Collection Management and Development Policy Annexes
2016-2017

Annex A: Selection Criteria (General)

Content must be accurate, current, comprehensive, relevant and authoritative.

The following measures (where available), will be used to review new content offered or recommended to Jisc Collections alongside content specific criteria (Annex B). The results from each product review will be recorded in our Product Review Template. For renewals, the results of Re-negotiation or Cancellation Review will be used to inform the product review.

Whether Jisc Collections is assessing a new offer or the extension or renegotiation of a previous subscription, the offer from the publisher/supplier should be in line with the Negotiation Strategy agreed by the Jisc Collections Content Strategy Group at the start of each year. Annex C details specific circumstances where an offer will need to go through a formal Approvals Process. This process will take into consideration the assessment of the offer using the criteria outlined below.

A1. Pricing, affordability and value for money

It is essential that Jisc Collections' time and resources are well spent and that agreements have clear benefits for the institutions we serve. One of the primary benefits of a Jisc Collections agreement should be cost, and the content should be competitively priced in comparison to equivalent offerings on the open market. All proposals are expected to:

• Demonstrate best value for money with demonstrable discounts from the standard academic list price (wherever possible list pricing should be publicly accessible)

• Facilitate affordability, ideally pricing should be tiered by Jisc bands, which are predicated on funding flows into an institution as shown in the HESA data. Where Jisc banding is unsuitable, for example, resources of high relevance to a limited academic area, so that providers may benefit from increased market coverage products or services that apply alternative charging or licensing models may also be considered if it can be shown that the charging models offer value for money, and the metric/s used to calculate pricing are stable, transparent, and equitable.

• Jisc Collections will may undertake modelling to evaluate a new metric / pricing model and consult with the Jisc Collections Content Strategy Group or the wider community to ensure it is affordable and equitable. If no
consultation or modelling is required, Jisc Collections will internally evaluate the metric / pricing to establish if there are any large disparities between sums that would be paid by comparable institutions and if the metric applied will provide value to institutions.

- In addition, Jisc Collections will work with the provider to ensure the offer provides institutions with savings in the administration, evaluation and management of the agreement (MARC records, COUNTER Statistics, compliance with funder mandates) and / or actual demonstrable savings such as reducing the cost of a title or reduced APCs. Jisc Collections will also consider the wider additional benefits that models will offer to institutions, for example, institutional representation on governing boards or user groups supporting greater open access or worldwide standards adoption etc.

- Further discounts will be sought where appropriate. For example:
  - Multi-year commitments.
  - Discounts based on level of uptake or number of packages/options taken from the publisher/supplier.
  - Discounts in place at the national / consortia / subject consortia level.

- In the case of perpetual access agreements, new proposals or renewal proposals will be expected to detail both the one-off fee and any access and hosting fees to be charged. Opportunities for institutions to convert subscriptions into purchases (if so, we would expect a credit to be provided for the current year).

- Jisc Collections will assess whether fees compare to the nearest competitor.

- For multi-year agreements institutions should be able to cancel should they no longer be able to afford the agreement.

- For renewals, suppliers must justify any price increases. Price increases purely based on content expansion or enhanced functionality should consider the ability of institutions to afford any increases. Overall increase across the consortium will be compared to the prior year or previous agreement. This will be checked against pricing objectives.

A2. Initial assessment of the provider and the product

The provider should display an understanding of the sector, that the content meets the UK academic levels and subjects at which it is directed and that the functionality of the product supports use within teaching, learning and research. Jisc Collections will check the following:

- Whether the content has remained static, or whether a significant amount of content has transferred out of the offer to an alternate publisher, aggregator or collection.

- The content is not available online openly at no charge elsewhere or whether it is included in an alternative product such as an aggregated collection.

- If UK based, is the provider registered in Companies House?

- The provider may be asked to provide evidence of financial and economic standing, for example information on their overall turnover for the last three financial years as specified in Regulation 60(6)(c) of the Public Contracts Regulations.
A3. Content relevance

Jisc Collections seeks content of high relevance to education and research. Providers will be asked to provide details of the following:

- A description of the content.
- The academic level for which it is suitable, and explanations why (e.g. Undergraduate, Postgraduate).
- The criteria used to select the materials.
- Subject coverage.
- The date range of the content and details of frequency of updates.

Feedback from customer surveys, user groups, feedback from the customer engagement teams, reviews and anecdotal evidence should be taken into consideration (where applicable). Any existing subscribers will be included in a consultation or contacted individually.

In order to effectively evaluate different content types (journals, e-books etc.) Jisc Collections has developed Content Specific Criteria. Each offer will be assessed against the content specific criteria in Annex B using the internal Product Review Template.

We will seek input at various points with strategic groups, such as SCONUL and RLUK.

A4. Compliance and adoption of the Jisc Model Licence

Jisc Collections’ suite of Model Licences has been developed over a number of years. They aim to ensure that resources are used to their fullest potential for purposes of non-commercial teaching, learning and research, in a manner that reflects the realities of current practice in the UK higher and further education sectors. It protects the intellectual property of the rights holder of the content while ensuring that any responsibilities placed on the subscribing institution are proportionate and achievable.

Publisher adherence to the model licence makes it easier for institutions to understand and enforce the licence terms as opposed to trying to communicate a proliferation of usage terms to their users. A core requirement of the selection process, each provider will be assessed against acceptance of the terms of the Jisc Model Licence. A summary of the essential terms are below.

If the provider is unable to comply with any terms then it shall provide its reasons for disagreement, and propose such alternative wording or terms as necessary to allow Jisc Collections to evaluate their acceptability.

For renewals, the previous year’s compliance will be checked against the new proposal to ensure consistency.

Securing post-cancellation access rights for paid-for content is an important requirement. In practice, however, providing timely access to publisher content is unlikely if a record of post cancellation entitlements is not maintained or if there is no means to access the content from the publisher’s platform. The Jisc Model licence for journals ensures that institutions have the right to access all content published and paid for during their subscription period/s via the publisher’s platform, or to be supplied a copy of the material in an electronic format, or for archival copies to be deposited in a preservation solution such as Portico.
A5 Standards compliance

In recognition of the value that compliance with industry standards provides institutions applicable standards are referred to in Jisc Collections’ agreement with publishers.

- **Usage statistics.** The provision of high quality, consistent usage statistics is essential to both decision making on procurements and the demonstration of value for money. Usage is regarded as a key performance indication by academic libraries, therefore the provision of COUNTER compliant usage statistics for journals, databases and e-books is a key determining factor in procurement decisions by academic library services.

- **Authentication.** Access to the online platform offered for subscription should be via Shibboleth (Federated Access) or via Institutional IP access. UK Access Management Federation compliant technologies such as Shibboleth must be implemented within one year if not currently available.

- **Accessibility.** In order for academic library services to integrate online information resources successfully with their other services, monitor their use effectively, and promote them to their members, it is important that those resources comply with standards such as W3C.

- **KBART.** The KBART Phase II Recommended Practice Report provides guidance to facilitate the smoother interaction between members of the knowledge base supply chain. By making KBART files available to knowledge base vendors initiative such as KBART title lists, Knowledge Base+ (www.kbplus.ac.uk/kbplus/) and The Global Open Knowledgebase (GOKb) can provide accurate publication, subscription, licence and management information to many libraries as opposed to each individual publisher and institution maintaining their own separate lists.

- **Transfer.** The Transfer Code of Practice helps publishers ensure that journal content remains easily accessible by librarians and readers when there is a transfer between parties, and to ensure that the transfer process occurs with minimum disruption. The Code contains best practice guidelines for both the Transferring Publisher and the Receiving Publisher. We ask that providers to abide by its principles wherever it is commercially reasonable to do so.

**Table 1. Compliance with the model licence**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Level of importance</th>
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<tbody>
<tr>
<td>Scope of licence: As a minimum, students, staff, walk in users should be permitted to access and use the resource.</td>
<td>Essential</td>
</tr>
<tr>
<td>The provider should provide a clearly articulated proposition for customers with overseas campuses or collaborations. For example, has the provider agreed to the partner fees schedule in the Jisc model licence, and/or the definition of an Additional Authorised User?</td>
<td>Desirable</td>
</tr>
<tr>
<td>Inclusion of alumni in the Authorised User definition</td>
<td>Essential</td>
</tr>
<tr>
<td>Does the provider permit use by all authorised users without geographical restriction?</td>
<td>Essential</td>
</tr>
</tbody>
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Criteria | Level of importance
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Permitted uses: Can users of the work use the material in teaching and learning, beyond what is already permitted by copyright law? This includes incorporating the work as part of academic works, storage in secure networks and uses in line with current and emerging teaching and research practice. | Desirable
The resource should allow users to fully exercise all their rights under the UK Text and Data mining exception without unreasonable hindrance. | Desirable
Institutional responsibilities, warranties, indemnities and governing law. | Essential
Jurisdiction and governing law—English and English Law | Essential
Favourable indemnification and dispute resolution by both parties first before legal teams and courts are deployed | Essential
Compliance with relevant data protection legislation and assurances around storage and processing of personal data. Note this is particularly relevant for services that process personal data such as research management services. | Essential

A6. Other relevant criteria

Jisc Collections will update look at other relevant criteria as they become evident during the life cycle. During the annual review of the Policy, any new criteria will be assessed and added to the Product Review Template as appropriate.
Annex B: Content specific criteria

Each of the following criteria will be applied depending on the types of material offered. The adoption of these criteria will promote and foster the efficient and advantageous use of digital content in research and education. The adoption of these standards will enable academic library services to integrate online resources successfully with other services, effectively monitor their use, and promote them to their students. In addition, security and identity validation and management in line with industry standards is of direct benefit to content providers.

Any Digital Rights Management software or Technical Protection Measures should have a minimal impact upon the usability of the resource, which is particularly important for accessibility. Content must be capable of supporting the different activities and interactions that teachers or learning designers might use or encourage, and be capable of integration into a range of virtual/managed learning environments; support multiple uses through multiple devices in multiple environments (including offline use where appropriate); be benchmarked for functionality and range of learning materials against the products of accepted commercial market leaders; be fully hospitable to institutional requirements for accessibility, such as supporting text-to-speech, magnification, choice of colours for backgrounds and texts, and adhere to recognised standards.

B1. Journals (including hybrid)

Jisc’s strategy is to secure and foster the benefits of open access resources and open source software for research and education. Publishers have an important role in assisting institutions in their compliance with open access requirements of research funding bodies.

- Jisc Collections will seek to move away from historical print spend to other more appropriate models wherever possible.
- If the fees are for both open access content and subscription content, the pricing model must include an offsetting arrangement to allow institutions to contain / reduce their total cost of ownership.
- The provider should detail if any of the content is included in aggregated collections so that Jisc and institutions can identify overlap.
- If the licence provides for post cancellation access, the provider and Jisc will give a clear statement on measures to ensure long term provision of content licensed in the event of cancellation or if the provider is no longer able to provide access directly.
- Content should be part of an archiving and preservation solution such as Portico, LOCKSS or CLOCKSS.

B1.1 OA Publisher Compliance

Jisc has worked with the Publishers Association, ALPSP RLUK and ARMA and with institutions in Europe to develop what is now known as the ‘OA Publisher Compliance document’. The document outlines a range of requirements that librarians, repository managers and others have identified that would help them to fulfil their

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obligations to OA funders. We ask that publishers complete the document to indicate where they are compliant, where further work is required and their plans to meet these requirements.

**B1.2 Offsetting**

Jisc Collections has a mandate from the government and its members to limit and constrain the negative financial impact on institutions of subscribing to journals content and paying for APCs in the same content with those same publishers. The objective is to ensure that the combined cost to individual HEIs remains affordable by linking what an HEI pays a publisher for the combination of APCs and subscriptions. Consideration will be given to publishers who offer offsetting schemes and that have taken steps to limit the costs of open access on institutions in line with Jisc Collections’ principles for offsetting agreements:

- Does the scheme truly facilitate a transition to open access, for example it should be in place for no more than two agreement terms?
- Level of discount/savings returned to institutions? Does the scheme return real savings?
- Does it encourage a marketplace or great transparency for APC’s/subscriptions?

**B1.3 Open Access specific criteria**

The following criteria will be used to assess quality and mitigate against Jisc Collections’ promotion of so called ‘predatory journals’ Jisc Collections seeks to support innovative open access models and services for Open Access journals. As this is a developing area, the criteria is likely to evolve and may differ depending on the offering. The World Association of Medical Editors document on [Identifying Predatory or Pseudo-Journals](#) will also be used to inform criteria.

Core areas of focus include:

- Negotiating agreements with existing and new publishers and suppliers, with a particular focus on exploring and testing innovative business models.
- Negotiating agreements that provide clear discounts / benefits to institutions. This may be in the form of discounts on article processing charges or memberships that provide additional benefits in terms of ease of verification, functionality, formats, usage data and discovery.
- Negotiating agreements with service providers that support the creation, publishing and dissemination and use of OA journals.
- Negotiating agreements with providers that offer usage and metric based evaluation services.

Each of the above will have different criteria and in such an evolving landscape it is difficult to set firm criteria. However, to assist when considering an agreement the following might apply:

Are titles listed in [ISSN ROAD](#) or [DOAJ](#)?

- Is the publisher a member of COPE?
- Is the publisher listed as a member of OASPA?
• Will the publisher participate in JUSP?
• Is the content part of an archiving and preservation solution such as Portico, LOCKSS or CLOCKSS, and what is the coverage in same systems?
• Has the publisher agreed to the TRANSFER code of conduct?
• Does the publisher/supplier provide usage data and in what format?
• Does the publisher/supplier have opportunity for institutions to contribute to its future direction through governance boards, user groups etc.?
• What is the financial and long term security of the publisher/supplier/provider? It is important to support new market entrants but there needs to be some recognition of risk. This can be minimised by ensuring content is included in archiving solutions.
• Do the discounts applied represent value for the institutions and are they easy to administer?
• Do the benefits offered to institutions in return for their support provide value for money and meet UK/HE requirements?
• How does the offer contribute to increasing access to OA e-journals globally?
• Have other countries/consortia taken up the offer? Is there opportunity for joint agreements?
• How does the service offering integrate and link into existing infrastructure and services? Is there join up between Jisc services and this new service

In addition, Jisc Collections will support the ‘institution as publisher’ movement and work with Institutions, New University Presses (NUPs) and Academic Led Presses (ALPs) to encourage the creation, dissemination and use of high quality OA e-journals.
B2. E-book agreements

E-books cover a variety of formats, e.g. textbooks, scholarly monographs, edited collections and can come in packages (publisher or aggregated) or as individual titles. Therefore agreements may also come in various forms.

B2.1 E-book and e-textbook offers

Jisc Collections focus is on licensing e-books and e-textbooks direct from the publisher rather than via a third party provider such as an e-book aggregator. This is because there are already frameworks in place for institutions to licence content via e-book aggregators.

Jisc Collections will assess each publisher offer according to the e-book Product Review Template. Criteria includes, but is not limited to:

- **Content**: Are the titles in the offer relevant to UK higher education and research requirements? Are all the titles that the publisher (and imprints) publishes available in the offer or are they offering a package / subject collection etc.? If not, what is excluded and why? How does an institution find out the title list for what is included? Will the package include new titles and at what frequency? Publishers are expected to release titles simultaneously in print and electronic. Does the publisher release both print and electronic versions at the same and is this for all titles? If not, is there a consistent embargo period? This is particularly important for e-textbooks.

- **Editions**: Publishers should indicate against the title list when a new edition is to be released or the frequency of editions. Where a new edition is released, publishers should ideally allow the institution to upgrade to the new edition at no extra charge. Current / previous edition should remain available in perpetuity / for a reasonable period that reflects the book content but it should be marked that there is a newer edition available. This is particularly important for e-textbooks.

- **Package options**: How are the titles packaged – can an institution select the titles they want or are the titles offered as subject based collections, front list and backlist or pick and mix? The ability for institutions to select the titles that they want to be included (as well as to build their own subject collections) is high preference but needs to be balanced against the price and range of subject/collection based packages. How will newly released titles be incorporated into the package?

- **Access model**: Unlimited simultaneous user access is a core requirement for institutions to ensure equity of access and to avoid frustrated users. This will be sought in all models. Limits on the number of users will be considered for e-textbooks but a publisher needs to provide a strong case for this to be considered.

- **Business model**: what is the business model being applied?
  - Perpetual purchase: perpetual purchase is a core requirement and the preferred model by institutions as it enables them to evidence their investment and securely remove titles from the shelf. In particular this is a preference for e-textbooks.
  - Annual subscription: where a subscription model is offered, institutions should be offered the option to upgrade to the new edition at no extra cost. Current and past editions should remain available where an institution wishes to remain using it. This is particularly important for e-textbooks and is a core requirement.

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2 An e-book template is in progress
requirement for this model. Where new content is added into a package, institutions should be able to swap titles in and out or it should be clear how the additional content will be incorporated into the offering. Where content within a package or collection remains static, publishers should offer the option to convert the subscription to a perpetual purchase, with pricing that recognises the length of the subscription and thus the investment already made by an institution in that title.

- Evidence Based Acquisition: a popular model for the acquisition of individual titles within a publisher’s package. Publishers are encouraged to offer this model. If this model is offered, the publisher must make the whole of their package / collection available and then allow an institution to select the package of titles they wish to show their users or select all. The publisher should set clear prices for the titles that include a discount. They must also provide transparency in any upfront payment and how the acquisition of titles against this initial payment and on top of this will take place. Likewise, if an institution is unable to select titles to the value of the upfront payment, the publisher should provide a refund or a credit for the following year. An adequate period for the ‘evidence’ to be evaluated must be provided, preferably a full year.

- Patron or Demand Driven Acquisition (PDA/DDA). Publishers are encouraged to offer this model. If this model is offered, the publisher must make the whole of their package / collection available and also allow an institution to select the package of titles they wish to show their users or select all. The publisher should set clear prices for the titles that include a discount. Publishers must restrict accidental downloads or purchase though provision of an adequate browse period and the trigger for a purchase should be based on more than one use / agreed usage data.

- Credit: the credit model must offer an agreed number of credits (accesses) per year and 1 credit should equal an access period of 24 hours minimum. A price for unlimited credits should also be offered. The credit model should allow unused credits to be rolled over into the following year. The publisher must offer the ability to increase the number of accesses through purchase of additional credits at any point in the year.

- Chapter: institutions are increasingly interested in the ability to purchase or subscribe to single chapters of a title (not as part of a bespoke scheme). Where a chapter model is offered, it should allow the institution to collate the chapters by course or module either through the publisher’s platform or via the institution’s VLE.

- Pricing models: In all models, pricing should offer deep discounts to institutions on the list price of a package or the print price / digital list price of a title and should be set for each year of the agreement / the duration of the agreement. Pricing must be stable, affordable and transparent. This is especially important for e-books due to the additional cost of VAT that is incurred by the institution. In the majority of cases, pricing models should be based on Jisc Bands and be calculated on the number of titles, chapters, credits, subject collection or whole package. However, in the case of e-textbooks, it may be necessary to consider alternative pricing models:

  - Pricing based on the number of ‘core users’ of an essential / required reading text. Where this model is applied, although pricing is based on core users, access should remain unlimited. Discount bands should reflect the number of titles being acquired and the potential total spend of an institution. In addition, caps should be applied to the number of core users to ensure affordability. No minimum number of core users should be required. Where an institution progresses into a higher discount band throughout the year, credits should be offered. Pricing should be set for each year of the agreement / for the duration of
the agreement and reviewed in light of usage with a set cap. The option to convert a subscription to purchase should also be offered under this model.

- Pricing based on the number of concurrent users. Where this model is applied, the number of ‘concurrent users’ should commence at 1 and should ideally expand to unlimited on a sliding scale. Discounts based on the number of titles should be offered. Institutions should be able to upgrade on a pro-rata basis to increase the number of ‘concurrent users’ or be able to purchase / subscribe to the same title if unlimited is not an option offered on the scale. Where an institution progresses into a higher discount band throughout the year, credits should be offered.

- Pricing based on the functionality of the e-textbook: Where a publisher offers an e-textbook with added functionality the pricing will likely reflect this. Publishers should be clear what the ‘higher’ pricing will offer the institution and their users. Pricing is likely to be based on the number of core users and access restricted to these users. Publishers should also offer the ability for the standard e-textbook to be acquired without the additional functionality under an unlimited or limited model.

- Other models are likely to be explored and tested as e-textbook models develop.

- Functionality: In order to support teaching and learning and reduce barriers, publishers are required to adopt the following core requirements:
  - Digital Rights Management: where the titles are available on the publisher’s own platform, there should be no DRM applied. Where titles are available via a provider’s platform, the DRM should align with the terms and condition agreed between Jisc Collections and the publisher.
  - EPUB editions should be provided for all titles to ensure accessibility requirements are met and that content is reflow-able on mobile / tablet devices. Publishers should have a clear policy on the implementation of EPUB and be transparent about when it will be applied.
  - Download of the whole title must be available for the user in a format that is compatible with all devices. In addition, download should be available onto multiple devices and not restricted. Download limits should be able to be set by the institution ideally using a web-based administrative interface, rather than the publisher.
  - The platform should offer an excellent online screen reading experience for the user. A poor experience will turn users away.
  - The use of proprietary software is to be avoided.
  - The platform and the format of the titles themselves must be compatible with accessibility software.

- Archival access: Included within the Jisc Model Licence, it is a core requirement that the publisher has in place an archival access policy / dark archive policy with a reputable provider.

- Post termination access: Included within the Jisc Model Licence, it is a core requirement that the publisher provides clarity over hosting and ownership post-termination in the licence for e-books purchased or licensed in ‘perpetuity’.

- COUNTER compliant statistics: Included within the Jisc Model Licence, it is a core requirement that the publisher provides COUNTER compliant statistics.

- Discovery: Included within the Jisc Model Licence, it is a core requirement that the publisher provides quality MARC records that meet the standards expressed in the licence agreement. MARC records should be
downloadable at the point of the order being placed for populating discovery services, catalogues and VLEs. In addition, the publisher must provide data to KB+ for e-books and the major webscale discover knowledge bases, e.g. Ex-Libris, OCLC and EBSCO. DOIs may also be requested by institutions.

- **Contractual certainty:** Jisc Collections requires use of the Jisc Model Licence and only in exceptional circumstances will this not be the case. Key elements to ensure contractual certainty to the institution will include:
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances within the contract held with Jisc Collections that it has a contract in place with the provider(s) that accurately reflects the terms and conditions agreed with Jisc Collections. This is to ensure that the terms and conditions are applied consistently across all providers.
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances that the provider has an archival / dark archive policy in place with a reputable archive provider such as CLOCKSS or Portico.
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances that the provider will implement the post termination access policy as within the Jisc Model Licence.
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances that the provider will not remove or withdraw content purchased / licensed by the institution in perpetuity.
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances that the provider will provide the institution with COUNTER compliant statistics – BR1 and Br2 not the database reports.
  
  o Where the publisher is not hosting the content themselves but via another provider(s), the publisher must provide assurances that the provider will provide the institution with MARC records and ideally DOIs and also provide data to relevant commercial knowledge bases.

Jisc Collections will consult with the community over the appropriateness of e-book and e-textbook offers their suitability to teaching and learning. Jisc Collections will also liaise with the national framework agreement for books to ensure that institutions are able to purchase e-book packages through their preferred supplier as appropriate.

### B2.2 Open Access e-books specific criteria

Jisc Collections seeks to support innovative open access models and services for e-books and e-textbooks. As this is a developing area, the criteria is likely to evolve and may differ depending on the offering.

Core areas of focus include:

- Negotiating agreements with existing and new publishers and suppliers, with a particular focus on exploring and testing innovative business models.
- Negotiating agreements that provide clear discounts / benefits to institutions. This may be in the form of discounts on book processing charges or memberships that provide additional benefits in terms of functionality, formats, usage data and catalogue records.
Negotiating agreements with service providers that support the creation, publishing and dissemination and use of OA e-books.

Negotiating agreements with providers that offer usage and metric based evaluation services.

Each of the above will have different criteria and in such an evolving landscape it is difficult to set firm criteria. However, to assist when considering an agreement the following might apply:

- Is the publisher a member of OASPA?
- Are titles listed in the Directory of Open Access Books (DOAB)?
- Is the publisher a member of OAPEN?
- Has the publisher/supplier implemented the metadata schema for OA books available at: http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books%20metadata%20Feb%202016.pdf
- Has the publisher/supplier implemented the 'publisher information' guidelines available at: http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books%20information%20Feb%202016.pdf
- What licensing scheme are the titles available on? Ideally CC BY to allow the widest possible use in teaching, learning and research.
- What platforms are the titles available on? Ideally the titles should be available on more than one platform to include the OAPEN platform.
- Does the publisher/supplier provide MARC records/DOIs that are downloadable online?
- Is the content part of an archiving and preservation solution such as Portico, LOCKSS or CLOCKSS, and what is the coverage in same systems?
- Does the publisher/supplier provide usage data and in what format?
- Does the publisher/supplier have green OA policy? Does the policy allow deposit in institutional and subject repositories and of what proportion of the content?
- Does the publisher/supplier have opportunity for institutions to contribute to its future direction through governance boards, user groups etc.?
- What is the financial and long term security of the publisher/supplier/provider? It is important to support new market entrants but there needs to be some recognition of risk. This can be minimised by ensuring content is included in archiving solutions.
- Do the discounts applied represent value for the institutions and are they easy to administer?
- Do the benefits offered to institutions in return for their support provide value for money and meet UK/HE requirements?
- How does the offer contribute to increasing access to OA e-books globally?
- Have other countries/consortia taken up the offer? Is there opportunity for joint agreements?
• How does the service offing integrate and link into existing infrastructure and services? Is there join up between Jisc services and this new service?

In addition, Jisc Collections will support the ‘institution as publisher’ movement and work with Institutions, New University Presses (NUPs) and Academic Led Presses (ALPs) to encourage the creation, dissemination and use of high quality OA e-books.

Jisc Collections currently funds the Institution as e-textbook publisher project, where four project teams from UK higher-education institutions are investigating the viability of publishing their own e-textbooks. Jisc Collections is also working on the NUP and ALP landscape survey and the Knowledge Exchange OA Monographs Landscape report.

Jisc Collections role in this area is to share lessons learned from these projects and support best practice, this may be in the form of a tool kit to institutions.

### B3. Datasets/Databases

Datasets would include aggregated collections of e-books, magazines, journals, newspapers, and other published and unpublished information sources. They may be full text or abstracting and indexing services. Datasets include statistics and other non-textual compilations of data of relevance to teaching and research.

• Where applicable, is the product available via e-resource access and management services and knowledge bases (such as SFX and others)?

• Where applicable, is the content discoverable through Summon, OCLC WorldCat, Ex Libris Primo Central, PubMed or Google Scholar?

• For full text databases, the provider should detail if any of the content is included in aggregated collections so that Jisc and institutions can identify overlap.

• Does the platform include the ability to personalise interface (settings, stored searches/results)?

• Does the platform permit a range of searching and browsing options (basic/advanced), use of Boolean search operators, truncation etc. Ability to expand or refine searches.

• Provision of result handling options: sorting, exporting to bibliographic management tools, email.

• Provide Digital Object Identifiers for parts of the licensed work.

• Provide Learning Object Metadata and Metadata Object Description Schema.

• If licensed in perpetuity, does the provider and Jisc give a clear statement on measures to ensure long term provision of content licensed in perpetuity in the event that the service provider is no longer able to provide access directly?

• Is the content part of an archiving and preservation solution such as Portico, LOCKSS or CLOCKSS, and what is the coverage in same systems?
B4. Special collections and archive resources

Where Jisc has purchased content in perpetuity on behalf of the community, Jisc will issue a statement to state what the access conditions are and a clear statement on measures to ensure long term provision in the event that Jisc is no longer able to provide access via its platforms and the arrangements should Jisc no longer operate as a company.

Licensing or access conditions for works digitised for public access. If the underlying work is in the public domain or provided under an open licence, as far as possible the terms accompanying the digital surrogates of the work should not contradict the work’s public domain status or terms of the open licence3.

The provider should detail if any of the content is included in aggregated collections so that Jisc and institutions can identify overlap.

If licensed in perpetuity, does the provider and Jisc give a clear statement on measures to ensure long term provision of content licensed in perpetuity in the event that the service provider is no longer able to provide access directly?

Is the content part of an archiving and preservation solution such as Portico, LOCKSS or CLOCKSS, and what is the coverage in same systems?

B5. Other content specific criteria and services

In addition to the above formats, Jisc Collections will also explore additional criteria and services in order to support and develop the following areas. This section will be developed as new services are agreed.

B5.1 Research evaluation and metrics

Agreements will be sought in order to support the research agenda, e.g. ORCID membership. This will include the Open Access agenda to assist with compliance of research funder mandates.

Jisc Collections will ensure that any data captured regarding usage activity will be made available for reuse, e.g. Springer Compact APC data. All data will be shared within the constraints data protection.

B5.2 Teaching and learning

This is an evolving area. Jisc Collections will work with other Jisc services to understand what makes a good teaching and learning resource. Agreements will then be sought after engagement with the community.

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3 For further information on the complexities of this issue please see: http://pro.europeana.eu/files/Europeana_Professional/Publications/Public%20Domain%20Charter%20-%20EN.pdf
B5.3 Innovative business models

In addition to negotiating new business models for journal and e-book agreements (see above), Jisc Collections will support and help to develop innovative business models and with existing and emerging suppliers in order to support the research, teaching and learning and open access agendas.

B6. Preservation services.

Jisc Collections is committed to preserving digital content for the long term, safeguarding the investment made by Jisc, funders and the institutions we serve in digital content so that it can be used for future teaching and research. The rapid rate at which technology is evolving and the relative transience of digital content make this a significant challenge. In support of this objective Jisc will continue to endorse and support current and emerging digital preservation services such as Portico, LOCKSS or CLOCKSS.
Annex C: Approvals Policy and Process

The formal approvals policy sets out the circumstances under which Jisc Collections has authority to finalise agreements, where consultations should be expected, and when Jisc Collections Content Strategy Group must be involved in the decision process. This does not preclude Jisc Collections from consulting with its members to better understand institutional needs and to secure a more favourable agreement. The approvals process does not cover situations where a publisher plans to change its pricing model radically or where Jisc Collections proposes major changes to the Jisc band pricing. Those scenarios would be expected to be raised with Jisc Collections Content Strategy Group in advance of the commencement of the renewals negotiation process. Baseline requirements below are reviewed annually and agreed with Jisc Collections Content Strategy Group.

C1. Circumstances under which Jisc Collections engages with Jisc Collections Content Strategy Group

- Any agreement with a total UK value of over £2m.
  - OR
- Any agreement with a total UK value of more than £500,000 and under £2m and where the publisher’s offer does not meet the guideline price increase requirements in C2.
- Any agreement where criteria listed in items C2 and C3 have not been met.
- Any new agreement of strategic importance or significance.

C2. Circumstances under which Jisc Collections can approve agreements without a community consultation or reference to Jisc Collections Content Strategy Group.

- Publisher’s offer does not hit any of the trigger points listed in C1 and meets the following baseline requirements:
  - Total value of agreement is below £100,000 and the maximum price increase for any institution is no more than 3%.
    - OR
  - Number of subscribers is between 1 and 20 and the maximum price increase for any institution is no more than 5%.

C3. Circumstances under which Jisc Collections can approve agreements following a community consultation
and without reference to Jisc Collections Content Strategy Group

- Publisher’s offer does not hit any of the trigger points listed in C1 and meets the following baseline requirements:
  - Total value of the agreement is between £100,000 and £500,000 and the maximum price increase for any institution is no more than 3%.
    - OR
  - Number of subscribers is between 11 and 50 and the maximum price increase for any institution is no more than 3%.

In order to help Jisc Collections Content Strategy Group and Jisc Collections assess offers that do not meet requirements, the Product Review Template will be used to assist in this process using the criteria outlined in Annexes A and B. Information to complete the review template would be collected by Jisc Collections.
Annex D: Fulfilment checklist

In order to support the discovery and implementation of an agreement within the subscribing institutions, Jisc Collections will complete the following:

- An initial assessment of the provider and the product as detailed in section A2.
- Consultation with potential and current subscribers (if resource is already in use within the UK HE sector) or user groups such as the JIBS user groups and invite them to feedback on functionality.
- If appropriate, interface testing should occur to check that both the content and interface are fit for purpose.
- Ensure the list of licensed materials is up to date through verification of titles lists and packages.
- Before the pricing is agreed, the Licensing Manager will prepare an Offer Summary Document (Journals, Open Access, e-books) or Detailed Pricing Document (datasets/archives) in readiness. This document outlines the business model used for the agreement and ensures that all elements relating to pricing in the agreement have been addressed including the Partner Schedule, Platform/Access Fees, Local Mounting, Dark Archives, substitutions and discounts for Open Access APCs.
- Ensure the publisher has seen and agreed the pricing/offer document with the final pricing (agreed in an email if possible) and included as a Schedule in the Licence / Sub-licence.
- Place details of the agreement / offer on the Jisc Collections catalogue and enable online ordering for the content. Where a quotation or unique title lists are required by the supplier, Jisc Collections will receive a copy of the quotation and holdings data (where appropriate) to collect sector spend and to understand local requirements.
- Ensure that the invoicing is set up in accordance with the agreement.
- The provision of a helpdesk service.
- Communication and promotion of the agreement / offer.
- Ensure the KB+ title list is available and that the KB+ team are informed of any changes to titles and packages as soon as possible.
- Create and make available machine readable licensing information via KB+
- The KB+ team will notify JUSP of new agreements and title list.
- Highlight to publishers their contractual obligations ahead of the agreement being placed online such as providing MARC records at the point of ordering.
- Agree an evaluation plan with the Jisc Collections research team.
Annex E: Evaluation of Current Agreements

As a membership organisation, it is essential that Jisc Collections’ time and resources are well spent and agreements have shown clear benefits for the institutions we serve. One of the primary benefits of a Jisc Collections agreement should be cost, and the content should be competitively priced in comparison to equivalent offerings on the open market. All agreements are expected to have demonstrated value, savings and/or efficiencies (VSE) for institutions. A VSE report will be prepared for each agreement to assess savings figures for institutions.

The Jisc Collections research team will liaise with colleagues to review the performance of agreements. The results from each product review will be recorded in the Product Review Template. Existing subscribers, jiscmail archives and the Jisc Collections helpdesk will be consulted for feedback on the resource, its value for money, continuing relevance and usability/utility of the product/resource.

The following criteria will be assessed when gathering evidence for evaluation:

**E1  Performance of the resource against the selection criteria**

The research team will liaise with the licensing managers to verify that any development by the publisher/supplier agreed at the negotiation stage has been fully carried out.

**E2  Usage statistics**

Jisc Collections will use consortia level usage statistics via JUSP and IRUS-UK to report on use by agreement, institution and Jisc Band. Data will be evaluated during the agreement or sample period as appropriate. COUNTER usage data will include JR1, JR1A, JR1-GOA, JR5, BR1, BR2 and other reports as required. In addition, this data will be supplemented by publisher/supplier data where appropriate.

**E3  Costs**

Financial data will be used alongside analysis of usage statistics to calculate a cost per usage figure. This will be calculated for the consortia, Jisc Bands and at the institutional level. Trends across years will also be monitored.

Where agreements include other criteria, such as APC offsetting, further data will be used in order to calculate value. For example, cost of APC at a discounted/offset rate against potential costs at the published rate or at an agreed rate, e.g. £1,713 (€2,248.47)4.

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E4  Citation data and other altmetrics

Where appropriate and available, citation data and altmetrics will be used to supplement the evaluation of resources. This is in order gain a better understanding of agreements. While this data will never be used as the sole measure of quality and value, it will be used in order to give an indication of the wider picture.

E5  Compliance and adoption of the Jisc Model Licence

Compliance against the model licence will be checked for each agreement. Jisc Collections will include customer comments in this compliance report. This will be checked against compliance in the licence negotiations and at implementation to ensure a consistent approach has been taken.

E6  Community consultation and Qualitative Review

In addition to customer comments in E5, feedback from customer surveys, user groups, feedback from the customer engagement teams and anecdotal evidence will be taken into consideration (where applicable). For example, has the provider met any service level requirements/responsibilities in the agreement or are there any customer service issues with the agreement (see also E1)? Has the technical helpdesk responded to queries in the stated timeframes and has the publisher implemented Shibboleth?

Surveys will consist of a number of general questions regarding an agreement in addition to specific resource related questions in order to gain a more subjective review of the experience of working with the publisher/supplier. The general questions will allow community feedback to be compared across resources, e.g. general satisfaction levels across journal or e-book agreements.

E7  Market analysis

Jisc Collections will compare similar resources in order to provide a better understanding of the resource in the marketplace, e.g. usage, value and other metrics may be compared for resources with content relating to similar subject disciplines.

Furthermore, Jisc Collections will analyse company and annual reports and other relevant market information to evaluate agreements.
Annex F. Exit Strategy

Section 6 of the Jisc Collections Collection Management and Development Policy refers to an Exit Strategy / Long-term access and preservation of materials. This strategy applies to agreements over a certain cost threshold or of a certain type, such as those with unique content. As part of the cancellation of these types of agreement Jisc Collections will ensure that there is an appropriate exit strategy in place. The exit strategy will include:

» Assessment of the impact of cancellation on subscribing institutions.
» Consideration of alternative resources subscribing institutions might consider.
» Strategies for alternate content of the same / similar content to enter into the market.
» A document highlighting, lessons learned from the agreement.

This annex outlines the processes, which will be followed as part of an exit strategy. Inevitably, this is very focussed on subscribed content rather than purchased content with perpetual access rights. The exit strategy is based on a four stage process outlined below.

It should be noted that an exit strategy is not required if after the initial offer to the community for a new publisher agreement there are not sufficient subscribers.

F1 Before leaving an agreement – final analysis for members

When a decision is made to leave an agreement a final analysis report will be compiled. This report will take into account the following (as relevant):

» List of subscribers, including which package taken if appropriate
» Complete title list included in the current (last) agreement (including all variant packages)
» Core titles and subscription costs using data from KB+ or that supplied by HEIs
» Usage data. JUSP JR1, JR1a, JR1GOA, JR5 data
» Post cancellation rights, e.g. access via Portico, LOCKSS, CLOCKSS
» APC data (if appropriate). Total number of vouchers per HEI, total number used, DOIs
» Proportion of open access content published in journals/number of articles published per journal using data from CrossRef
» Data regarding green open access, e.g. availability in CORE
» Consultation with other library purchasing consortia.

This data will be used to complete an initial assessment of the impact of a cancellation on the community. For example, the extent to which HEIs will be effected by post cancellation rights and availability of titles through core subscriptions and green/gold open access.
Jisc Collections is currently looking into the feasibility of what has come to be known as 'Plan B'. That is, access to journal titles that were formerly available in a big deal. It is envisioned that access will include a combination of core titles, post cancellation access, open access (potentially via OA Button) and ILL of core titles available to the HEI community. Jisc Collections are in discussion with SCONUL and RLUK regarding the viability of a Plan B approach. This annex will be updated accordingly.

F2 Cancellation Decision

When a cancellation of an agreement is recommended, Jisc Collections will contact its Content Strategy Group (JCCSG) who will review the final analysis report and approve the cancellation of the agreement, if appropriate. As part of this process, Jisc Collections will:

» Complete a final analysis report and approval form, which will be sent to JCSSG for approval and sign off
» Agree a communication strategy in order to inform subscribers and the wider community (see section 3)
» Alert Jisc Marketing regarding PR, Twitter etc. and manage any reaction – adverse or positive.

F3 Communications plan

As stated in section F2, Jisc Collections will agree a communication plan in order to inform the community of any decision to leave a big deal. This plan will include strategic communication to Library Directors and senior university staff, e.g. Vice Chancellors, Heads of Finance and Procurement, Heads of Research and Deans of Faculty/Department as appropriate. Communications regarding the operational side of a cancellation will be directed at Library Collection Management staff. The communications plan will include the following:

» Identify relevant communication channels using an internal communications checklist. This will include appropriate email listservs and other channels of communication, e.g. social media, news items etc.
» Adapt the final analysis report outlining the case study against renewal. This will be made available in the ‘My Account’ area and communicated via the Jisc Collections Reps list
» The above report will include clear information about post cancellation access rights and alternative options, e.g. plan B, other resources
» Data providing estimated costs outside the deal will also be made available in the ‘My Account’ area where appropriate
» Help desk support will be advertised in order to assist institutions throughout the process
» Webinars and face-to-face communication will be provided to explain further details to members. These may be prioritised by HEI spend etc.
» Information on other Jisc Services, such as KB+, Publications Router, Monitor and other services will be altered as necessary. Contact will be made with users of those services via the appropriate mechanisms.
F4  Cancellation Review

At an appropriate time after the cancellation of any agreement, Jisc Collections will compile a cancellation review, which will include the following:

»  An overview of the final analysis in addition to any lessons learned from community feedback
»  A follow up survey sent to the sector. This will input into any review of the decision
»  Data from JUSP and IRUS-UK will also be used to assess usage after the cancellation of the agreement. If a plan B is implemented, this will also be assessed.

Analysis of this review will feed in to any decision to re-approach a publisher at a later stage in order to re-negotiate. In this case the steps in the Collection Management and Development Policy will be followed in order to assess the appropriateness of any new proposal.