PERPETUAL ACCESS RIGHTS REPORTS (Guide)

This document explains the steps CRKN staff took to produce the CRKN perpetual access reports (serials) to provide a recommended workflow for preparing reports like the ones produced by CRKN. We have included additional notes where possible to share what we have learned during our work and help others avoid similar pitfalls in future. Finally, specific instructions around how to use and adapt the template report for your own reports is included.

If you have any questions about this project or the resources, please contact the CRKN team and the KBESC at licensing@crkn.ca.

Context

As a reminder, the objective of these reports is to identify and record perpetual access (PA) entitlements at the title-level, year-by-year. Multiple institutions may be included in a single report, but rights should be recorded at the institution level to allow for unique coverage exceptions.

The report itself includes several tabs, though the main PA-Rights tab is the central piece. The additional tabs provide context to the information recorded in PA-Rights tab and help ensure that this resource is accessible to any library personnel (or other staff) using the report to identify an institution's entitlements.

The PA-Rights tab includes two types of metadata:

- Title Metadata: ten fields which provide identifying or contextualising information for a particular title in the context of a PA rights report. These may be specific to a journal title (e.g. print_ISSN) or to the accrual of rights (e.g. agreement_code). The fields are further defined in the Glossary and include:

  * title
  * title_id
  * print_ISSN
  * online_ISSN
  * has_former_title
  * has_succeeding_title
  * agreement_code
  * year
  * collection_name
  * title_metadata_last_modified

- Entitlements Metadata: institution-specific entitlements (rights) metadata that indicates whether or not an institution has rights to a particular title in a given year.

While it can be adapted to suit local needs as necessary, the Glossary as presented in the template defines the terms used in the CRKN reports, including any specific parameters for a particular field. For example, a title history is only recorded if the title change occurs during the period covered by a CRKN agreement with the publisher. If a title change occurred prior to the coverage period in the PA Rights report, but the former title does not appear in the PA-Rights tab, then no former title is recorded.

<u>Workflow</u>

a. Identify rights and relevant agreements

- Set the scope of the tracking project and identify any relevant agreements during that period. This might include the original license agreement and any amendments that cover participation or entitlements changes.
- Assign each agreement a code in the Agreement-Codes tab. Rights recorded in amendments can usually be recorded under the original agreement's code but identifying any relevant agreement document at this stage and setting aside to review is important.
- Review specific agreement clauses that identify perpetual access rights. These may be labelled "perpetual access rights", "post-termination access", etc. and may have changed over time.
- Identify the defined Licensed Materials that accrue PA rights in each agreement (i.e. specific journal titles). If appropriate, include additional details on historic Licensed Materials and/or PA rights accrual models in the Publisher-Context tab.

- Note 1: rights may accrue through a one-time purchase (e.g. archive or backfile purchase) or on a rolling basis as a result of a subscription with PA rights.
- Note 2: a single agreement may include rights accrued through a one-time purchase and a subscription
- Note 3: there may be unclear or non-specific language (especially in earlier agreements). Consulting with the publisher at this stage to confirm the terms of the PA rights accrual in earlier agreements may be appropriate before moving to other steps. This consultation should either be done in writing or result in some kind of written evidence at the end; details can be included in the Agreements-Code tab, as appropriate.

b. Prepare title lists
- Many agreements will include a specific title list of Licensed Materials which accrue perpetual access rights. This will form the basis of the title list in the PA-Rights tab.
- Prepare a list of titles year-by-year, ensuring that the appropriate title metadata is included.
- Although the Licensed Materials list in an agreement may not immediately include all title metadata fields, a KBART file or other detailed entitlements/coverage record may provide the missing information.
- Include a separate row for every calendar year that rights may have been accrued. If including more than one institution in the report, include any years at least one institution may have accrued rights, even if the majority did not.
- In keeping with the NISO Recommended Practice for KBART files, leading articles in a title should be included (e.g. "The Holocene", not "Holocene" or "Holocene, The").

- Note 4: be mindful of different spellings in different title lists if you are matching against title (where ISSNs may not be available in a title list; e.g. "&" vs "and").
- Note 5: titles may be truncated in a list of Licensed Materials which can make matching against a KBART file more challenging. Some titles may require manual cross-referencing to include all title-metadata and/or look up in other databases to confirm details like ISSN, title history, etc.
- Note 6: if a title is part of a package or bundle, the relevant package ID may be used in a list of Licensed Materials (rather than the metadata for individual titles within that package). If a separate list of package inclusions is not already available, requesting one from the publisher should be possible.
- Note 7: if perpetual access rights accrue on an individual basis, the individual title lists likely exist outside the agreement document.

- ∗ Note 8: if an annual reconciliation adds or removes titles (on an individual or consortial level), there may be multiple title lists for a single agreement
- ∗ Note 9: if a specific title list was not included, check if the Licensed Materials definition covered "all titles" by publisher or included specific exceptions. Asking the publisher to confirm the year a title joined a package may also provide sufficient information to confirm whether a title was included in the Licensed Materials for a given year. Some publishers include this information in their KBART files directly, as supplemental information (e.g. "first year at (publisher)").

c. Assign collection names or identifiers
- ▪ Identify any sub-set or separate collections across all agreements covered in the same report.
- ▪ Assign names or identifiers to these collections and populate the collection_name field.
- ▪ Institutions may have rights to only certain collections from a publisher and this field will help provide easy contextual information to help explain why they do or do not have rights to a particular title.

d. Track former and succeeding titles
- ▪ Use any agreement title lists and/or KBART files to identify titles with a former title (this may be free text information in an agreement title list or in the *preceeding_publication_title_id* or *notes* fields in a KBART file).
- ▪ Confirm that the title change occurs during the period covered by the PA Rights report.
- ▪ As appropriate, update the title metadata or add additional data to the PA-Rights tab to include additional years where at least one institution has PA rights.
- ▪ Fill in the *has_former_title* and *has_suceeding_title* fields appropriately and provide additional details to connect the two titles in the Title-History tab.

- ∗ Note 10: additional resources may need to be consulted to confirm a title change, especially the date the change is effective.
- ∗ Note 11: a title may have changed mid-year. In this case, record rights to both the former and succeeding titles for the same year in separate rows. When adding the start and end dates in the Title-History tab, the overlap will be evident.

e. Record institutional entitlements
- ▪ Review each agreement and amendment to identify participation for each institution.
- ▪ Update the appropriate institutional column with one of four rights markers:

Y	Yes, the institution has rights to this title for the given year
YBut	Yes, the institution has rights to this title for the given year BUT the title metadata does not correspond exactly to explain their rights. (i.e. other information applies for one of the fields, usually agreement_code or collection_name)
N	No, the institution does not have rights to this title for the given year
NBut	No, the institution does not have rights to this title for the given year BUT this is despite the title metadata, which normally corresponds to their rights. (e.g. a particular title is excluded for an individual institution, usually an exception related to the agreement_code or collection_name)

f. Provide coverage exception information
  - For any titles marked YBut or NBut in the PA-Rights tab, additional information should be provided in the Coverage-Exceptions tab to help explain the unique exception that impacts an institution's rights.
  - Since this is a free text field, it is better to include as much specific information as possible, or to provide a location for further details (e.g. "specific title list for this institution is available in the full agreement document available online/on file").

g. Maintain regularly (at least annually)
  - At least annually, update the report to include the most recent entitlements and make any relevant changes.
  - Changes might include:
    - An institution joining, leaving, or otherwise changing their participation in an agreement;
    - A title ceasing or transferring out from a publisher's package;
    - A title joining a package or newly launched by a publisher;
    - A title moving to full open access (not hybrid) where perpetual access rights no longer accrue.
  - Periodically, it may also be necessary to revise, add, or remove entitlements which may have erroneously been included.

CRKN Report Naming

Syntax: *CRKN_PARightsTracking_[PublisherCode]_[YYYY]_[MM]_[DD]_[VersionNumber]*

Publisher Code: This is a short form of the publisher name that identifies the entitlements covered by a specific report. For CRKN, there is usually a single publisher per report.

YYYY-MM-DD: The date of the last update to any title metadata. Any changes to title metadata are relevant to all members and may include:

- Additional titles/years of content (or removed)
- Amended ISSN/title ID/title history/collection name

Version Number: The version number is modified when specific entitlement metadata for one or more institutions has been amended but no changes have been made to any title metadata since the last update. Changes to entitlements metadata are relevant only to the members affected. In addition to updating the report, CRKN may communicate directly with the affected member(s) to advise them of the change.

Note that local reports do not have to follow this naming convention in order to be compatible with the searchable interface (if locally loaded).

<u>Report Template</u>

The key to success and interoperability between different reports—and with the searchable interface—is a standard report layout with comparable metadata. To facilitate this, CRKN has prepared a report template which mirrors the CRKN reports, and which can be used for local PA rights tracking. It can also be used, when populated, with the searchable interface as a locally-loaded report.

The report template includes the same tabs as a full CRKN PA Rights report. While we would certainly encourage the use of these additional tabs to provide comprehensive and detailed reports, only the PA-Rights tab is essential and certain fields and field names in that tab are required:

- Cell A1: Package Name
  Please update this cell to include the package name you would like to use for this report. which will appear in the "Package Name" column in the searchable interface. It can be a publisher or provider name or other meaningful reference to the titles covered by the report.

    - The rest of row 1 should be left blank (any content will be ignored).
    - * Note to CRKN members: CRKN-managed reports include "_CRKN" after the package name to help distinguish from any additional local report you maintain for the same publisher.

- Row 2 should be left blank

- Title Metadata Fields (row 3)
  These do not need to all be populated (if you do not wish to record title_id, for example) but they must all be included as they are presented (without changes to the name of the field).

- Institution Name
  Include the institution name. This must exactly match the institution name indicated in the "admin" settings of the search software, which also means it must be identical across all reports. If there is more than one institution in the same report, you can add additional institution columns. An institution name must be identical across all reports.
    - * Note to CRKN members: CRKN-managed reports use a standard name for each institution. To ensure interoperability with these reports, please ensure you use the same name syntax in any local reports. A reference list is [available here](#).

CRKN MEMBERS – INSTITUTION NAMES FOR PERPETUAL ACCESS RIGHTS REPORTS

Acadia Univ.	Thompson Rivers Univ.
Algoma Univ.	Toronto Metropolitan Univ.
Athabasca Univ.	Trent Univ.
Bishop's Univ.	Trinity Western Univ.
Brandon Univ.	Univ. de Moncton
Brock Univ.	Univ. de Montréal
Cape Breton Univ.	Univ. de Sherbrooke
Capilano Univ.	Univ. du Québec à Chicoutimi
Carleton Univ.	Univ. du Québec à Montréal
Concordia Univ.	Univ. du Québec à Rimouski
Concordia Univ. of Edmonton	Univ. du Québec à Trois-Rivières
Dalhousie Univ.	Univ. du Québec en Abitibi-Témiscamingue
École de technologie supérieure	Univ. du Québec en Outaouais
École nationale d'administration publique	Univ. Laval
HEC Montréal	Univ. Sainte-Anne
Institut national de la recherche scientifique	Univ. of Alberta
Kwantlen Polytechnic Univ.	Univ. of British Columbia
Lakehead Univ.	Univ. of Calgary
Laurentian Univ.	Univ. of Guelph
MacEwan Univ.	Univ. of Lethbridge
McGill Univ.	Univ. of Manitoba
McMaster Univ.	Univ. of New Brunswick
Memorial Univ. of Newfoundland	Univ. of Northern British Columbia
Mount Allison Univ.	Univ. of Ottawa
Mount Royal Univ.	Univ. of Prince Edward Island
Mount Saint Vincent Univ.	Univ. of Regina
Nipissing Univ.	Univ. of Saskatchewan
NSCAD Univ.	Univ. of the Fraser Valley
OCAD Univ.	Univ. of Toronto
Ontario Tech Univ.	Univ. of Victoria
Polytechnique Montréal	Univ. of Waterloo
Queen's Univ.	Univ. of Windsor
Royal Military College	Univ. of Winnipeg
Royal Roads Univ.	Univ. TÉLUQ
Saint Mary's Univ.	Vancouver Island Univ.
Simon Fraser Univ.	Western Univ.
St. Francis Xavier Univ.	Wilfrid Laurier Univ.
The King's Univ.	York Univ.