Transition to e-Only

The library wishes to move a significant proportion of its journal collection e-only. In order to do this the library must calculate the financial impact, ascertain whether it believes the electronic access for each title is "sustainable", which includes ensuring there will be long term access to the collection in the case of the publisher going out of business, or the library ceasing a current subscription.

Migration to e-only is a matter of policy at Southampton (UoS) for both journals
and books. The library no longer buys new journals in print unless unavoidable. This has been negotiated with the academic community with relatively little trouble, which may arise from subject focus or perhaps trust in the library, which manages budgets centrally for all periodical acquisitions. Prior to the major exercise to clear print in summer 2008, the library conducted an online consultation of students and academics.

This UC is based on the following background. It assumes that there is buy-in (above) and that the users have access to electronic infrastructure in the library and more widely on campus and beyond. At UoS, it was predicated on the UK Research Reserve (UKRR) principles to guarantee continuing availability of a print copy and the university commitment to achieve the transition even if some titles required investment (though the overall pattern represented a net saving, despite the VAT hit).

Problem description

Libraries face twin strategic problems in the form of increased pressure to free space, and the demands from their users in the academic community to make resources available electronically. This is particularly true where users are based some distance from the library (e.g. offsite departments at campus based universities), or for users working in Science, Technology, Engineering and Mathematics (STEM) subjects.

Libraries are thus looking to move to "e-only"; that is, making all resources available electronically, whilst storing print resources offsite (or in some cases destroying print resources).

Transitioning to "e-only" is a significant undertaking, and requires an extensive, difficult and time consuming risk analysis to be undertaken for each title or publisher being transitioned.   This is work that would need to be undertaken by any library looking to transition.

This would mean that across the sector the same work would be repeated many times, which is wasteful in terms of resources.

Goal

It is proposed that the Risk Analyses and other intelligence on transitioning resources to e-only would be offered as a central service nationally. This information would then be available on a sector wide basis, and enable libraries to undertake the transition to e-only at a reduced resource cost.

The Risk Analyses would include information relating to cost and risk, current coverage, post-cancellation rights, UKRR coverage (UK Research Reserve). The information in the analyses is likely to be common to many different libraries.

Additionally, it is proposed that alongside the Risk Register, further intelligence and practice could be submitted less formally by institutions as it arises. An example might be where libraries encounter licensing peculiarities on a specific title. Making such information available to others would save those others time and effort.

Whilst not every library would treat the intelligence in the same way, the appropriate subset would form the basis for decision making; leading to savings in the order of many months of staff time.

Use case (Business Process Modelling)

Actors:
Library staff:
- Undertake risk analysis work to move resources from print to electronic. (Note: this could be provided by dedicated staff working for the central service).
- Oversee the transition process.
- Share intelligence on specific transitions with wider community.
- Benefit from shared intelligence received from the wider community.

Publishers & Agents:
- Make resources available to the library via a legal and/or commercial agreement.
- Provide information of a legal and/or commercial nature to the library staff to enable the risk analysis work to proceed.

UKRR
- Provides central access to low use and other journals (for more information see http://www.ukrr.ac.uk/how/default.aspx).

Commercial Storage Facility

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- Contracted by the institution to store existing print journals that are required to be retained. (E.g. if not available from UKRR, or if post cancellation rights are unfavourable).

Business Objects:
Risk Analysis Data – this is the data that the library will produce as part of the risk analysis activity. The purpose of this data is to enable the library to make intelligent decisions as to how resources should be transitioned (not least of which might be whether or not to destroy the current print resources).
This data needs to include information pertaining to:
- UKRR coverage: should the print copy be retained, put into storage or destroyed).
- The extent of electronic availability.
- Source of supply for the electronic version.
- Financial cost.
- Determination of the quality of the supplier's infrastructure.
- Terms of access.
- What happens on cancellation.

Getting this data correct is critical to the success of the migration. This model does not specify the full data design. It should be noted that the collection and determination of this data could take months.

Community Intelligence Data – this is the data that emerges over time as the risk analysis data is populated. This data should describe user experience; any "pit falls" or "issues" encountered when transitioning certain titles or publishers.
It is proposed that this data is only minimally structured, as the intent is to "crowd source" as much of this data as possible. At the very least, this data will need to link to publishers and/or serials, but otherwise would be unstructured text.

Catalogue Data – this will be held in the LMS system; but during transition it is likely that two sets of records will need to be retained, covering the outgoing print version and the new e-only version.

Processes:

Undertake Risk Analysis:
On a per publisher basis:
- Staff investigates the cost and risk of transitioning a resource from print to electronic only.
- Staff investigates the existing electronic subscriptions where there may be (known) issues about back files and ongoing terms of access.

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- Staff may make use of the central service to assist in this process.
- The completed risk analysis is uploaded to the central service.

Remove transitioned print resources:
- Update catalogue data.
- Physically move the resources from the library to the commercial space supplier, or destroy the resources.

Upload community intelligence:
- As library staff encounter anomalies or exceptions in their risk analysis work, the staff need to:
  - Document the anomaly or exception
  - Upload the documentation to the central service, for use by others.
- Staff should also upload deviations from known intelligence in the form of annotations to existing intelligence.

Read central service data
- Library staff use the risk analyses prepared by themselves and others.
- Library staff use the collected community intelligence prepared by themselves and others.

Functionality

Create Risk Analysis (Add)
The staff need to undertake the risk analysis work.
An add request needs to be made to the central data service. The Add request contains:
- The risk analysis business object, as defined in the BPM section.
- The authentication details of the institution.

Behaviour:
1. The request is validated to ensure that it comes from an actual institution.
2. If the risk analysis already exists, it is rejected.
3. The risk analysis business object is added to the data store.

Add Community Intelligence (Add, Annotate)
An add request needs to be made to the central data service. The update request contains:
- The community intelligence business object, as defined in the BPM section.
- The authentication details of the institution.

Behaviour:
1. The request is validated to ensure that it comes from an actual institution.

2. If community intelligence data pertaining to this publisher and title already exists, the existing data is annotated with the data in the request.
3. If community intelligence data pertaining to this publisher and title does not aleady exist, the data in the request is added to the community intelligence data store.

Remove Printed Material (Update)
Once the decision to remove printed material has been made, a request needs to be made to the local LMS systems. The request needs to contain:
* The identities of the affected titles in the catalogue
* The new values of catalogue data for that title.

Behaviour:
1. New records need to be created in the LMS to represent the new electronic resources.
2. Existing records for the old print resources need to be updated as appropriate (soft deleted, or the new storage locations noted in the holdings information).
3. The actual print resources need to be physically relocated (or destroyed).

Read Central Service Data (Search)
A search request is made to the central data service. The service responds by returning the risk analysis data and community intelligence that is pertinent to the publisher and/or title.
The search request contains:
* The authentication details of the institution.
* The name of the publisher and / or title information to search against (the query).

Behaviour:
1. The request is validated to ensure that it comes from an actual institution.
2. The risk analysis and community intelligence data for that publisher and/or title is returned to the requester.

Service arrangement
Add
Description: this function needs to validate that a request to create a new risk analysis has come from a real institution. If so, and if a risk analysis for a particular publisher and / or title does not exist, it is created on the system.
Orchestration:
* Call Authenticate
* Call Add
Service Name: Authenticate

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Actions:
- The central data service needs to satisfy itself that the request received has come from a bona fide institution. The model is silent on how this is achieved. It is suggested that institutions are given simple usernames and passwords in a user accounts database.
- If the request fails authentication, the request should be rejected.

Service Name: Add
Target Data Source: Risk register
Target Business Object: Risk Analysis
Actions:
- If the risk analysis already exists in the risk register, then this request should be rejected.
- Put the risk analysis into the risk register; do not modify the values of the risk analysis.

Annotate, Add
Description: this function needs to validate that a request to add or annotate community intelligence data has come from a real institution. If so, and if the agreement data exists on the system, it is updated. If the request is valid but there is no community intelligence for a particular publisher and / or title, then the intelligence data is simply stored.
Orchestration:
- Call Authenticate
- Call Add; or
- Call Annotate
Service Name: Authenticate
Actions:
- The central data service needs to satisfy itself that the request received has come from a bona fide institution. The model is silent on how this is achieved. It is suggested that institutions are given simple usernames and passwords in a user accounts database.
- If the request fails authentication, the request should be rejected.

Service Name: Add
Target Data Source: Community Intelligence database (wiki?)
Target Business Object: Community Intelligence
Actions:
- If this community intelligence data does not exist in the agreements database, then this data should be added to the database

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- Do not modify the values of the community intelligence data.

Service Name: Annotate
Target Data Source: Community Intelligence database
Target Business Object: Community Intelligence
Actions:
- If community intelligence data for the publisher and/or title that this community intelligence refers to in the database, then annotate the original information with this data.
- Do not modify the values of the original community intelligence data.

Update
Description: this function maintains the catalogue data in the library as a title is being transitioned to e-only.
Orchestration:
- Call Update
- Call Create

Service Name: Update
Target External System: LMS
Target Business Object: Catalogue Data
Actions:
- Update the existing catalogue data to show the new holdings information for the resource (linking to location of resource in the commercial holding space).
- If the resource has been destroyed, then a soft delete should be undertaken.

Service Name: Create
Target Data Source: LMS
Target Business Object: Catalogue Data
Actions:
- Create a new catalogue record in the LMS to reflect the new electronic subscription to the resource.

Search
Description: this function needs to validate that a request to download risk analysis and community intelligence data has come from a real institution. If so, the relevant risk analysis and community intelligence data matching the query is returned.
Orchestration:
- Call Authentication
- Call Search
Service Name: Authenticate
Actions:

- The central data service needs to satisfy itself that the request received has come from a bona fide institution. The model is silent on how this is achieved. It is suggested that institutions are given simple usernames and passwords in a user accounts database.
- If the request fails authentication, the request should be rejected.

Service Name: Search
Target Data Source: Risk Register, Community Intelligence Database
Target Business Object: Risk Analysis, Community Intelligence Data
Actions:
- The system returns the risk analysis business object that matches the publisher and/or title specified in the query.
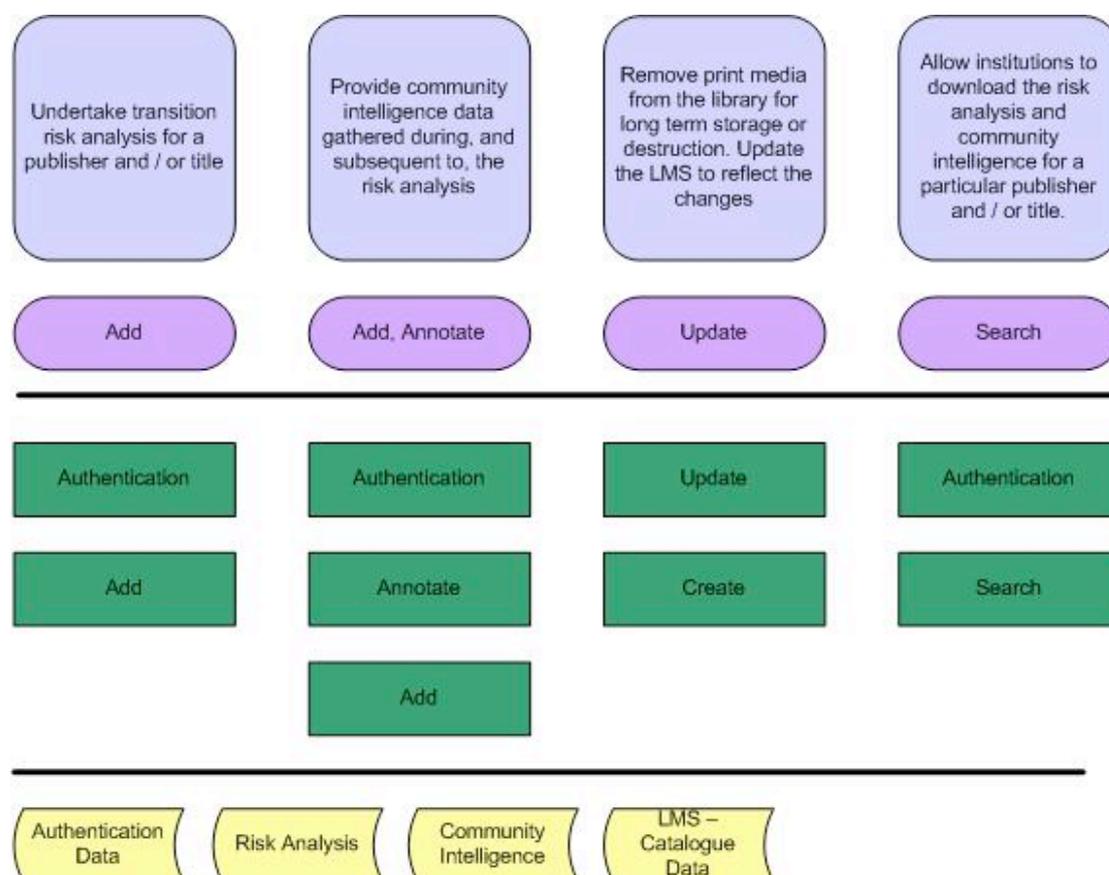- The system returns any and all community intelligence data that matches the publisher and / or title specified in the query.

SUM diagram

Figure 1: Transition to e-only SUM