# Appendix B: Electronic Resource Management Workflow Flowchart

Kimberly Parker, Nathan D. M. Robertson, Ivy Anderson, Adam Chandler, Sharon E. Farb, Timothy Jewell, and Angela Riggio

Introduction

The Electronic Resource Management Workflow Flowchart provides a detailed overview of the activities associated with managing the life cycle of electronic products, and is intended to be generally applicable to the processes followed at most institutions. The flowchart highlights functions and processes that are necessary for the acquisition and ongoing management of electronic products. While there are some similarities between the acquisition and management processes for traditional physical library materials and those for electronic products, there are many issues and complexities unique to electronic products. The following overview diagrams of physical resource and e-resource workflows highlight the similarities and differences between the two processes:
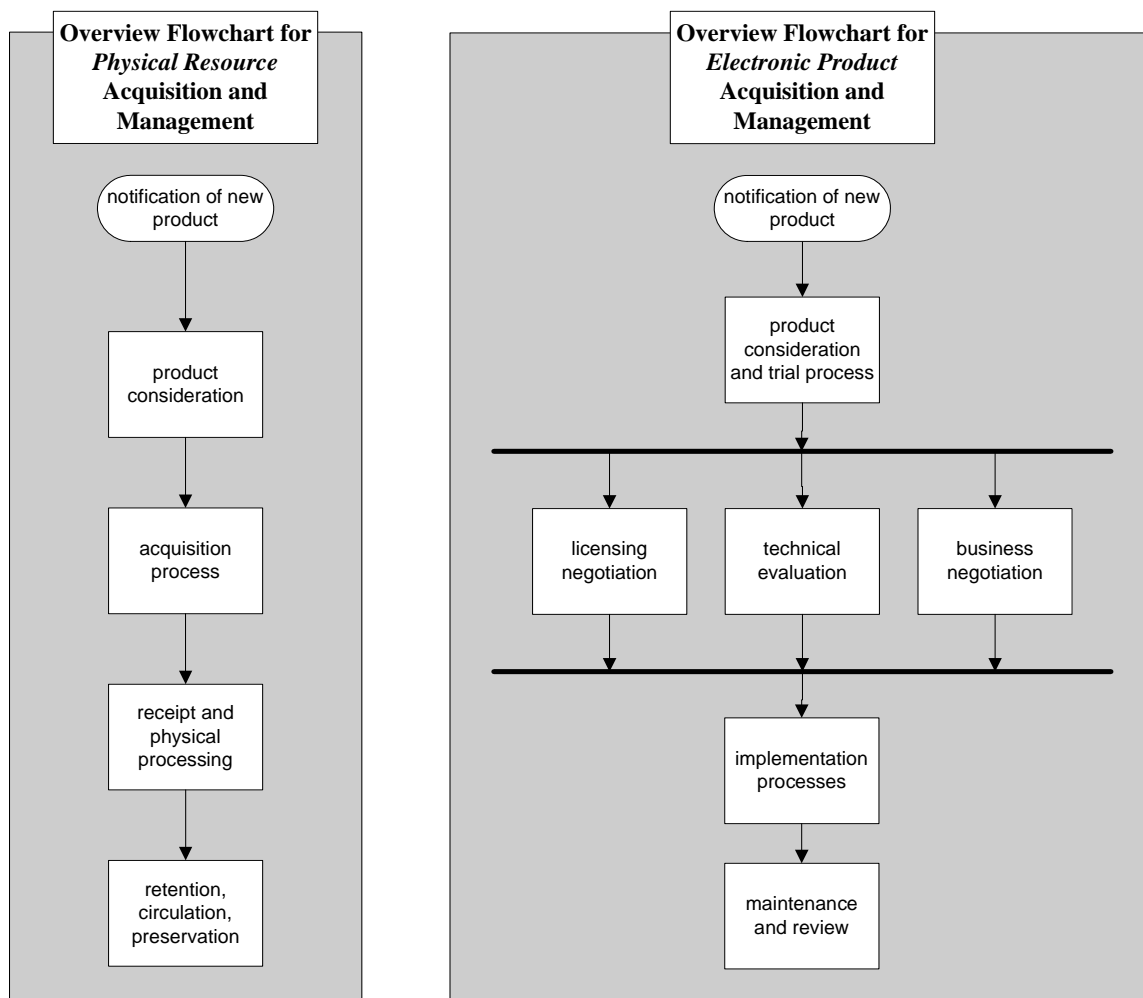

As the diagrams illustrate, there are substantial differences between physical and electronic product management. Electronic products routinely require a licensing process, and may pose technological challenges for implementation. Acquiring and activating an electronic product differs substantially from

the receipt and physical processing procedures for physical items, and ongoing maintenance, troubleshooting, and license renewal for electronic products are quite unlike the circulation, physical storage, and repair issues for physical objects.

Throughout the flowchart a number of processes are depicted in detail while others are not. The processes with detailed workflow representations are those where most institutions proceed in a similar fashion and where the processes for electronic products diverge fairly significantly from physical formats. Processes without great detail in the workflow are either those where different institutions have differing processes or those where traditional workflows (with perhaps minor variations) are employed in processing the electronic products.
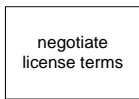
Flowchart Symbols
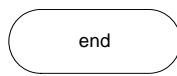
Starting and ending points are represented by terminator symbols (rectangles with rounded ends).
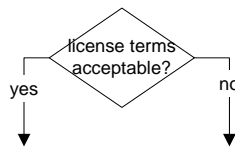
Decision points are represented by diamonds, with possible decisions indicated by the different flow lines that emerge from the diamond.

Actions or processes are represented by rectangles. Once the action is complete, a single flow line indicates the next action or decision.
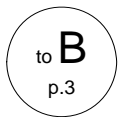
Circles function as connectors between multiple pages, indicating that the flow continues on (or continues from) another page.
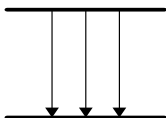
Solid lines indicate the start and end of parallel processing. Activities between the parallel processing lines may be done simultaneously or in any order, and after all activities are complete, the next step in the flowchart may begin.

Electronic Resource Management Workflow Flowchart

The following diagram is the complete Electronic Resource Management Workflow Flowchart. (Note that page references within the flowchart refer to chart pages, not pages of this appendix). Explanatory endnotes follow the diagram.

notification of new product

consider acquisition

recommend to consortia?

→ no

→ yes → notify consortia of product consideration

notify internal staff of product consideration

from E p.4

product trial?

→ yes → determine if trial will be public

negotiated trial license required?

→ yes → initiate trial licensing process

→ no → supply authentication info (IP addresses) to provider

negotiation progress expected?

→ yes → negotiate trial license terms

→ no

trial license terms acceptable?

→ yes → supply authentication info (IP addresses) to provider

record administrative info: contact, problem procedures, etc.

product trial start

public trial?

→ yes → activate trial in public interface

→ no → announce trial

product trial end

public trial?

→ yes → deactivate trial in public interface

→ no → gather and consider trial feedback

proceed?[1]

→ no → log decision and reason not to proceed → end

→ yes → to A p.2

This line indicates the start of parallel processing. The processes leading from this line may be done simultaneously or in any order. [2]

from **A**
p.1

license required?

yes

initiate licensing process

technically feasible? [3]

consider business issues: price, interface, archiving, reliability, etc. [4]

license terms acceptable?

yes

plan technical implementation

no

business terms acceptable?

no

negotiate license terms

negotiate business terms

no

negotiation progress expected?

yes

yes

negotiation progress expected?

yes

no

interrupt other parallel processes

no

no

log licensing info

yes

log decision and reason not to proceed

yes

end

to **B**
p.3

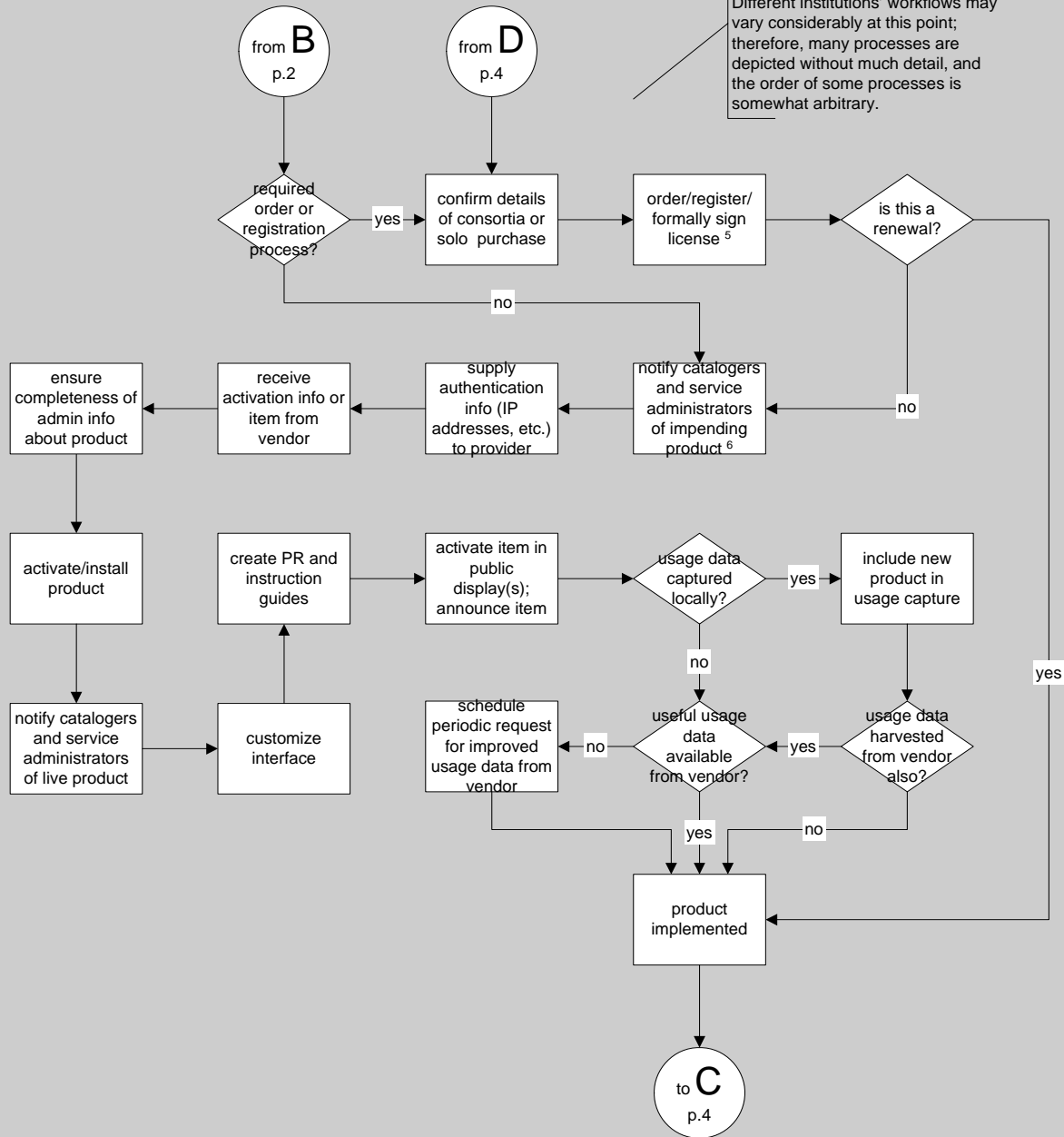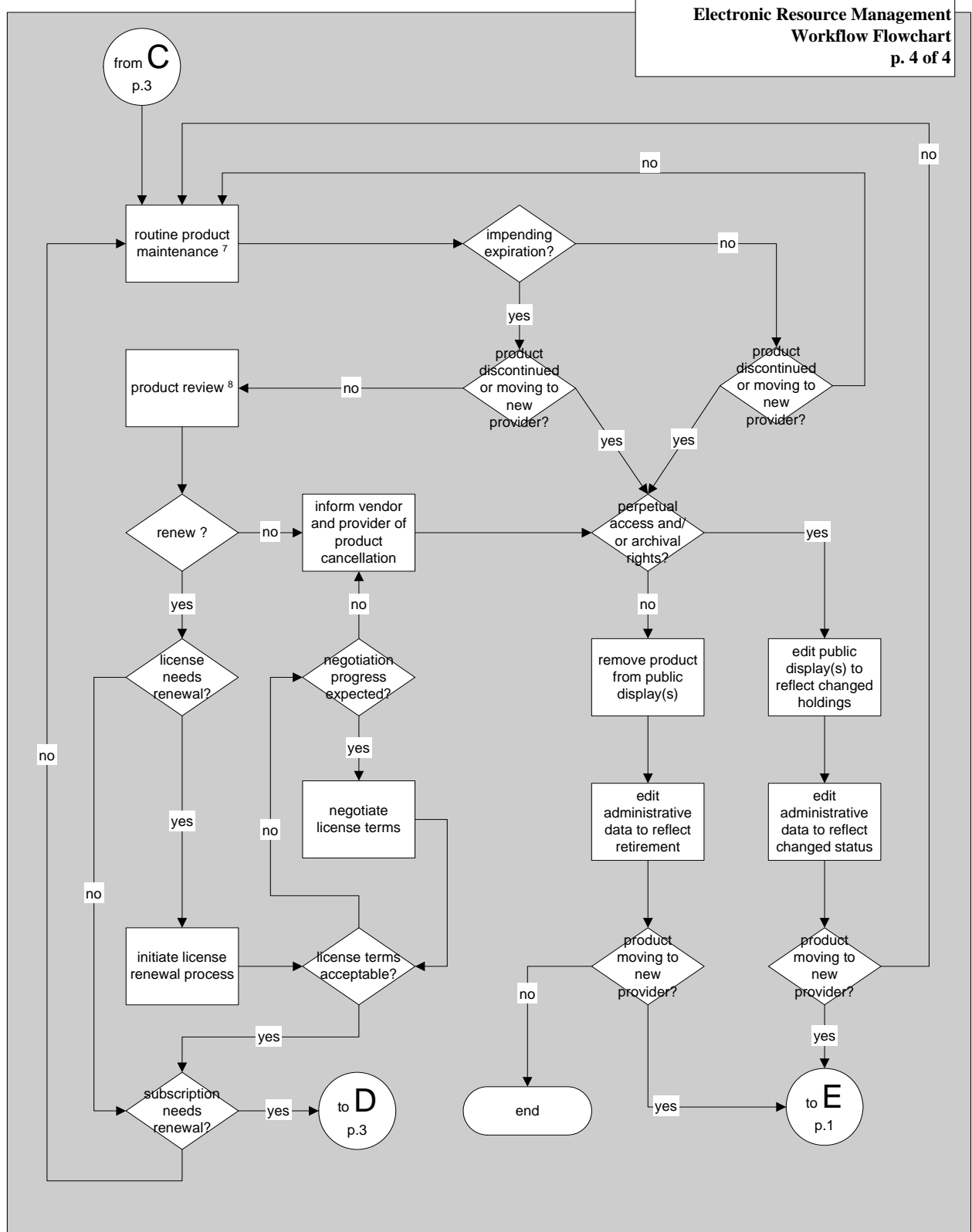This line indicates the end of parallel processing. After all processes leading to this line are complete, the next step in the flowchart may begin.

This page includes many processes that must be completed before a product is fully implemented. Different institutions' workflows may vary considerably at this point; therefore, many processes are depicted without much detail, and the order of some processes is somewhat arbitrary.

from **B** p.2

from **D** p.4

required order or registration process? — yes → confirm details of consortia or solo purchase → order/register/formally sign license [5] → is this a renewal?

no →

notify catalogers and service administrators of impending product [6] ← no

supply authentication info (IP addresses, etc.) to provider

receive activation info or item from vendor

ensure completeness of admin info about product

activate/install product

create PR and instruction guides → activate item in public display(s); announce item → usage data captured locally? — yes → include new product in usage capture

notify catalogers and service administrators of live product → customize interface

schedule periodic request for improved usage data from vendor ← no — useful usage data available from vendor? ← yes — usage data harvested from vendor also?

no ↓

yes

no

product implemented

yes

to **C** p.4

from **C**
p.3

routine product maintenance [7]

impending expiration?

no

no

yes

no

product discontinued or moving to new provider?

product discontinued or moving to new provider?

yes

yes

product review [8]

no

renew ?

no

inform vendor and provider of product cancellation

perpetual access and/ or archival rights?

yes

no

license needs renewal?

negotiation progress expected?

remove product from public display(s)

edit public display(s) to reflect changed holdings

yes

yes

no

negotiate license terms

edit administrative data to reflect retirement

edit administrative data to reflect changed status

no

initiate license renewal process

license terms acceptable?

product moving to new provider?

product moving to new provider?

no

yes

no

yes

yes

subscription needs renewal?

yes

to **D**
p.3

end

to **E**
p.1

Notes

1. A decision to "proceed" indicates that the product's content has been evaluated during the preceding consideration process and a serious effort to acquire the product should begin.

2. While the parallel processes represented on page 2 are shown as following after a trial period if one takes place, in some cases the parallel processes may begin during the trial period if one is held, and the trial will assist in answering questions raised during the parallel review processes.

3. "Technically feasible?" represents a review of whether the product will function without difficulty within the institution's technical environment, or, if not, whether an acceptable level of effort will allow the product to function.

4. "Business issues" embodies an extensive list of important concepts. Among the items that might be investigated in this grouping are: price, archival needs, interface trajectory, vendor quality, branding capability, usage statistics, MARC record availability and price (if appropriate), instructional ports/accounts (if appropriate), OpenURL compliance, deep-linking capability, etc.

5. It is entirely possible that the license will already be signed by this point, or that the license signing process is completely divorced from the order process. The "order/register/formally sign license" action point is completed when the institution has formally committed to acquiring the product in every way necessary.

6. The action of notifying catalogers and service administrators (e.g. proxy server manager, OpenURL resolver manager, broadcast search service manager, etc.) may occur at any number of points. This item was placed early in the workflow diagram to emphasize that some products are problematic for service managers and early notification is often very beneficial.

7. "Routine product maintenance" encompasses a large array of functions not detailed here. Among the functions included in this concept are the capture of usage statistics, troubleshooting and resolving problems, routine product changes from the vendor (such as URL revisions), revisions to public documentation, etc.

8. "Product review" on page 4 is simply a truncated form of the review of a new product that occurs on page 2. The extent of the review may vary from product to product and from institution to institution.