-based collection.
Access: partners.ebrary.com
Administrative username/password: Username: yalestats/Password: nqpaHa
Ordering instructions:
Contact: Bryan Keane, bkeane@ebrary.com
Fee:
Simultaneous user options:
MARC records available:
License?:

<u>**Elsevier**</u>
Scope: Available individually or by subject package
Access: http://info.sciencedirect.com/content/books/ebooks/
Administrative username/password: none
Ordering instructions:
Contact:
Fee:
Simultaneous user options:
MARC records available:

<u>**NetLibrary**</u>

Scope: Books from a variety of publishers
Access: TitleSelect: http://extranet.netlibrary.com/titleselect/login.asp
Administrative username/password: Contact Kim Parker. She will set you up with an individual TitleSelect account (or a unit-general account if that's the way your unit prefers to operate).
Ordering instructions: Search TitleSelect and find the titles you want. Assign them to saved list. Inform Kim Parker.
Contact: kimberly.parker@yale.edu
Fee: 155% of list price for one-time purchase or list price plus additional 15% after first year.
Terms: Books can be checked out for 2 hours. If checked out, a book can't be used by another patron unless multiple copies have been purchased.
Simultaneous user options: Purchase multiple copies.
MARC records available: Yes

Springer

Scope: Reference works available for individual purchase; other e-books available by collection
Access: http://www.springerlink.com
Administrative username/password: none
Ordering instructions: Fax purchase order to Springer at (201) 348-4505.
Contact: Noella.Owen@springer.com
Fee:
Simultaneous user options: unlimited access
MARC records available: no
License?:   no license needed for one-time purchases

Wiley

Scope: Most or all Wiley titles are available
Access: http://interscience.wiley.com/
Administrative username/password: none
Ordering instructions: Send email with PO# to Mark Rothenbuhler. He will send invoice.
Contact: Mark Rothenbuhler mrothenb@wiley.com
Terms: Yale receives 17.5% discount off of the list price.
Simultaneous user options: Unlimited/no options
MARC records available: By request?
License?:   Completed