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A Review of the CSU E-Resources Purchasing Program

PREPARED BY CLAIRE DYGERT
LIBRARY CONSULTANT
CDYGERT SOLUTIONS, LLC

CONTENTS

Executive Summary 1
Background 2
Methodology 2
Major Findings 3
- Determination of the Most Effective Centralized E-resource Licensing Program 3
- COLD/EAR Oversight of the SDLC ECC and Opt-in Program 4

Additional Program Review and Findings 6
- Review of the ECC Program 6
- Review of the Opt-In Program 6
  - Determination of an Equitable Cost-share Formula 6
    - Administration Fees for the Opt-in Subscription Program 7
    - Allocation of Systemwide Line Item Pricing 7
    - Allocation for E-Journal Packages 7
  - Pricing History Analysis 9
  - Processes for Renewal and New Product Adoption 9

Additional Issues 10
- License Agreements for E-Resources 10
- SDLC's Level of Engagement with the Library Environment 11

Contact Information 11
Appendix A: CERPE Charge and Project Plan 12
Appendix B: Evaluation of SDLC's Subscription Memo Survey Process Survey 15
- Appendix B.1: Evaluation of SDLC's Subscription Memo Survey – Responses 17

Appendix C: Opt-in E-resource Purchasing Program Survey 25
- Appendix C.1: Opt-in E-resource Purchasing Program Survey – Results 28

Appendix D: SDLC Staff 31
Appendix E: EAR Charge 32
Appendix F: ECC Resources 33
Appendix G: Allocation Formula for CO Staff 35
Appendix H: SDLS Positions Funded by the CSU Library Administration Fees 36

EXECUTIVE SUMMARY

In June of 2019 the California State University System (CSU) Council of Library Deans (COLD) established the COLD E-Resource Purchasing Exploratory Task Force (CERPE) to investigate the current practice of purchasing CSU e-resources through the Systemwide Digital Library Content Program (SDLC), and to determine if using alternative purchasing channels might provide better options. The SDLC has two major components: The Electronic Core Collection (ECC), where the licensed content is funded by the Chancellor's Office (CO), and the Opt-in Subscription Program, where individual subscribing libraries pay for the licensed content. CERPE engaged the consulting firm, CDygert Solutions, to assist them in this undertaking.

The goals of CERPE were to:

- Determine the most cost-effective and efficient way to centrally license e-resources on behalf of CSU institutions to ensure that CSU funds are spent in the most impactful manner; and
- Determine equitable cost-share funds.

CERPE worked with CDygert Solutions to develop a project plan with the goal of developing a 360° analysis of the current SDLC program. CDygert Solutions methodology included:

- Conducting extensive interviews with the Director of SDLC;
- Conducting surveys of CSU libraries and library consortia with similar stakeholders;
- A review of COLD's and its relevant committees' meeting minutes and reports.
- An analysis of the pricing history of products licensed through SDLC.

Major findings and recommendations include:

- The most effective way to centrally license CSU resources is to continue to do so through the CO, and that dismantling the current program to put something new in place, or to transfer the bulk of the work to a third-party vendor would put the CSU libraries at a financial and organizational disadvantage.
- COLD's Electronic Access to Resources (EAR) Committee should be reinvented to better support and collaborate with SDLC. The reinvention of EAR should be a collaborative process, with SDLC, COLD, current EAR members, and other electronic resources and collection development librarians across the system having input into the process.
- SDLC staff should work with COLD and EAR to review the allocation formulas currently being employed across the system and develop new formulas as appropriate.
- SDLC should work with EAR to develop a set of licensing guidelines to be followed when establishing agreements with vendors.
- SDLC staff should forge a relationship with legal counsel within the Chancellor's Office, and work with them and EAR to develop e-resource licensing guidelines that could be employed system-wide.
- SDLC should engage more actively with the library world by attending conferences such as those held by the American Library Association (ALA) and the International Coalition of Library Consortia (ICOLC).

BACKGROUND

In June of 2019 the California State University System (CSU) Council of Library Deans (COLD) established the COLD E-Resource Purchasing Exploratory Task Force (CERPE) to investigate the current practice of purchasing CSU e-resources through the Systemwide Digital Library Content Program (SDLC), and to determine if using alternative purchasing channels might provide better options. CERPE engaged the consulting firm, CDygert Solutions, to assist them in this undertaking. (See Appendix A for CERPE's charge and project plan.)

The CSU's Office of the Chancellor Division of Academic Services established the SDLC program in 1989, modeled after the Statewide California Electronic Library Consortium (SCELC) established just three years earlier. The SDLC has two major components: The Electronic Core Collection (ECC), where the licensed content is funded by the Chancellor's Office (CO), and the Opt-in Subscription Program, where individual subscribing libraries pay for the licensed content.

The ECC is defined as "that part of the E-Resource collection that is program-driven, used actively for instruction, and in high demand" with the primary criterion for inclusion "the support of the common core of CSU curricula… in the following general categories: Social Sciences; Arts and Humanities; Life and Physical Sciences; and Professional Programs."[1]

SDLC also conducts a substantial Opt-in e-resources buying program on behalf of the CSU libraries, which currently consists of 300 subscriptions from 70 vendors.

SDLC manages the ECC under the direction of COLD which is advised on specific e-resource decisions by its Electronic Access to Resources (EAR) Committee.

METHODOLOGY

This report is the outcome of the information gathering and synthesis phase of the project. The goal of this phase of the project was to develop a 360° analysis of the current SDLC program. To achieve this, CDygert Solutions employed the following methodologies:

- Conducted extensive interviews with the Director of SDLC to understand the scope of their program and the cost-recovery fees and pricing allocation formulas used.
- Surveyed CSU libraries to assess the effectiveness of the Subscription Memos used by SDLC in the course of their Opt-in e-resource licensing program. (See Appendix B for the survey and survey results.)
- Surveyed five library consortia with similar stakeholders to identify current practices for Opt-in e-resource licensing programs. (See Appendix C for the survey and survey results.)
- Reviewed documents available through COLD's intranet, including past EAR and COLD meeting minutes and reports.
- Analyzed 4-years of pricing history of products licensed through SDLC to identify average increases.

[1] https://csyou.calstate.edu/Tools/SDLC/eresources/Pages/electronic-core-collection.aspx

MAJOR FINDINGS

The goals of CERPE were to:

- Determine the most cost-effective and efficient way to centrally license e-resources on behalf of CSU institutions to ensure that CSU funds are spent in the most impactful manner; and
- Determine equitable cost-share funds.

This section of the report makes high level recommendations for CSU on how these goals might best be met. More granular recommendations are provided throughout the report, and cascade from those made here.

DETERMINATION OF THE MOST EFFECTIVE CENTRALIZED E-RESOURCE LICENSING PROGRAM

It is the assessment of CDygert Solutions that the most effective way to centrally license CSU resources is to continue to do so through the CO, and that dismantling the current program to put something new in place, or to transfer the bulk of the work to a third-party vendor would put the CSU libraries at a financial and organizational disadvantage. This assessment is based upon the following factors:

- It is the mission of the CO to provide system-wide support for the CSUs. No other entity will have that singular dedication to the CSU as a group.
- The CO and COLD recently agreed to revise the practice of charging administrative fees, which lacked transparency and led, in part, to this examination of SDLC's licensing program. Administrative fees will now be billed directly to the institutions as a line item, and not folded in with e-resource costs.
- The CO has four full-time staff dedicated to providing e-resource licensing services, two of which are directly funded by the CSUs, the other through the CO. (See Appendix D for SDLC staff position descriptions.) This level of staffing is required to maintain the scope of the current SDLC licensing program, particularly the extensive Opt-in Program. Should the CO's licensing program be transferred to an institution within the CSU, it is unlikely that funding for those two positions would follow the program. This certainly would not be the case should the work be transferred to a third-party vendor.
- Managing a statewide e-resource licensing program with the scope of SDLC's requires unique expertise that its staff have developed over time.
- With the CSU e-licensing program housed centrally within the CSU system, COLD and its committees have direct oversight over a program which has been designed specifically to meet their institutional curricular needs. This oversight would be greatly lessened were the program to be moved to a third-party entity.
- Managing payments through the CO provides some flexibility for working with budgets across fiscal years, as institutions can work with SDLC on the timing of internal money transfers.

RECOMMENDATION:

- Maintain the ECC and Opt-in central licensing program within SDLC.

COLD/EAR OVERSIGHT OF THE SDLC ECC AND OPT-IN PROGRAM

While this report recommends that SDLC continue to manage the ECC and Opt-in licensing programs, there are significant issues with those programs that must be addressed, both internally to SDLC and between SDLC and CSU institutions.

Oversight of the ECC and Opt-in collection should be a collaborative activity between SDLC and CSU libraries. Yet feedback from the Subscription Memo Survey, various COLD and EAR documents, and discussions with CSU and SDLC staff indicate a significant breakdown of communication between SDLC and CSU libraries. In fact, issues of communication between SDLC and CSU libraries is a theme of many of the comments made in the survey regarding SDLC's Subscription Memos. Examples include:

> *"I'd like to see additional communication between SDLC staff and campuses, beyond the subscription memos…"*
>
> *"We sometimes feel blindsided by the new opt-in offers that come our way. We're largely unaware of what offers SDLC might be pursuing at any given time…"*
>
> *"How about asking on the EAR listserv? It's surprising that there is no input from libraries…There's a very odd disconnect between this process and the CSU libraries"*

The current disconnect, however, is not the sole fault of SDLC, as good communication requires active and intentional participation by all parties. CSU libraries share responsibility for this disconnect. COLD and its EAR committee seem to have lost focus on the scope of activities detailed in the EAR charge (see Appendix C for the EAR charge). In addition, confusion as to EAR's role vs. that of collection development coordinators seems to be proliferating across the system, as indicated by the following survey comments:

> *"There is a lot of discussion on the collection development list, sometimes from multiple librarians at a single campus, and those voices sometimes give the impression (not intentional, I'm sure) that they are the official approvers for their campus. It would be helpful if everyone knew who the official contact was at each campus."*
>
> *"Right now CSU collection coordinators email back and forth with questions about pricing and the possibility of leveraging the power of the consortium. Sometimes Eddie or others from the CO are included in the discussion. It would be helpful if there were some centralized place, hosted by the CO, for us to do this more efficiently and be able to better track the conversations."*
>
> *"I have some questions about EAR's practices and policies, and how SDLC and the CSU Collection Development group connects with those efforts."*

Communication is always a challenge, and the library consortia environment poses some unique challenges. Individual libraries are focused on their own immediate needs and issues while the consortium office goes chugging along in the background. Yet, as Lee and Horton note in their article *Communication in Library Consortia*, for successful consortium-to-member relationships, "Interaction

with consortia members is key. Knowing their concerns, responding to their needs, and asking their input on how to communicate is important.[2]"

A major outcome of the breakdown of communication between SDLC and the CSU libraries is a negative impact on the ability to develop and maintain systemwide planning processes. No organization can achieve successful outcomes if its ability to plan is hampered, and the survey comments below all speak to the need for planning:

> *"…I very much want to see SDLC and EAR move away from reactionary crisis management and toward proactive planning, which will allow libraries to plan for budgetary shortfalls well in advance. Can SDLC's calendar and deadlines be better aligned to EAR's efforts, or vice versa?"*
>
> *"The process now seems very reactive for the campuses, i.e. campuses can only react to announcements and trials. What is the process for recommending a new opt-in resource? I have no idea, and I am a former EAR chair."*
>
> *"Many CSUs have a lot of new degree-granting programs coming online, by virtue of EO 1071 and general growth. Could SDLC and/or EAR undertake a comprehensive review of programs being offered (and soon-to-be-offered) across the system, and align those findings with potential opt-in-offers? Could the CSU Collection Development Group be kept in the loop?"*

CERPE's undertaking of the project to review the current practice of centrally purchasing e-resources provides a perfect opportunity to address issues of collaboration, communication, and planning. Actively addressing these issues should result in a refurbished central licensing program that continues to provide substantial cost-avoidance across the CSU and help CSU libraries meet the curricular needs of their institutions.

RECOMMENDATIONS:

- Reinvent COLD's EAR committee to better support and collaborate with SDLC.

The reinvention of EAR itself should be a collaborative process, with SDLC, COLD, current EAR members, and other electronic resources and collection development librarians across the system having input into the process. In reimagining EAR, CDygert Solutions suggest that COLD consider the following:

- Work with an outside facilitator to develop and conduct a retreat to explore options for reimagining EAR.
- Have COLD members serve as liaisons to the committee rather than serving as chairs, so that EAR members are fully invested in the work of the committee and its outcome.
- Chairs of the reimagined EAR committee should serve for at least a two-year term to provide continuity.
- Decision making levels between the committee, COLD, and SDLC should be clearly defined.

[2] In Collective Librarianship 7(1):5-12 (2015). Accessed online at https://digitalcommons.du.edu/cgi/viewcontent.cgi?article=1075&context=collaborativelibrarianship

- The committee meet on a monthly basis, with at least one in-person meeting per year.

Once formed, the newly reimagined EAR should be charged with carrying out the remainder of the recommendations in this report, with an intentional attitude toward collaboration. Feedback from the Subscription Memo survey demonstrates that librarians throughout CSU have ideas for SDLC on improving its communications and processes for managing the ECC and Opt-in Programs. A reimagined and reenergized EAR should be well-positioned to help SDLC do so, collaboratively. It will also place SDLC and COLD in a position of strength for working with external partners, such as SCELC and the University of California System, for further expanding e-resource licensing opportunities.

[Note: For clarity's sake the reminder of this report continues to refer to EAR, but it does so with the assumption that EAR has been reimagined and reinvented as recommended above.]

ADDITIONAL PROGRAM REVIEW AND FINDINGS

REVIEW OF THE ECC PROGRAM

The ECC is funded by the CO, with an annual budget of $5 million. This budget has been flat for the past five years, and inflation has meant that the expenditure required to maintain the collection has exceeded the budget. The CO has made up the difference in each of the past five years at a total cost of $1,821,188. This has allowed the CSU libraries to continue to access the full set of ECC resources, and to avoid having to cancel multiple ECC resources or pay the overage out of their own budgets. (See Appendix F for the list of resources currently licensed under the ECC.)

As an increase in the ECC budget is unlikely in the near term, and the willingness of the CO to continue to cover the budgetary overages is unknown, EAR should have a plan in place for cutting ECC resources as necessary. In addition, the ECC collection has been in place for some time; it may be that the collection no longer aligns with CSU's common core curricula for which it was developed.

RECOMMENDATION:

- EAR should be actively engaged in developing a strategic plan for and managing the ECC collection.

REVIEW OF THE OPT-IN PROGRAM

SDLC's Opt-in licensing program is substantial, with a system-wide expenditure of over $16,000,000 in FY 2018/2019 representing 300 subscriptions from 70 vendors. Managing a program of this size is very labor-intensive, and the SDLC seems to have a robust internal infrastructure for managing the many data points involved.

DETERMINATION OF AN EQUITABLE COST-SHARE FORMULA

One of the goals of CERPE is to ensure that cost-share allocations are equitable across the system, so a major effort of this project has been to understand what and how current allocations are defined and being used. There are several areas where cost-share formulas are used by SDLC: the allocation of administration fees to support SDLC programs; the allocation for Opt-in pricing where the vendor

supplies single line item pricing, and the allocation for e-journal packages. Each of these are dealt with separately below.

ADMINISTRATION FEES FOR THE OPT-IN SUBSCRIPTION PROGRAM

Prior to FY 2019-2020, staffing for the Opt-in Program was paid out of the administration fee assessed on Opt-in subscriptions by the CO. When the program was first established, administration fees were calculated at 1% for journal packages and 5% for databases. The Director of SDLC reports that recent practice has been to assess an average 3% administration fee across all content types. These fees were then added to the subscription costs and charged to the libraries. When the administrative fees collected exceeded the cost of staff salaries, the overage was used to acquire additional library services and content. Beginning with FY 2019-2020, administration fees will be handled differently, with fees being calculated according to a formula developed by COLD, resulting in administration fees to cover Opt-in support staff that are approximately 1.53% of the total systemwide spend on Opt-in Subscriptions[3]. (See Appendix G for the allocation formula.) The CO has agreed to provide separate invoices for administration fees going forward. This will greatly enhance transparency and ease concerns that administration fees were somehow being "hidden."

ALLOCATION OF SYSTEMWIDE LINE ITEM PRICING

In most cases, vendors provide pricing for subscriptions on a per institutional basis. However, there are a handful of products for which SDLC receives a single line item quote for all participating libraries. SDLC does not currently have a standardized method for allocating costs across the participating libraries, but uses a combination of consideration of FTE, institutional size, and perceived budgetary capabilities to devise the allocations and achieve maximum savings. The goal is often to achieve an allocational spread that makes participation more feasible for smaller institutions or those that are budgetarily challenged, but the lack of transparency in applying this approach can potentially result in the perception that all institutions are not being treated equally, or according to previously agreed-upon cost-share formulas.

RECOMMENDATION:

- SDLC should work with COLD and EAR to develop a formula to be systematically deployed across the system. When deviations from the formula are required, SDLC staff should collaborate with EAR to find an equitable solution.

ALLOCATION FOR E-JOURNAL PACKAGES

In 2013/2014, COLD charged EAR with developing a cost-share formula for several journal packages. To do so, they established a "Journals Working Group" which developed and presented COLD with several options. In April 2014 COLD adopted a formula to calculate each institution's cost[4]:

- 20% of the total expenditure of each package to be split evenly between all institution.

[3] The CSU libraries will also pay a separate line item fee to support two positions in the Chancellor's Office of Digital Library Technology Services. See Appendix H for the positions being funded.

[4] This project is summarized on the SDLC FAQ page at https://csyou.calstate.edu/Tools/SDLC/Pages/faqs.aspx

- 50% of the total expenditure of each package to be divided according to each institution's percentage of the total CSU FTE.
- 30% of the total expenditure of each package to be divided according to each institution's percentage of the total CSU usage.

This redistribution formula was implemented over three years to ease the burden on institutions who saw an increase in their costs, with the CO providing some supplemental funding throughout the transition.

The Opt-in journal packages that EAR recommended for the application of the redistribution formula were:

- American Association for the Advancement of Science (AAAS)
- Oxford University Press
- Springer
- SAGE
- Elsevier Science Direct

As the SDLC FAQ on this issue notes, "The total amount that is paid to the vendor for each of these packages is the same as the total amount paid by the campuses. However, due to the redistribution formula the amount each campus paid via the CPO will not be the same as the price quoted by the vendor.[5]"

This statement raises a concern, as it suggests that current cost-share of journal packages may not align with what publishers understand each institution to hold as core subscriptions, and thereby with the accrual of perpetual rights for individual subscriptions. While many publishers have transitioned to "database" models, where the concept of subscriptions to individual titles no longer applies, journal packages have traditionally been based upon an institution's subscription spend at the time the contract was formed. When the new allocation formula was established, the database model approach was still relatively new in the e-journal marketplace, so it is unlikely that line item subscriptions were done away with. In addition, one of the respondents to the Subscription Memo survey noted the need to "assess individual title holdings on the campuses and consider making content changes to the packages" which further suggests that subscriptions are still being maintained. A review of the history of these packages and current practices may be warranted to ensure that each institution is building their perpetual access to e-journals in a way that aligns with their expenditure.

Another concern with the current allocation formula for e-journal packages is the reliance on usage statistics, as changes in the library technology marketplace over the past five years, such as the advent of discovery layers, have impacted their reliability. And usage can be driven by many additional factors, such as preferences set in link-resolver software and for content use in Bibliographic Instruction programs.

[5] From the SDLC FAQ page at https://csyou.calstate.edu/Tools/SDLC/Pages/faqs.aspx

RECOMMENDATIONS:

- Undertake a thorough review of the contracts for the journal packages to verify that spend is aligned with the accrual of perpetual rights to content.
- Revisit the formula for cost-share of journal packages.

PRICING HISTORY ANALYSIS

CDygert Solutions conducted an analysis of SDLC's Opt-in Program's price increases over a four-year period, from FY 2016-2017 through 2018-2019. Certain factors, such as the new pricing allocation for e-journal packages, year-to-year pricing changes due to new or cancelled subscriptions, and internal allocations make a very granular analysis beyond the scope of this project. However, a high-level analysis of year-to-year price increases suggests that, while annual increases are within the range normally presented by vendors, the increases tend to be on the higher end of the spectrum. A consortium the size of SDLC is in a position to command lower annual increases than libraries working individually.

RECOMMENDATIONS:

- EAR and SDLC should work together to determine reasonable expectations for annual price increase limits, and to speak with one voice to vendors when communicating these expectations.
- Lower, predictable annual price increases can usually be achieved by establishing multiyear contract for e-resources. EAR should identify products that are candidates for multi-year commitments and explore establishing contracts accordingly.

PROCESSES FOR RENEWAL AND NEW PRODUCT ADOPTION

SDLC conducts an Opt-in e-resources buying program on behalf of the CSU libraries valued at $16,688,840 for FY 2018-2019. SDLC uses a series of vendor-based Subscription Memos to manage the process of handling renewals as well as the uptake of new database subscriptions by the libraries. SDLC distributes the Subscription Memos as they receive final pricing from the vendors, and the number of Subscription Memos required to handle this process can be substantial. For example, the number of Subscription Memos sent out in FY 2014 – 2018 ranged from a low of 39 to a high of 54.

In conjunction with CERPE, CDygert Solutions conducted a survey to evaluate the effectiveness of the Subscription Memo program, as preliminary feedback suggested that the timing and required turn-around time of the Memos might be problematic. While overall the survey found that 47.83% of respondents found the Subscription Memo process to be effective, that same percentage "disagreed" (39.13%) or "strongly disagreed" (8.7%) that it allowed them sufficient time to make renewal decisions.

A major factor in SDLC's timing of Subscription Memo distribution is securing final pricing from vendors, as SDLC does not distribute the Memos until they have this in hand. The importance of having this final pricing when making renewal decisions is highly rated by some CSU libraries, with 13.4% reporting it to be "very important", and 39.13% to be "important". However, 30.43% of respondents said that having exact pricing was only "somewhat important" and another 17.39% reported being "neutral" on the topic. The comments made in the open-ended question accompanying this metric are very informative, and SDLC, COLD, and EAR are encouraged to mine them for ideas on improving the

system. For example, at least one respondent cited SCELC's distribution of estimated costs as a potential model to follow, and many cited the need for additional supporting information, such as the timely distribution of usage statistics and additional information about the products.

A survey conducted of five similar library consortia suggests that SDLC's use of Subscription Memos is a somewhat unique approach to renewing products in an Opt-in program. Most have a more centralized approach, either sending the libraries a single survey for all products or emailing a spreadsheet that lists all products for the libraries to respond to. One has a policy that assumes renewal if the libraries do not inform them of a cancellation decision four months prior to the renewal date. Three of the five report a recent or impending implementation of ConsortiaManager, a software product developed to manage e-resource acquisition in the consortial environment, to facilitate the Opt-in process.

RECOMMENDATION:

- Using the results from the Subscription Memo and Opt-in E-Resources Purchasing Program Questionnaire survey as a starting point, SDLC and EAR should consider ways to improve the Opt-in Subscription Program, including the potential implementation of ConsortiaManager. This could be the major focus of an in-person meeting. Key to reworking the process is a significant improvement in communication and collaboration between COLD, EAR, and SDLC.

ADDITIONAL ISSUES

LICENSE AGREEMENTS FOR E-RESOURCES

While SDLC staff have substantial experience in working with contracts, working with license agreements for e-resources requires knowledge of today's academic libraries and their needs. It is essential that staff working with these agreements understand the importance of editing licenses to ensure they protect rights granted under U.S. Copyright Law, and don't unduly limit the purposes to which licensed content may be used. In addition, changes in the academic environment, such as the increased use of text and data mining as research tools, and issues of open access, require that licensing practices be regularly reviewed and updated. Most library consortia of CSU's size have a librarian directing the e-resources program who understands the nuances of license agreements for academic libraries. Many have developed licensing guidelines that reflect current best practices which are systematically employed across agreements.

In addition to having in-house licensing expertise, most statewide library agencies affiliated with a system of higher education also have in-house legal counsel that provides support for licensing efforts and reviews contracts as necessary. Although the CO houses legal counsel for the CSU system, SDLC reports they do not work with any member of the legal counsel team.

RECOMMENDATIONS:

- SDLC should work with EAR to develop a set of licensing guidelines to be followed when establishing agreements with vendors.
- SDLC staff should begin to forge a relationship with legal counsel within the CO, who could then provide support for the development of licensing guidelines and other contractual issues that may arise in the licensing process.

SDLC'S LEVEL OF ENGAGEMENT WITH THE LIBRARY ENVIRONMENT

It is unusual for the Director of a statewide academic e-resource licensing program to not have a master's in library science. Most individuals in these positions have extensive backgrounds in academic libraries and library consortia. In their role as Director, they actively engage with the library world through attendance at professional conferences, such as the American Library Association (ALA) and the International Coalition of Library Consortium (ICOLC). Attending ALA Annual and Midwinter Conferences, in particular, is practically a requirement in these positions so that face-to-face negotiation meetings may be held with library vendors, and new library products and services can be explored first-hand.

The fact that the current SDLC Director does not have a degree in librarianship is not in and of itself a negative. Many respondents to the Subscription Memo Survey expressed appreciation for the work that he and his staff do. However, more active engagement with library vendors and fellow library consortium managers may help deepen the understanding of the CSU libraries needs, particularly if coupled with a reimagined and reinvigorated EAR committee with which to engage. In addition, SDLC does have a librarian on staff who currently plays mostly a background role. SDLC should consider if responsibilities for that position could also be reimagined so that the one librarian on staff may play a more active role in working with EAR and supporting SDLC's e-resource licensing program.

RECOMMENDATIONS:

- SDLC's Director should consider attending ALA's Annual and/or Midwinter conferences to meet with vendors and review opportunities for new products. Vendor meetings could be used to negotiate pricing for upcoming renewals and potentially help streamline the process for annual renewals of ECC and Opt-in Subscriptions.
- SDLC should consider the role of its Librarian position to see if it could provide a more active role in working with EAR and supporting SDLC's e-resource licensing program.

CONTACT INFORMATION

Claire T. Dygert
Library Consultant & Principal
CDygert Solutions, LLC
511 NW 80 Blvd.
Gainesville, FL 32607
352-672-1907
cdygert@cdygertsolutions.com
www.cdygertsolutions.com

APPENDIX A: CERPE CHARGE AND PROJECT PLAN

Council of Library Deans (COLD) E-Resource Purchasing Exploratory Task Force (CERPE)

June 6, 2019

The libraries of the California State University system (CSU) acquire a substantial number of their electronic resources (e-resources) through CSU's Systemwide Digital Library Content consortium (SDLC), which is based in the CSU Chancellor's Office. The SDLC manages the Electronic Core Collection (ECC), a collection of subscription databases that are available to all 23 CSUs, as well as additional e-resources that are available on an "opt-in" basis. A small number of CSU libraries also participate in the Statewide California Electronic Library Consortium's (SCELC) consortial buying process.

CHARGE: The CERPE TF is charged with investigating the current practice of purchasing CSU e-resources through SDLC and SCELC, as well as exploring viable alternatives.

The objectives of CERPE are to:

- Understand the cost-recovery fees and pricing formula used in SDLC and SCELC's licensing programs.
- Through an environmental scan, understand how library consortia with similar stakeholders structure their cost-recovery and cost-share programs.
- Explore potential alternative options for centralized acquisitions of e-resources as appropriate.

The goals of CERPE is to:

- Determine the most cost-effective and efficient way to centrally license e-resources on behalf of CSU institutions to ensure that CSU funds are spent in the most impactful manner.
- Determine an equitable cost-share formula.

MEMBERS:

Emily Bonney, CSU Fullerton

Eddie Choy, CSU Office of the Chancellor

Tracy Elliot, San Jose State

Dell Hornbuckle, Fresno State

Amy Kautzman, Sacramento State (Chair)

Patrick McCarthy, San Diego State

Karen Schneider, Sonoma State

CERPE has engaged the consulting firm, CDygert Solutions, to assist with this project.

REPORTS TO: COLD Executive Committee

CERPE PROJECT PLAN
June 6, 2019

Phase One: Information Gathering

The work accomplished in this phase will inform phase 2 of the project with the purpose of providing CERPE a 360° analysis of the issue at hand.

In this phase of the project, CDygert Solutions will take the lead to:

- Identify the cost-recovery fess and pricing formula used in SDLC e-resources licensing program.
- Identify the cost-recovery fess and pricing formula used by SCELC.
- Conduct an environmental scan of library consortia with similar stakeholders to identify current e-resource licensing practices and their pros and cons.
- Perform an analysis of 4-year pricing history of products licensed through the SDLC to determine average increases.
- Help CERPE determine whether to:
    - Explore the potential for moving the service to CSU's Procurement or CalUSource? Of concern would be issues of dedicated staffing and knowledge specific to the acquisition of library resources, such as licensing and unique pricing models.
    - Explore the potential for locating this workflow on a CSU campus as a shared service. An area of concern would be staffing. For example, does CSU-HR allow for shared, system-wide hires that are homed outside of the Chancellor's Office.
    - Explore whether CSU would benefit by partnering with the UCs via a common procurement approach? (https://calusource.net/)

Members of the task force will:

- Explore internal CSU operations in other areas of shared services. Do other CSU units pay a cost recovery fee for services provided by Academic Technology Services? If so, what are they and what formula drives them?

Phase Two: Synthesis Phase

Upon completion of the information gathering phase, CDygert Solutions will draft a report that synthesizes the findings, to include:

- Summary of current SDLC and SCELC practices, cost-recovery fees, and pricing formulas.
- Findings from environmental scan.
- Pricing analysis results.
- Findings from any exploration of potential alternatives to acquiring e-resources beyond SDLC and SCELC.
- Exploration of internal CSU operations in other areas of shared services.

This phase of the project will likely require follow-up meetings with staff at the CSU Chancellor's Office and others on points of clarification and verification of facts.

Phase Three: Consideration of Options and Recommendations
CERPE activities in this phase will largely be driven by the 360° analysis of the problem as detailed in the report resulting from phase 2.

CERPE activities should include:

- A thorough review of the report produced in phase two of the project.
- Consideration of the efficacy of current SDLC/ECC/SCELC buying practices.
- Discussion of equitable[1] division of costs and potential changes to current practices.
- Identification of options for moving forward.

Ideally, this phase of the project would begin with an in-person meeting of CERPE, with CDygert Solutions in attendance to facilitate the discussion and decision-making process.

The outcome of this final phase of the project will be a report to COLD that provides:

- Recommendations for the most cost-effective process for centrally licensing CSU e-resources.
- An equitable manner for diving cost.

CDygert Solutions will work with CERPE to draft the final report for the project.

PROJECT TIMELINE: June 5, 2019 – September 2019.

The final report is due by the September 2019 COLD meeting.

[1] Equitable does not necessarily mean the cheapest or straight division of costs. Rather, it considers the need for all our students to have access to standard research tools. This may mean that some campuses carry a slighter higher cost.

Evaluation of SDLC's Subscription Memo Survey Process

1. About this survey

The Council of Library Deans (COLD) E-Resource Purchasing Exploratory Task Force (CERPE) is working with CSU's Systemwide Digital Library Content (SDLC) team and the consulting firm CDygert Solutions to assess various aspects of SDLC's purchasing program. This survey is meant to evaluate the effectiveness of the Subscription Memos used by SDLC in the course of their opt-in e-resource licensing program.

Please note: Individual responses to this survey will be anonymized in the published results.

Evaluation of SDLC's Subscription Memo Survey Process

2. About you

* 1. Please identify yourself:

Name	
Institution	
Library	
Job Title	
Email Address	

Evaluation of SDLC's Subscription Memo Survey Process

3. Ratings

1. Please rate your level of agreement with the following statement: "The SDLC's Subscription Memo process provides my library with sufficient time to make renewal decisions."

Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
○	○	○	○	○

2. The SDLC does not distribute Subscription Memos until they have final pricing for products. An alternative approach to streamline the process may involve pricing that is estimated/approximate rather than exact. How important is it to you to have exact pricing when making your decisions?

Very Important	Important	Neutral	Somewhat Important	Not important
◯	◯	◯	◯	◯

3. Please rate the overall effectiveness of SDLC's use of Subscription Memos to handle opt-in subscriptions:

Very Effective	Effective	Neutral	Somewhat Effective	Not Effective
◯	◯	◯	◯	◯

4. Please select the statement that most accurately describes your library's planning process for SDLC opt-in subscriptions:

- ◯ My library makes decisions about the products on each Subscription Memo as we receive them.
- ◯ My library has an annual planning process for e-resources that prepares us in advance for handling the Subscription Memo process.
- ◯ Other (please specify)

5. Please provide any suggestions you have for improving the annual renewal process for SDLC opt-in e-resources:

6. Please provide any suggestions you have for improving the process for adding new SDLC opt-in e-resources:

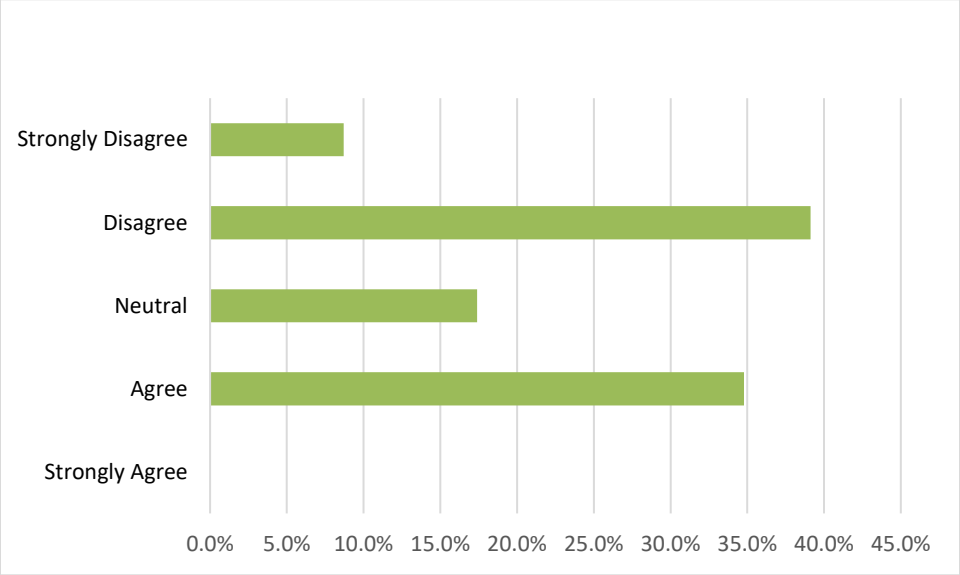
7. Please add any comments, questions, or additional information below:

Evaluation of SDLC's Subscription Memo Survey Process

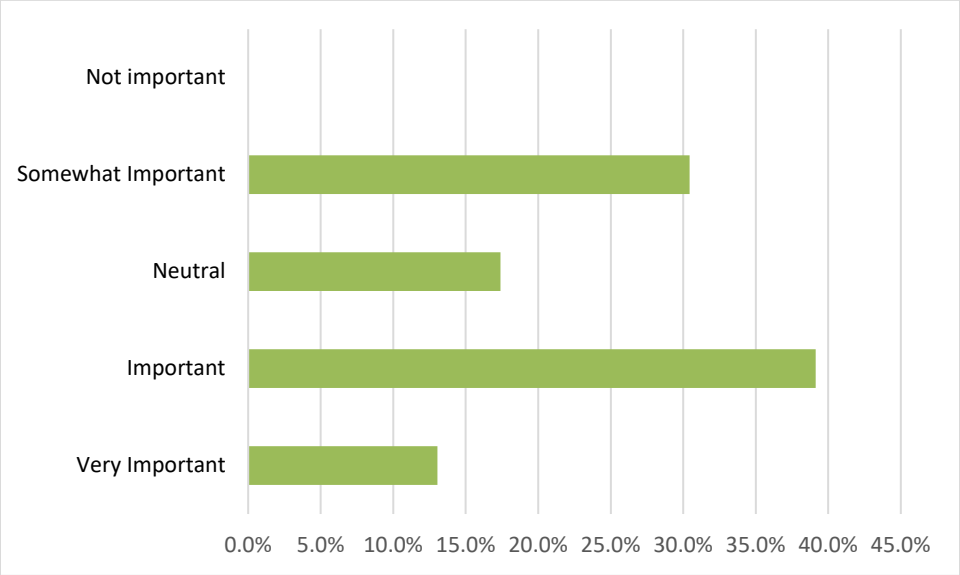
4. Thank you

APPENDIX B.1: EVALUATION OF SDLC'S SUBSCRIPTION MEMO SURVEY - RESPONSES

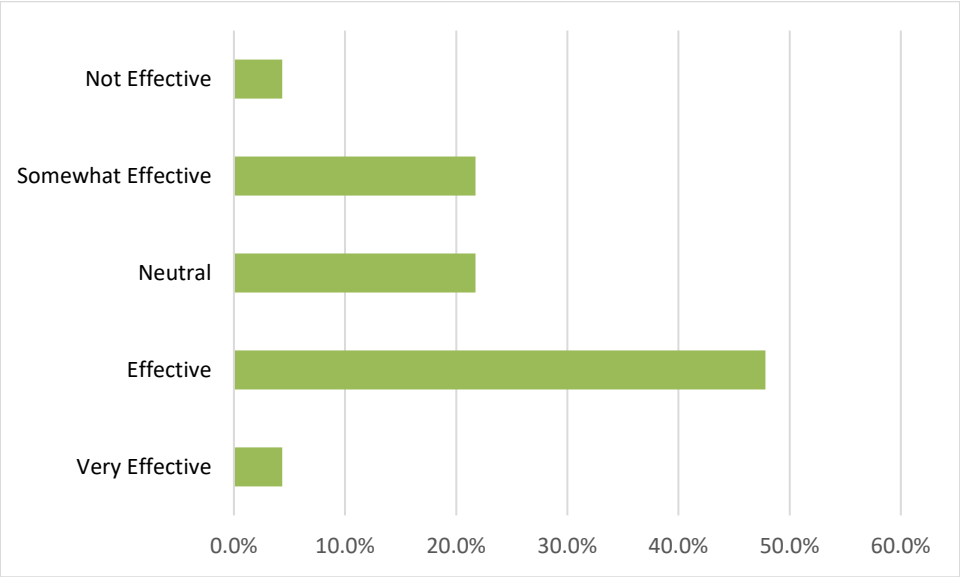
Q1: The SDLC's Subscription Memo process provides my library with sufficient time to make renewal decisions:



Q2: The SDLC does not distribute Subscription Memos until they have final pricing for products. An alternative approach to streamline the process may involve pricing that is estimated/approximate rather than exact. How important is it to you to have exact pricing when making your decisions?



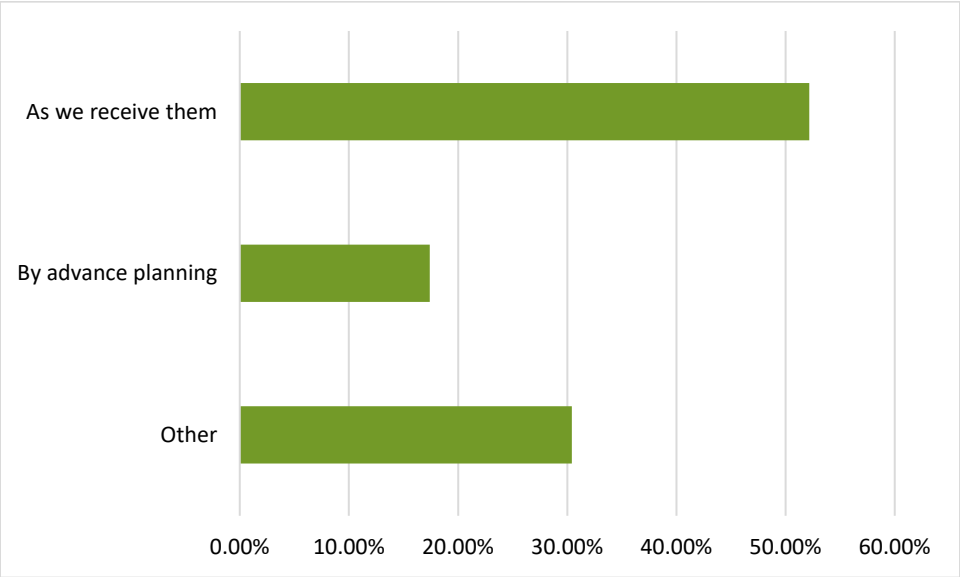
Q3: Please rate the overall effectiveness of SDLC's use of Subscription Memos to handle opt-in subscriptions:



Q4: Please select the statement that most accurately describes your library's planning process for SDLC opt-in subscriptions:

Answer options:

- My library makes decisions about the products on each Subscription Memo as we receive them.
- My library has an annual planning process for e-resources that prepares us in advance for handling the Subscription Memo process.
- Other (please specify)



Q4: Other
We generally plan for small price increases but makes final decisions as we receive subscription memos based on several factors such as funding shortfalls and usage.
It's really a mixture of these two. We try to plan a bit, but it's often difficult with new contracts/pricing
We make decisions on renewals as we receive them. For new opt-in offers we definitely need more lead time and more information
It's a mix of the two, but closer to "as we receive them."
Mostly this statement: "My library has an annual planning process for e-resources that prepares us in advance for handling the Subscription Memo process." However, if the contract is being renegotiated or it is indicated that the price will change drastically, we will make decisions as the Memo comes out.
I plan ahead for continuing subscriptions through the CO, but when there are new offerings I, of course, decide when I receive the memo (or hear about it on a listserv) and often that isn't enough time.
Generally we use the annual process (we tend to change very little), but new offers or changed circumstances or pricing can lead us to reconsider mid-year.

Q5: Please provide any suggestions you have for improving the annual renewal process for SDLC opt-in e-resources:
Consistency in providing updated usage statistics and requesting alternative usage reports from vendors if Counter is not available on behalf of the campuses. Additionally, I appreciate SDLC staff's flexibility with deadlines, but approximate pricing would be acceptable if our library can be given significantly more time to make decisions on opt-ins.
I'd strongly prefer a system in which all calendar year or fiscal year opt-ins are selected at the same time, in one system. It would also be great if the system stored contact information based on a login, and if fields like price were filled in automatically based on our selections.
I think the Subscription Memo process works well. There is usually at least two weeks to review the opt-in resource's usage and to confer with my subject librarians before the deadline to respond with a decision, so I think it works fine.
This suggestion is less important for renewal than for new opt-ins. We used to have more information about the scope of resources, links out to titles lists, and so forth. We have not done that for quite a while now.
1) Not sure if this is anything y'all can fix, but the Chancellor's Office is sometimes very slow to process the CPOs for opt-in resources. We had a bit of an accounting kerfuffle at our campus this past FY when our budget analyst needed to close the books in early June, and three opt-in resources had not yet cleared the account. It would be great if the CPOs could be processed within a month or so of the subscription renewal, instead of lingering around until the very end of the FY. It would also be fantastic if the CPO data included information about which Subscription Memo it corresponds to. 2) (possibly outside the scope of this survey) I don't think I could survive another round of "maybe this will be cut from the ECC and become opt-in" this year, without sufficient strategic planning and time to consult with the affected parties. At the very least, I would want to avoid a repeat of last Spring, where usage stats were released on a Thursday afternoon and EAR took a vote on recommended cuts the following Wednesday morning. 3 business days did not give me sufficient

time to consult with others in the library, nor the academic programs that stood to be severely negatively impacted by the recommended cuts. I understand it was a confluence of circumstances that led to the shortfall situation and poor timeline; but I very much want to see SDLC and EAR move away from reactionary crisis management and toward proactive strategic planning, which will allow libraries to plan for budgetary shortfalls well in advance. Can SDLC's calendar and deadlines be better aligned to EAR's efforts, or vice versa? 3) The renewal cycle for subscriptions has been wildly inconsistent over the years, which negatively impacts libraries' ability to manage the collection budget and plan for shortfalls. Again, I realize there are often extenuating circumstances outside of SDLC's control; but we would greatly benefit from a concretized renewal calendar, and more consistent communication from SDLC about the status of negotiations/renewals.
My number one concern is "redistributed" pricing. If this is continued at all, it needs to be far more transparent. Currently there is no way of knowing when it will kick in for a particular resource, no way of anticipating and planning for the price difference, and no way of knowing what formulas were used or confirming that the values for your campus are correct or disputing the new price if the formula is not correct. While the intentions behind the process are good, signing up for a deal with a guaranteed inflation of X% and then getting a renewal memo with X+Y% inflation instead is not a good thing. As far as the physical process goes, where multiple opt-in renewal/start new resources are involved, there needs to be a better line-item system. Ideally, it would automatically add the line items to the end of the memo with their prices and a total. The final versions of the memos that are posted to SDLC need to be more consistent in showing which page of prices applies to which campus--it can sometimes be impossible to tell, and we do refer to these from time to time.
The current system, based on Microsoft Office (?), is a bit clunky. SCELC has adopted a new consortium management system (ConsortiaManager) that might be looking into.
I'd like to see additional communication between SDLC staff and campuses, beyond the subscription memos. Preliminary estimates followed by exact prices via subscription memos would be helpful. I would also like to see a directory of approvers for each campus made public on the COLD or SCLC website. There is a lot of discussion on the collection development list, sometimes from multiple librarians at a single campus, and those voices sometimes give the impression (not intentional, I'm sure) that they are the official approvers for their campus. It would be helpful if everyone knew who the official contact was at each campus.
Price is important even if it's just an estimate. Memos without any pricing are not helpful at all.
For journal packages specifically, it would be good to assess the individual title holdings on the campuses and consider making content changes to the packages. It would be helpful to have this as a part of the annual negotiation process. For subscriptions whose campus by campus cost is affected by the number of campuses subscribing, it would be helpful to know how many campuses plan to subscribe or cancel throughout the process. As the potential discounts increase, additional campuses may want to consider subscribing.
Many of the memos come out at the same time every year and some change. A general idea of what month we will expect to see memos would be appreciated. For example, one year we saw a subscription memo in the fall and the next year it was in the Spring, I called to see when we should be expecting it and Terri said it was being negotiated and therefore it was late. Just a general estimate of what month we generally should see memos for each vendor. Once we submit memos, there is no way to double check that it was received. Eventually there is a spreadsheet that marks us as subscribers or not, but it takes a while. It would be nice to just have an email or have our name checked off somewhere that our memo has been received. Additionally, we have three people who need these memos to complete payment, if upon completion it could be automatically emailed to multiple people, it would streamline our process. There are several coded memos that have pricing for multiple years. This is often on the first page of the memo, but sometimes not. This information is sometimes very hard to find. A spreadsheet of multiyear pricing of negotiated contracts would be appreciated.

Just wanted to clarify the first answer. Generally, we have enough time, but that hasn't always been the case. For the most part opt ins become difficult to move on at the beginning and end of the fiscal year. It is good to know early, but it takes more time as we close out the budget at the end of the year or as we start making decisions in the new fiscal year.
we need updated COUNTER reports for the previous calendar or fiscal year (depending on renewal date) and the pricing 3-4 weeks before the memo is due.
It would be preferable to receive an annual (or bi-annual) renewal notice for all subscriptions and have several months to review the renewal notice. It would also be preferable to make sure that all payments were finalized by the end of May so we could have a more accurate idea of our year end balance.
The process works for us so far.
More lead time would be helpful.
Estimated prices, available in advance, would be really helpful. SCELC has process like this around the beginning of the fiscal year. Turnaround time on the memos themselves is often too fast for meaningful discussion.
We would like to see a big picture calendar of all renewals, so we can plan better if we need to cancel something or replace something. If a database is offered by more than one vendor, then we want that all at once to decide. In the past, we have renewed a database, only to a month later have an offer from a different vendor that we might have preferred.
Having approximate prices would help, as well as how many campuses need to opt in for that pricing to be in effect. Information on how which campuses have opted in would also be helpful. This has happened periodically via the CSU-CD listserv, but this is not an efficient way to learn about subscriptions, pricing, and experiences with vendors.
Exact prices are important but having an estimated price earlier would be very beneficial. Especially for new or changed subscription offerings, there isn't enough time to make a well-considered decision.
Surprise price changes (up or down) or package reconfigurations are the hardest to deal with. However, having one of the smallest budgets, we normally have little leeway in either direction. (We can rarely drop anything we already have, and we can rarely pick up anything new.)
There were some issues this year with the EBSCO opt-ins that were problematic for us - without knowing if the ECC would continue to fund EBSCO, which they ultimately did, we were asked to commit to packages. This was an impossible undertaking because we couldn't commit without knowing the outcomes of decisions. SDLC parties also didn't seem to be talking to one another about the new developments/ECC funding.
Libraries need more than a couple of weeks to respond to a memo but this is what we typically get. It would also be very helpful to get a "heads up" about what memos are headed our way and when to expect them. This was done for awhile but then dropped for some reason. Also, too often multiple memos come out at the same time which can cause a "logjam" of memos all due on the same date. It is hard to not feel blindsided and inconvenienced when this happens

Q6: Please provide any suggestions you have for improving the process for adding new SDLC opt-in e-resources:
I think the trial and memo processes for new opt-ins work fairly well.
I would like to see more e-resources for streaming and datasets.
We need more information on the product in the memo with lead time to look over our options since we normally need to cease subscribing to something else if we want any new e-resources.
1) System-wide trials are a bit of a mystery to me. It's unclear how these resources get recommended to SDLC, and what criteria are used for trialing them at the system level. I would recommend that SDLC *not* run trials at the system level unless 7 or more libraries have indicated interest; otherwise, individual campuses can run their own trials and Ying's time can be saved. It would also be helpful to others to see what trials have been requested, and by whom, so we could potentially collaborate across campuses. 2) We sometimes feel blindsided by the new opt-in offers that come our way. We're largely unaware of what offers SDLC might be pursuing at any given time, and we often lack upfront pricing information. When a new offer subscription memo crosses my desk and we're interested, the memo says "contact SDLC for pricing" with a due date of 2 weeks later. That's simply not enough time to obtain pricing, compare overlap with current holdings, consult with relevant departments, meet with library admin and budget analysts, and secure funding. I think libraries really need to see the pricing up front with the memo in order to appropriately respond. And, even if we did have the pricing up front, we'd likely need longer than 2 weeks to consult with other academic units that may be able to provide the funds. Ideally, we'd know what offers SDLC is prioritizing at the outset of each FY, because you simply cannot budget for new subscriptions if you don't know they're coming! Perhaps SCELC's method of making new offers could be analyzed and adapted to our needs? They always seem to know pricing in advance, and have long time windows for opt-ins. 3) (again perhaps outside of the scope of this survey) Many CSUs have a lot of new degree-granting programs coming online, by virtue of EO 1071 and general growth. Could SDLC and/or EAR undertake a comprehensive review of programs being offered (and soon-to-be offered) across the system, and align those findings with potential opt-in offers? Could the CSU Collection Development Group be kept in the loop?
I would like to see more clarity regarding the roles of SDLC and SCELC. I don't think it's necessarily in our best interest to have SDLC continually trying to negotiate deals that only a few campuses may be interested in when SCELC's more diverse base might give them more leverage to get a better price. I would rather see SDLC focus its efforts on resources useful to the majority of campuses. Some of the smaller deals should perhaps even transfer to SCELC when their term is up.
Right now CSU collections coordinators email back and forth with questions about pricing and the possibility of leveraging the power of the consortium. Sometimes Eddie or others from the CO are included in the discussion. It would be helpful if there were some centralized place, hosted by the CO, for us to do this more efficiently and be able to better track the conversations.
The process now seems very reactive for the campuses, i.e. campuses can only react to announcements and trials. What is the process for recommending a new opt-in resource? I have no idea, and I am a former EAR Chair.

How about asking on the EAR listserv? It's surprising that there is no input from libraries. Also when the core was being cut, why keep piling on new offers? There's a very odd disconnect between this process and the CSU libraries. Sometimes vendors we all work with note they can't get meetings with SDLC and yet resource offers that no one is interested in seem to come out of left field. In the previous SEIR, we used to get notifications about upcoming resource negotiations. That provided time for us to learn more about the products rather than getting a memo with no information and a deadline. Also, especially in this last year, information (price, content, etc) changed after memo deadlines.
Any time that several campuses have direct subscriptions to a product, it would be advantageous for SDLC to explore seeking an opt-in. This is particularly true for resources to which campuses subscribe directly with publishers, rather than those with SCELC. We moved our Nature subscription from SCELC to SDLC this year and didn't see any real benefit, and so this effort would have been better spent on resources that do not have a SCELC offer for CSUs. It would be helpful to have more information on what SDLC is exploring, For example, in the recent announcement that a Taylor and Francis offer was being explored, there was no clarification as to if it was for journals or books and no title lists were provided. This makes it difficult to determine if it is a good offer for us.
When we are provided offers that are "all in" pricing, it would be nice to know before the deadline how many campuses are expecting to subscribe, especially if it makes a difference in the bottom line. Maybe a straw poll a few weeks before the deadline so we can get a sense of how many campuses are going in.
For the most part I am okay with the process, I'd just recommend remaining cognizant of time of the year and expected response time based on the year.
A clear explanation of the process would be nice. When Terri was there, we usually had trials roll into subscription access with just an email. I'm not sure that's going to carry forward and what the rules are, exactly, for this. It'd be really nice if all of this were spelled out. It might even be a good idea to look at something like Consortia Manager (like SCELC) to streamline the process and better track costs, due dates, and renewals.
Trial opportunity and pricing/quote information well in advance are always important for discussion and decision.
Sending out memos for the full range of purchasing options available through SDLC would be helpful. SWANKS is an example of one that does not get an annual memo.
It's good to have trial access to any new resource so that we can consider it in advance.
Updates on what potential new offerings are being negotiated. For example, we really want Statista, and will probably get it through SCELC, because I don't know if the CO is working on this or not. Inform us of what new deals are being worked on.
SDLC could poll the campuses to see which subscriptions campuses are negotiating on their own. They should aggregate the information and see if any cost savings could be realized.
More info about what each subscription entails would be great. Links to documentation (about the content of each package and any other details) that exists outside of the subscription memo (and is archived) is necessary in all cases (this doesn't always happen). I think the vendor ought to be asked to calculate inflation rate and that should be included in the memo and/or in the spreadsheets online.
Estimated prices would be fine for us to make a fairly accurate determination (but with the size of our budget, we rarely can participate in most new opt-in offers).

Sometimes I feel that we don't negotiate as strongly as we could - or that we go off on our own too much. I would love to see more centralized, transparent processes.
SDLC does a better job with opt-ins than renewals, but again the problems come out of a lack of better advance planning. Often it feels like opt-in offers are thrown our way haphazardly. That said I do appreciate that SDLC does make a good effort to get more resources in front of us for review. Also, Eddie in particular has been better about asking for feedback before he starts to negotiate for opt-ins.

Opt-In E-Resources Purchasing Program Questionnaire

About this survey

CDygert Solutions is working with the California State University (CSU) system to evaluate their centralized opt-in e-resources buying program. This survey seeks to explore how organizations with similar programs conduct their own opt-in e-resources program on an annual basis.

1. Please identify yourself:

Name	
Consortium	
Email Address	

Opt-In E-Resources Purchasing Program Questionnaire

Processing Renewals and New Subscriptions

This section is intended to determine how you handle renewals for existing subscriptions, and the process by which you determine interest in and commitment to new subscriptions. Please describe the various steps of the process as completely as possible, what tools you use (survey programs, excel spreadsheets, etc.) to manage them, and how pricing is distributed throughout the process.

2. How do you determine if current subscribers are going to renew products?

3. How do you identify interest in and commitment to new subscriptions?

4. How is pricing distributed throughout the process?

Opt-In E-Resources Purchasing Program Questionnaire

Pricing Allocations and Cost-Recovery Fees

This section is intended to gather information about any price allocations formulas used, and what cost-recovery fees, if any, are assessed for your opt-in e-resources services.

5. Does your consortium have a pricing allocation formula that it uses to distribute pricing across participating libraries where appropriate?

- No
- Yes

If yes, please provide a detailed description of the allocation formula:

6. Does your consortium charge cost-recovery or other fees for your opt-in e-resources licensing program?

- No
- Yes

If yes, please provide a detailed description of the fees charged:

Opt-In E-Resources Purchasing Program Questionnaire

Finally...

7. Is there a single change that you've made in your opt-in e-resources licensing program that resulted in a significant improvement to the process?

- ○ No
- ○ Yes

If yes, please describe:

8. If you have any additional information you would like to share regarding your opt-in e-resources programs, please add it below:

APPENDIX C.1: OPT-IN E-RESOURCES PURCHASING PROGRAM SURVEY RESULTS

Consortium	Q2. How do you determine if current subscribers are going to renew products?
Consortium A	Subscribers complete a survey to obtain quotes. Then, there are two rounds of price quote that need to be obtained. This concludes with each member signing a letter of intent.
Consortium B	We've just started the implementation process for ConsortiumManager, so all of this will be different in about a month, but currently we email a spreadsheet with prices for resources, and ask for a selection sheet to be returned to indicate if subscriptions should be added, canceled, or renewed. That's the process strictly for individual institutions. We also have group subscriptions that are also opt-in in the sense that it's entirely up to that community's decision-making council (usually the deans/directors) whether or not resources are renewed, and what should be changed. Those decisions are made at in person meetings and through online/email voting.
Consortium C	I email the current subscribers with the pricing for the next year and ask them to let me know if they are interested in renewing.
Consortium D	Consortium D has a standard four month cancellation policy for opt-in products, so if that date passes by, a renewal is assumed. (We of course try to cancel products with a vendor after that deadline has passed if an institution tries to cancel.) We now use ConsortiaManager to push renewal pricing out to our institutions, and that helps with active renewal, but resources that are not actively cancelled renew automatically.
Consortium E	We don't actively pursue this. See question 4 below for our process. Historically, Consortium E has a pretty high renewal rate, other than in years of significant fiscal downturns, of which we have had many. Pricing we offer the libraries is not predicated on a certain level of renewal.

Consortium	Q3. How do you identify interest in and commitment to new subscriptions?
Consortium A	A signed letter of intent.
Consortium B	For individual library subscriptions, we don't for the most part. That selection of resources we offer is mainly an offshoot of out larger statewide and group subscriptions. Since we're already doing a lot of business with these vendors, we're already at a point where we can ensure that we have enough subscriptions to leverage our buying power, and since they're already set up for payment the additional paperwork is fairly trivial. For groups, the description for the previous question governs this process as well.
Consortium C	We started a new plan this last year for new subscriptions. During the spring I send out surveys to our members about possible new resources with descriptions and link if available and ask for their interest level. We then will run trials for the five resources that showed the highest interest. To go forward with licensing we must have at least 5 members commit to subscribing. This last year most of the resources came from vendors contacting me but ideally the resources we look at would be suggested by the members. Since this is a new process they are not used to that yet.

Consortium D	Consortium D's products are determined by a minimum shared subscription by all 39 public institutions, so opt-in products are not a core focus for us. In the typical scenario, the public schools add a product, and when I announce it to the consortium via email, I mention that private schools can opt in. (When we start a new product with existing private subscribers, we work to incorporate them into our contract, including adjustment of subscription terms.) I do not push out pricing at that time but provide it upon request. We also have some cases where there are optional titles/products on a shared contract (such as Science Immunology in addition to the shared Science) that a public institution might opt in for, but we let the vendor's sales team promote those options to the relevant schools. We have discussed expanding our opt-in program, including doing discount-based contracts, but it would be a significant increase in staff time. If you are interested in how we determine interest in/commitment to new contracts, which can often involve cost sharing, we have a representational committee structure that decisions go through, and we do lots of work in our central office to run numbers on new options and gather commitments for schools that are not on the Collections Committee.
Consortium E	The process of evaluating Interest has two steps: 1) proposals from vendors for new products are initially vetted by Consortium E's Commercial Products Committee, which is made up of 3 representatives from each of our constituent groups (community colleges, private 4-year and public 4-year institutions). They are asked to assess the product both for their institution and for their peer group. If a product is of interest it moves to the second step. 2) we do periodic interest surveys of our members. The surveys generally include several products and these are ranked based on interest. Consortium E won't pursue a license agreement unless at least 10 libraries or 10% of the consortial FTE express interest; the vendor is offering a discount of at least 25% off of list and the anticipated consortial savings will be at least $10,000. Commitments are gathered as described in #4 below, utilizing our selection system.

Consortium	Q4. How is pricing distributed throughout the process?
Consortium A	Via email in spreadsheets--this is going to change in 2021! [Note: Consortium A is implementing ConsortiaManager]
Consortium B	To the greatest extent possible we ask vendors to be transparent and provide a breakdown of pricing for each site. We prefer costs not to be a judgement call for us, and this also makes it much easier to determine costs on an ongoing basis as participation changes. Not all situations work this cleanly, and where there are exceptions we try to ensure that each and every site is obtaining the best cost possible; if there's even one site that's paying more than they otherwise would, we consider that a problem.
Consortium C	I send members what their individual pricing would be, I do not send pricing for everyone out to the entire group.
Consortium D	We do not have a large focus on opt-in pricing, but we sometimes distribute it via email to our collection contracts (each Consortium D school is required to have one - and only one - collections contact) and sometimes post it on our contracts page (protected by a password). Often we speak

	more about % discount than actual pricing. We only put final pricing in ConsortiaManager at this time.
Consortium E	Consortium E utilizes a relational database to manage license and subscription information. The system allows libraries to log in during limited sign-up periods (6 weeks in the fall for calendar year subscriptions and 6 weeks in the spring for fiscal year subscriptions). They make their commitments in the system.

Consortium	Q5. Does your consortium have a pricing allocation formula that it uses to distribute pricing across participating libraries where appropriate?	Q6. Does your consortium charge cost-recovery or other fees for your opt-in e-resources licensing program?	Q6. If yes, please provide a detailed description of the fees charged:
Consortium A	No	No	
Consortium B	No	No	
Consortium C	No	No	
Consortium D	No	Yes	Our private schools pay 2.1% of their previous year's invoices to support the staffing costs for our procurement personnel at our home University.
Consortium E	No	No	

APPENDIX D: SDLC STAFF

The Chancellor's office has four staff members that support the ECC and Opt-In Programs. The staff members named here were in place as of September 1, 2019.

Director of Systemwide Digital Library Content
Staff: Eddie Choy
This position provides overall management of SDLC. This position is responsible for negotiating price and terms and conditions of the ECC and Opt-in contracts, working with vendors to develop strategies and resolve issues; manage the CO budgets relating to libraries, the development and implementation of new opt-in agreements, management of the ECC, Opt-in, and ILL Courier Services contracts including the approval of all contracts and invoices, oversees SDLC's SharePoint and web presence, supervises the work of SDLC team members, represents CSU libraries in the CSU-UC-CCC California Higher Education Collaborative, and serves as the primary point of contact for COLD and EAR.

SDLC Library Services Specialist
Staff: Ying Liu
This position maintains the SDLC SharePoint site, works with vendors to communicate their offers to campus libraries, advised the SDLC team on library science issues and data, compiles the annual ACRL/IPEDS report, and maintains various listservs.

Contract Manager (Funded by CSU Library Administrative Fees)
Staff: Ester Kim
This position performs as the lead for the daily operations of SDLC. This position is responsible for managing the routine contractual issues and coordinates with the financial analyst in resolving financial issues from the campus libraries and vendors. This position is the lead in processing the annual renewals of the ECC and Opt-In contracts. This position also supervises the Library Specialist position in ensuring that SDLC's online communications with the campus libraries are up to date. This position acts as the primary contact for campus libraries and vendors.

Financial Analyst (Funded by CSU Library Administrative Fees)
Staff: Lisa Tran
This position is primarily responsible for financial matters relating to the ECC and Opt-in contracts. For the campus libraries, this position manages the Subscription Memos, the process where libraries commit to their participation in Opt-in contracts, and CPO's, the process where libraries reimburses the CO back for their Opt-in participation. This position is also responsible for the processing of vendor invoices to ensure the amount paid conforms to the contract, monitoring the ECC budget and maintaining the online Subscription Memo log, an ongoing detail report of what each campus paid for on each of the Opt-in contracts.

[Note: The positions of Contract Manager and Financial Analyst are funded by CSU institutions through the newly established allocation discussed in the section "Administrative Fees for the Opt-In Subscription Program."]

EAR Charge

Accessed at https://calstate.atlassian.net/wiki/spaces/COLD/pages/11632819/EAR+Charge on August 21, 2019.

CSU Electronic Access to Resources (EAR) Committee charge (revised and approved June 2015)

The EAR Committee was formed in 1990 to explore ways in which the resources of the CSU libraries could be maximized through shared acquisition of electronic resources and digital content.

The Committee works together to seek electronic resources and digital content that has value to the entire CSU system. It surveys the campuses to get input concerning the Electronic Core Collection (ECC) and new content that becomes available. It can also request trials for products that might be beneficial to the entire system.

The Committee meets regularly throughout the academic year with one (1) in person meeting at the discretion of the chair(s). Regular business meetings are open to any interested party.

The Committee evaluates information from the CSU libraries, seeks consortial arrangements, and works with vendors to develop economies of scale.

Membership: Membership is as follows:

- Two (2) library deans who serve as chair and chair-elect.
- Eight (8) librarians, consisting of five (5) from the areas of collections and/or electronic resources, and three (3) from other areas of library work.
- One (1) representative from the Office of the Chancellor. (Director, Academic Technology Services Contract Management)

At any given time, EAR does not have members from every CSU campus; however, the selection of EAR committee members by the Council of Library Deans (COLD) is based on a balanced representation of members from both northern and southern campuses and from large, medium, and small campuses.

Scope of Committee Activities: The EAR Committee has identified the scope of its activities to include:

- Examine the long-terms goals of the CSU libraries as developed by COLD and responds to these goals with recommendations on the acquisition of the full range of digital information resources.
- Review and compare digital resources currently available and evaluate as requested, for consortia negotiation. Evaluation will be conducted through open trials of products across the system with feedback of these product trials received from as many sources as possible through product surveys.
- Regularly survey and analyze the needs of CSU libraries regarding existing and desired electronic information, databases, and online information resources.
- Develop benchmark criteria for decision-making, vis-a-vis digital resources and selection/addition/deletion of resources to the ECC and the CSU consortia. This may include various standardized usage data, cost/benefit analysis. Final decision-making in EAR reflects the potential value to the CSU as a whole, and not solely on the needs of a specific campus.
- Regularly disseminate minutes of EAR activities, information-gathering methods, and decisions and archive these minutes in the location selected by COLD.
- Cooperate with other COLD committees as requested.

Working Groups: EAR may at times create or dissolve Working Groups to assist the committee with its charge. At least one voting member of EAR will be a member of each working group but other members of the working groups may not necessarily be voting members of EAR, All working group members are encouraged to participate in regular business meetings.

Working Group membership may vary in size dependent on the needs of the tasks involved.

APPENDIX F: ECC RESOURCES

ABI
Academic Complete eBooks
Academic Search Premier
ACS Journal Archives
America History & Life/Historical Abstracts
American Council of Learned Societies
Arts & Sciences I Collection
Arts & Sciences II Collection
Arts & Sciences III Collection
Arts & Sciences IV Collection
Arts & Sciences IX Collection
Arts & Sciences V Collection
Arts & Sciences VI Collection
Arts & Sciences VII Collection
Arts & Sciences VIII Collection
Arts & Sciences X Collection
Arts & Sciences XI Collection
Arts & Sciences XII Collection
Arts & Sciences XII Collection
Biological Abstracts
CINAHL Plus Full-Text
Communication & Mass Media Complete
CQ Library Researcher
Digital Dissertations, Subset A Humanities and Social Sciences
Ethnic News Watch
Gender Watch
Global Newsstream (formerly current LA Times & Newsstand Combined)
Grove's Music
Life Sciences Collection
MathSciNet
Mergent Online Mergent
Modern Language Association (MLA)
NetLibrary
New O'Reilly Safari Tech Books
Oxford English Dictionary

Project Muse Standard Collection
PsycArtEBSCO and ProQuest
PsycINFO
SCOAP3
Sociological Abstracts (includes social Service Abstracts)
Springerlink Online Historical Backfiles
Westlaw: Campus Research - News and Law
Wiley InterScience Backfile
Wiley-Blackwell Backfiles

APPENDIX G: ALLOCATION FORMULA FOR CO STAFF

Distribution of FY17/18 admin fees					
	Opt-in Subscription Costs			ULMS-CO Staff Costs	
Campus	**Opt-in Subscription Costs**	**50% FTE and 50% of 1.6% admin**		**ULMS Costs**	**50% FTE and 50% of 18% admin**
Bakersfield	$317,697.86	$4,980.47		$30,803.00	$5,549.63
Channel Islands	$323,471.96	$4,202.70		$22,816.00	$3,937.17
Chico	$560,322.38	$8,961.38		$54,891.00	$10,031.55
Dominguez Hills	$422,639.70	$6,566.16		$47,580.00	$7,911.61
East Bay	$595,004.19	$8,327.18		$47,963.00	$8,430.35
Fresno	$914,167.18	$13,172.51		$71,457.00	$13,163.65
Fullerton	$1,073,555.98	$17,616.17		$113,488.00	$20,453.88
Humboldt	$321,577.57	$4,650.22		$30,143.00	$5,098.65
Long Beach	$1,101,799.28	$17,181.16		$107,627.00	$19,218.87
Los Angeles	$911,801.15	$13,504.22		$75,137.00	$13,875.14
Maritime Academy	$36,409.42	$643.64		$9,230.00	$1,227.72
Monterey Bay	$218,103.40	$3,556.93		$23,451.00	$4,167.00
Moss Landing	$29,924.91	$228.00		$2,100.00	$189.00
Northridge	$977,172.28	$16,480.71		$107,960.00	$19,522.06
Pomona	$709,279.87	$11,839.40		$73,670.00	$13,614.22
Sacramento	$732,242.88	$12,955.38		$88,805.00	$15,998.57
San Bernardino	$541,450.91	$8,997.82		$59,572.00	$10,648.84
San Diego	$1,233,537.82	$18,592.13		$100,428.00	$19,012.60
San Francisco	$1,019,716.34	$15,132.83		$89,131.00	$16,008.94
San Jose	$1,394,425.46	$18,434.81		$98,263.00	$17,309.92
San Luis Obispo	$778,447.66	$11,926.57		$63,042.00	$12,178.90
San Marcos	$451,215.16	$6,658.03		$40,459.00	$7,133.97
Sonoma	$413,530.53	$5,580.99		$32,406.00	$5,550.99
Stanislaus	$309,171.42	$4,764.47		$31,717.00	$5,467.57
Total	**$15,386,665**	**$234,954**		**$1,422,139**	**$255,701**

Document Source: Excerpted from a document supplied by the Office of the Chancellor to CDygert Solutions.

APPENDIX H: SDLS POSITIONS FUNDED BY THE CSU LIBRARY ADMINISTRATION FEES

The Chancellor's Office has two staff members in the Digital Library Technology Services (SDLS) division that support the Unified Library Management System. The staff members named here were in place as of September 1, 2019.

Data Manager
Staff: Brandon Dudley
The Network Library Data Manager is responsible for the successful management of library data in the Unified Library Management System. The Manager oversees policies and practices for shared cataloging across the 24 CSU libraries, ensuring accurate information, data integrity, and efficient staff workflows in all functional areas. The Manager will additionally supervise data maintenance and associated clean-up efforts at both the systemwide and local campus levels, monitor vendor support activities, and be responsible for clean and accurate bibliographic data throughout the system. The Manager will manage activities in the Alma Network Zone, including configuration and user management, systemwide data loads and ensure automated processes of benefit to the CSU libraries work as designed.

Resource Sharing Manager
Staff: Mallory Debartolo
The Resource Sharing Manager provides overall management of strategic, systemwide resource sharing initiatives within the Unified Library Management System. This position develops strategies and direction for service delivery/integration, communications, support, and promotion of resource sharing services and planning in direct consultation with the CSU libraries and SDLS managers. The Manager will provide high-level oversight and project management for collaborative resource sharing operations within the CSU.

[Note: The two positions above are funded by the CSU institutions through the newly established allocation discussed in the section "Administrative Fees for the Opt-In Subscription Program."]