Working with CAUL/CEIRC
- for (new) publishers and their (new) representatives ....

VALA2016
Thursday 11 February 2016
what is CAUL ....

- 39 Universities Australia member libraries
- 1965 - Committee formed
- 1992 - name change to “Council”
- 1995 - full-time executive officer, now 3.7 FTE staff
  - Education & advocacy – Liaison / Representation
  - Cooperative activities – Statistics, ULA, Performance Indicators & benchmarking, Research data & repositories support, CEIRC program
- Secretariat, Committee support, Web site, Current awareness
what is CEIRC ....

(CAUL Electronic Information Resources Consortium)

- universities – 39 in Australia (CAUL members) and 8 in New Zealand, ranging in size from <4,000 FTE to >41,000 FTE
- government research organisations (180 to 6,000 staff FTE)
- government departments
- polytechnics and other higher education institutions

Total 69 institutions

Committee chaired by Philip Kent (from 2013) with 4 university librarians (one CONZUL) and 2 Datasets Coordinators – reports to CAUL
CEIRC ....

Since 1996 ....

- government funded ($A2m) trials of online resources (1994-1996) evolved into group purchasing facilitated through CAUL

- no government funding of information resources – the one exception was a capital injection for JSTOR in 2004 – research funds are distributed to libraries at the discretion of the university

- expansion of purchasing group from universities to NFP research organisations, government departments and other higher education institutions – group closed, saturation point

- expansion in the number & type of e-resources purchased – continuing

- expansion of central support from 1 FTE to 2.7 FTE
what is different about us vis à vis the US or European universities …. 

• 80%+ of university library purchasing is off-shore, subject to the vagaries of currency fluctuations
• de-duplication of subscriptions has been underway for decades, leaving less room for reduction in base spend 
• the move to e-only started in 1997, and is almost total now
• 50% of universities are multi-campus, but all with single administrations both for the library and the university – law schools and medical schools are not independent but are just other faculties of the university
• 37/39 universities are officially publicly funded, though the average public funding is close to 50% - the other two also receive government funds

#New Zealand is similar on all counts
how do we operate ….

- Start with members’ needs
- Alternative clauses for licences - no strict model
- Checklist for “negotiations” and some regular red flags e.g.
  - authorised user definitions
  - walk-in users
  - course-packs and e-reserve
  - inter-library loan
  - indemnity clauses

but
- No one, preferred pricing model (just not current spend)
- No minimum participation
- No schedule of negotiations
the role of the CAUL Office ….

- Instigation via member, publisher or office
- Negotiation/liaison re price & conditions
- Distribution of information re product, licence, price & trial via email list
- Collation* of members’ responses re trials, subscriptions and purchases
  - Participation list, IP addresses, contacts
- Maintenance of details re members and publishers on web site – the knowledge base
- Invoicing & payments

*except by agreement with vendor ….
decision-making ....

- self-selected consortium vs consortium licence
  - “Buying club”
- Datasets Coordinator - coordinates communication & decision by given date!
- all of consortium licence - an ideal which requires either
  - top-sliced or additional funding
  or
  - internal agreement about what is wanted and how much the individual institutions are prepared to pay for it
cost-sharing ....

- Determined by/with** publisher & passed on to group e.g.
  - Subscription history (current spend – was appropriate in its day but does not have the flexibility required – require parameters which change with the university’s requirements)
  - Percentage discount by volume
    - # Institutions
    - # Databases
    - # Titles
  - EFTSU / FTE - all or discipline-specific
  - Carnegie Classification (fairly blunt instrument, but not as blunt as some new tier models)

** see CAUL principles & framework for pricing models
cost-sharing ....

- Determined within consortium e.g.
  - Equal share
  - FTE-based – weighted, relevant
  - Usage-based – NOT in any direct way
  - Resources budget

or

- ... a combination of the above e.g. 50% equal share (entry level) + 50% FTE-based
- ... or what it is worth to the institution e.g. NAAL (Alabama)
CEIRC Principles & Framework for Pricing Models

Principles

• Annual price increase capped at CPI
• Current print spend model is not valid so should not be a factor in price model
• Price model should be able to reflect changes in institution and environment over time – move with size (FTE) and nature (disciplines, research intensity) – both up and down
  – Build research performance into model as appropriate
  – Site pricing not compatible with online publishing
• Avoid volatile factors such as usage
• Different products may lead to different models
• Genuine approaches to flexibility
Framework for Approaching New Pricing Models

Sustainable pricing model should address:

• Rebased pricing model which reflects the product (type, discipline, level) and the subscribing university (size, weight, nature) constructed with parameters that are appropriate, readily available, transparent and valid
• Agreed annual price movements
• Agreed framework for adding and removing content
• Agreed timeframe for regular recalibration of rebased model, recognising that numbers may decline or increase
• Transition plan to the new model, dependent on quantum increase or decrease for subscribers, negotiated within CAUL
the role of the vendor

Presentation of proposals:
- Content = product description, pricing model, licence template, current subscribers’ list, data sources;
• **Presentation**
  
  – New proposals/licences – Word (to allow CAUL to mark-up with comments etc.), tables in Excel (with formulae);
  – Revised proposals/licences – marked-up from previous proposal;
  – Every document to include author & update date within the document (filename is not sufficient);
  – Lists of institutions to be in alpha order, by the correct name of the institution (no abbreviations);
  – Spreadsheet to be formatted for efficient viewing by the customer i.e. freeze panes, enable column filters, print set-up to retain headers on each page, consistent font choice and size, etc.
• Communication with the customers
  – marketing;
  – trials;
  – receiving orders (unless agreed that CAUL does this);
  – invoicing (unless … );
    • if vendor receives orders, should also invoice; verso does not work well;
  – managing licence signatures (unless …)
    • for agreed CAUL licence template
Information for new vendors …. 

Useful links on the CAUL website (please bookmark):

- **CAUL/CEIRC purchasing group members:** [http://www.caul.edu.au/caul-programs/ceirc/participants](http://www.caul.edu.au/caul-programs/ceirc/participants)
  This page includes official FTE numbers, IP ranges and all contact details for members (all CAUL, CONZUL members and our external participants).

  This page includes links to our information about your company and its offers to CAUL/CEIRC.

  This page includes details of the most recent offer to CAUL/CEIRC for given products. (When the offer is superseded, the previous details are deleted from this page, but stay accessible under your company page on the website.)

  This page provides resources for our members, but also includes links to model licences, and our very own model clauses - for use when any proposed licence includes an unacceptable clause.
CAUL Programs

The CAUL strategic plan emphasises collaborative activities which will contribute to the achievement of key objectives including:

- optimising student learning outcomes;
- maximising the potential of libraries to contribute to graduate attributes;
- maximising the information resources available to researchers, and the facilitation of their access;
- promoting continuous improvement in university libraries, and
- advocating effective policies and an appropriate legal and regulatory environment.

CAUL and its members are currently engaged in a range of major activities:

- the CAIRSS (CAUL Australasian Institutional Repository Support Service), which has effectively superseded the Australian Digital Theses program;

contribution to the enhancement of open scholarship through COSI and SPARC;

University Library Australia, the national borrowing scheme for Australian university students and staff; cooperative provision, since 1982, of access to electronic journals & databases through the CEIRC program;

determination of performance indicators for academic libraries;
ABC-CLIO

This page is primarily for the information of CAUL/CEIRC members who wish to subscribe to this publisher's products and/or services. It provides information about offers to CAUL and CAUL-specific pricing, and links to relevant pages on the publisher's own website. For other information, please go directly to ABC-CLIO.

Products
See also Offers to CAUL/CEIRC - Licences - Technical/Sales Support - Statistics

World Religions, Belief, Culture, and Controversy (Academic)

This comprehensive reference resource provides a virtual textbook that covers religion across the globe, making student research on faith and belief across humanity easier, and enabling a deeper understanding of the complex issues facing us in the 21st century. (25/10/11)

ABC CLIO eBook Collection
including History Reference Online
Tour of eBook Program
eBooks - eBook Title List - All eBooks (24/7/08)
eBook Collections to 2005 (24/7/08)
eBooks - History Reference Online - Complete eBook Title List (24/7/08)

Licences

eBooks 2009 PURCHASE and SITE LICENSE AGREEMENT (24/8/10, valid 27/8/11)

History Reference Online Site License Agreement (23/7/08)

Signals Site License Agreement: America: History & Life, Historical Abstracts (ABC-CLIO 15/6/04, still valid 22/9/06)

Use of content in course-packs or electronic reserve and linking direct to article level - CONTACT PERMISSIONS@abc-clio.com
when this is required (19/7/10)

Perpetual access conditions for subscriptions to journals and books - included in license section 1.1 (19/7/10)

Historical Abstracts and America: History & Life have been set up via EBSCOhost

NEWS (9/1/08): From Tim Colley - I can advise that Historical Abstracts and America, History & Life have been set up via EBSCOhost for all Australian & New Zealand university customers. We are currently reviewing each customer's setup to ensure that HA and AHL are appearing on all appropriate EBSCOhost profiles (per customer).

...Additionally, we will send out a communication shortly to advise that HA and AHL are now available on EBSCOhost and to request notification from customers if they cannot "see" these databases via their individual EBSCOhost profiles.
Technical/Sales Support

Contacts: Deborah Harman Director, International Sales Tel +44 1844 238448

Statistics

ABC-CLIO subscribers can now login for their usage stats with their email address. I presume that it will be the email address of the dataset coordinator, or the one who is registered when the subscription was setup. (1/9/05)

http://serials.abc-clio.com/reports/start?_appname=reports

COUNTER compliant statistics, and level of compliance. YES (1/9/10)

ABC-CLIO statistics login details for subscribers (8/9/05) [Members only]

CAUL Pricing / Offers to CAUL/CEIRC

Members only: documents may be viewed from the display at the end of this page.

ABC-CLIO eBooks 2011 pricing for CAUL (11/5/11) [Members only]
- Includes Praeger Security International Online

ABC-CLIO eBooks 2010 pricing for CAUL (10/5/10) [Members only]
Offer to CAUL for 2009 - from ABC-CLIO (9/29/09) [Members only]
- Includes titles list for all imprints - ABC-CLIO, Greenwood, Libraries Unlimited, Prager

2007 eBooks Proposal to CAUL (26/11/07) [Members only]
Titles pricing and selection sheet (27/11/07) [Members only]
ebooks Proposal to CAUL (via DA) 29/08/05 [Members only]
Collection titles to the end of 2005 (12/05)

History Reference Online Pricing for CAUL for 2009 (23/7/08) [Members only]
Titles List (24/7/08)

ABC-CLIO History Reference Online - offer to CEIRC members (via DA, 14/9/06) [Members only]
Titles List (14/9/06)

Historical Abstracts and America, History and Life

For 2008 and later offers to CEIRC, see the EBSCO page (28/7/08)
Renewal Offer and Offer to New Subscribers for 2008 - All CEIRC Members (via DA, 23/7/07)
Renewal Offer and Offer to New Subscribers for 2007 - All CEIRC Members (via DA, 14/9/06)
Renewal pricing for 2006 (via DA, 16/8/05)

Previews for 2006 (12/5/05) updated 4/6/CAU Furthert details via DL Information Services (2/1/05)
Current offers to CAUL/CEIRC

Monday, 13 January 2014

The following table lists offers currently and previously available to CAUL/CEIRC members. For earlier offers, see links from the old CAUL website.

Survey of CAUL properties for copyright purposes - 16 April 2005
Survey of CAUL properties for archiving purposes - 8 March 2004
Survey of CAUL properties for fair use of the licensed - 11 May 2001

<table>
<thead>
<tr>
<th>Date of notification</th>
<th>Publisher (link to CAUL website)</th>
<th>Productive</th>
<th>Test, Expressions of interest, etc</th>
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<tbody>
<tr>
<td>10/11/14</td>
<td>Adam Matthew Digital Collections</td>
<td>Adam Matthew Digital Collections</td>
<td>Trials available: until 30/11/14; contact Adam Matthew directly</td>
</tr>
<tr>
<td>5/11/14</td>
<td>AusLit</td>
<td>AusLit – The Australian Literature Resource</td>
<td>Trials available: until 30/11/14; renewals 20/11/14</td>
</tr>
<tr>
<td>21/11/13</td>
<td>Cold Spring Harbor Laboratory Press</td>
<td>CSU Journals (Package A, Package B, CSU Core Collection in Biology, individual titles), Monographs Archive</td>
<td>Trials available: until 30/11/14; renewals 20/11/14</td>
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</table>
Cold Spring Harbor Laboratory Press

This page is primarily for the information of CAUL/CEIRC members who wish to subscribe to this publisher’s products and/or services. It provides information about offers to CAUL and CAUL-specific pricing, and links to relevant pages on the publisher’s own site. For other information, please go directly to Cold Spring Harbor Laboratory Press.

Products

See also Offers to CAUL/CEIRC - Licenses - Technical/Sales Support - Statistics

CSEHL Journals Package
- Genome Development
- Genome Research
- Learning & Memory
- RNA
- Cold Spring Harbor Perspectives in Biology
- CSHL Protocols

Cold Spring Harbor Laboratory Press current pricing for CAUL/CEIRC

published 21/1/2013; trials available, end 20/1/14; renewals 20/1/14; invoicing via CAUL (reb)

CSEHL 2014 pricing for CAUL

CSHP vendor arrangements in flux

EBSCO has recently been
CEIRC Program Participants (Datasets Coordinators)

Tuesday 15 October 2013

CEIRC Members are comprised of three categories - the Australian (CAUL) and New Zealand (CONZUL) universities - and our external participants, from other higher education and research institutions and government departments in Australia and New Zealand.

Wherever possible, all interested participants are included in CAUL-negotiated agreements with publishers and other suppliers - in some cases, non-academic institutions may be excluded or offered different terms.

- CEIRC program participants - CONZUL
- CEIRC program participants - External

The CAUL FTE numbers are official government figures from the Department of Industry, Innovation, Science, Research and Tertiary Education (DIIRTE).

The CONZUL student FTE numbers are also official government figures and staff numbers available under Human Resources.

Australian (and New Zealand) universities student FTE numbers by 'narrow discipline group' and level of course (updated 15/10/13, 2012 figures) for further breakdowns of Australian narrow disciplines, see Annex 5: Fields of Education classification (Post 2000) (a component of the Australian Standard Classification of Education - ASCED), Australian Bureau of Statistics: 1272.0 Commonwealth (of Australia) Register of Institutions and Courses for Overseas Students (CRICOS)
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Name</td>
<td>Rebecca Henson</td>
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<td>Fax</td>
<td>02 9739 2367 (updated 18/6/13)</td>
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<tr>
<td>Email</td>
<td><a href="mailto:rebecca.henson@acu.edu.au">rebecca.henson@acu.edu.au</a></td>
</tr>
</tbody>
</table>

**IP Addresses**

- 192.140.223.230
- 203.10.33.7
- 203.10.40.47
- Proxy (original): 192.140.223.119
- Proxy: 192.140.223.120
- Proxy: 192.140.225.19
- 182.70.216.16
- 203.202.170
- 203.12.20.243 (updated 18/6/13)

**FTE Numbers**

- 17,887
- (2012, last updated 13/8/13)

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<tr>
<td>Name</td>
<td>Lisa Bradley</td>
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<td>(02) 6125 0680</td>
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<tr>
<td>Fax</td>
<td>(02) 6126 4083</td>
</tr>
</tbody>
</table>
eResources & Licence Management

CEIRC Licence Management

- CAUL statement on non-disclosure and confidentiality clauses in licences
  (approved by the CAUL Executive Committee, 24/6/11)
- Checklist for vendor negotiation (CEIRC)
- Vendor response form re licence conditions - for making proposals to the
  CAUL/CEIRC consortium, adapted from checklist above (10/9/07) [Members only]
- Negotiation with non-Australian vendors (CEIRC) [Members only]
- Vendor terms & conditions - What adds value to CEIRC agreements - CEIRC
  Survey 2005 (16/3/06)
- CEIRC Survey 2006 Analysis & Summary & Actions [Members only] (30/1/06) John
  Redmayne
- CEIRC Licences - Audit of Perpetual Access Provisions - 2007 (Colleen Cleary, 21/10/07) [Members only]
- CEIRC Licences - Model Clauses (for use when vendor’s clause is unacceptable)
- Template for consideration of changes to CAUL/CEIRC licences (7/4/08) The completed template of applications for change
  will be made available from the web site alongside the applicable licence.
- Indemnity clauses in licence agreements - Philip Kent (updated 25/10/08) [Members only]
- IP blocking - publishers’ procedures for handling suspected download abuses (23/3/08, and updated as messages
  received) [Members only]
- see also: Datasets Coordinators Meeting (Melbourne, 4 February 2008)
- Dataset auditing - management of titles list of CAUL-specific packages (23/4/07)
- CEIRC TItles Lists - provision to Serials Solutions and other ERMS (12/4/08)
- Vendor statistics (4/7/08) - note other links may be provided on the vendors’ “Information for CAUL” pages.

e-Resource Management Tools

TERMS: Techniques for electronic resource management, Graham Stone, University of Huddersfield, and Jill Emery.
Portland State University have launched TERMS to look at each of the pieces in the e-resources puzzle - FBS

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CAUL statement on confidentiality in licences for electronic resources

Approved by the CAUL Executive Committee 24 June 2011

- CAUL statement on non-disclosure and confidentiality clauses in licences
Diane Costello
Executive Officer, CAUL

diane.costello@caul.edu.au