

Title: SafeNet Entitlement Registry Development Group (ERDG) Draft Terms of Reference

Proposal: We consider it very important for the SafeNet project to be shaped by stakeholder needs. We are establishing an Entitlement Registry Development Group (ERDG) to give technical input and help shape the entitlement registry service component. You are invited to **JOIN** the SafeNet Entitlement Registry Development Group and help us ensure the service meets stakeholder expectations and priorities.

Subject: SafeNet is a Jisc “service-in-development” to build national e-journal archive infrastructure and deliver assured continuity of access for UK HE institutions to the electronic journal articles for which they have paid. This would be delivered by means of a UK “local load”, referring to the ability of SafeNet to host a local copy of the full-text and metadata of licensed content on UK-managed SafeNet servers, in perpetuity, for continuing access purposes and in compliance with post-cancellation access clauses in publisher licences. The initiative builds on the outcomes of the Pilot for Ensuring Continuity of Access via NESLi2 (PECAN) projects and recommendations to develop a consortial managed archive arising from consultancy of the UK LOCKSS Alliance membership.

An Entitlement Registry will determine which HE libraries are entitled to access subscription e-journal content and support the actionable means to facilitate that access. The Entitlement Registry will be populated with data provided by publishers to Jisc Collections as part of the subscription and renewal process, verified by publishers and libraries and will include an audit mechanism to record all changes. For these reasons, the Entitlement Registry will be related to but separate from the Jisc Knowledge Base+ (KB+) service.

Anticipated Outcomes: SafeNet will:

- Lay foundations of national e-journal archive infrastructure to house a local load of e-journal content that will reinforce permanent and trusted post-cancellation access to e-journal articles
- Develop an entitlement registry to determine which HE libraries are entitled to access subscription e-journal content, and build the actionable means to facilitate that access.
- Work with libraries and publishers to gather a definitive collection of entitlement information, giving a view of historic subscriptions that is shared by both libraries and publishers. This may involve introduction of new workflows and processes. The Entitlement Registry Development Group will also consider how an accurate record of retrospective entitlement information can best be gathered.
- Establish a well-defined workflow to supply post-cancellation access, with the publisher remaining the primary source of access but allowing the SafeNet archive copy to be accessed without interruption in supply when alternative routes fail. The objective of this workflow is to minimise the need for staff to get involved (in clarifying rights and turning on access)

Appendix 1 provides a briefing of the SafeNet project, key project milestones, and an overview of the organizational and governance structure.

Background and Problem Statement: Libraries that rely on electronic versions of journals need to know that they will be able to access content even after they cancel a subscription. Provision of access will rely on a record of entitlement that is considered authoritative by both libraries and publishers. At present there is no single source of information; instead it is spread across library and publisher systems. It can be hard to extract this information from these systems, and processes to raise and resolve disputes are inconsistent.

Maintaining an accurate record of entitlement information over time can be a challenge for both libraries and publishers. Libraries subscribe to packages of content and have post-cancellation access rights to core sets of selected titles. Publishers maintain access to those titles over time. The Pilot for Ensuring Continuity of Access via NESLi2 (PECAN) project found that publishers and libraries disagreed on the record of entitlement over time, that existing systems weren't set up to make analysis of entitlement information straightforward, and that lifecycle events such as journal transfers caused challenges.

Proposed development in context: Jisc are investing in a suite of library support services including those that assist with continuing access concerns. One service is Knowledge Base+ (KB+), an information management tool and data source about title lists, subscriptions, license terms and usage. The Entitlement Registry being discussed here will be distinct to but complement the KB+ offering, providing an agreed record of entitlement information that will enable an authorization layer for agreed continuing access supply.

We propose keeping KB+ and the entitlement registry separate to:

- (1) Allow simplicity and design flexibility when testing our understanding of workflows, interfaces and data models, and
- (2) Ensure authority of data by including only controlled data as specified in contractual records. Publishers must trust the validity of the Entitlement Registry, and so the data must unambiguously match the extent of entitlement specified in contracts. Audit mechanisms to record all changes will assure data provenance and integrity.

Statement of Work: The SafeNet project is building infrastructure to provide UK HE institutions with access to a local load of e-journal content. An entitlement registry will be used to determine which HE libraries are entitled to access subscription e-journal content, although the entitlement registry has the potential to be used more broadly by publishers and external service providers.

The Entitlement Registry Development Group will focus on development of a lean and efficient entitlement registry that interoperates effectively with systems across the information chain. The goal of the Development Group is to develop a requirements and specification document that captures stakeholder needs and addresses concerns.

Terms of Reference: The Entitlement Registry Development Group will assist with the following:

- Data fields, evidence and provenance needed for entitlement information to be used to authorise access to content.
- Strategy to establish a workflow and process to gather entitlement information that meets stakeholder requirements and expectations.
- Standards and technologies used by relevant stakeholders and interoperability implications of this.
- Strategy related to the aggregation of retrospective subscription data. This has different challenges to that of establishing a system for ongoing subscriptions and is being treated as a discrete challenge.
- Use cases of relevant stakeholders, and assistance an entitlement registry could offer.
- Advice and guidance on the technical architecture, infrastructure, software, standards and tools to be adopted and implemented, with reference to workflows and systems used by those stakeholder groups.

Frequency of Meetings: The Entitlement Registry Development Group will meet periodically over the duration of the project. We anticipate one-day meetings with the following tentative schedule:

- Summer 2015
- Autumn/Winter 2015
- Spring 2016

Membership: Members of the Entitlement Registry Development Group will have experience and expertise related to use of library and publisher systems, and an understanding of how SafeNet will fit in with library workflows and systems. The Development Group will include representatives from libraries, publishers and library support services. We are seeking librarians responsible for managing records of subscription information over time, publishers responsible for maintaining entitlement information, and we will approach relevant and related Jisc services such as Keepers Registry and Knowledge Base+.

Appendix 1: Overview of the SafeNet Project

Recap of the current problems - Libraries receive post-cancellation access assurance from a variety of sources. For example, publishers and external service providers offer PCA via their own platforms, however UK HEIs may be subject to external policy changes (e.g. around access and pricing) and if the external service is disrupted or discontinued there is no local layer of resilience. Institutional archiving efforts offer straightforward assurance of PCA, however institutions do not always have the capability to manage local hardware.

Project Activity - Jisc have funded the SafeNet project to introduce foundations of national archive infrastructure to host a UK local load of e-journals and clarify continuing access rights through use of an entitlement registry that will record subscription history. The intention is to simplify the route to articles when a current subscription is no longer in place and access via the publisher's platform is either unavailable or unaffordable.

Anticipated Outcomes - SafeNet will:

- Lay foundations of national e-journal archive infrastructure to house a local load of e-journal content that will reinforce permanent and trusted post-cancellation access to e-journal articles
- Develop an entitlement registry to determine which HE libraries are entitled to access subscription e-journal content, and build the actionable means to facilitate that access.
- Work with libraries and publishers to gather a definitive collection of entitlement information, giving a view of historic subscriptions that is shared by both libraries and publishers. This may involve introduction of new workflows and processes. The Entitlement Registry Development Group will also consider how an accurate record of retrospective entitlement information can best be gathered.
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Timescales - The SafeNet project runs from August 2014 to July 2016. The intention is to launch as a Jisc shared service at the end of the project.

Key Milestones: Key milestones include the following:

- **Project Plan:** By Autumn 2014, have a project plan to identify anticipated project objectives, outcomes and service benefits, briefly describe the work packages and their interdependencies, and set scope and boundaries for the project.
- **Establish a Service Definition and Access Triggers:** In Winter 2014/2015, Jisc Collections and EDINA will undertake analysis to understand the scenarios and use cases that require post-cancellation access support and triggering of access. These use cases will form the basis of our service definition used for publisher negotiations.
- **Community Advisory Structure:** Establish a robust advisory structure, with input from a senior group to advise overall strategy and a separate group comprising e-resource manager staff to give input on specific issues and guidance on system design.
- **Content Prioritisation:** Develop a process for identifying collection development priorities based on various parameters including e.g. community needs and the feasibility and cost of securing agreement with publishers and ingesting that content into the archive. This process will also consider how to raise awareness among librarians of these factors in order to set community expectations.
- **Sustainability Planning:** Have an understanding of the costs involved in service operation and maintenance, particularly the costs associated with publisher negotiation and content processing. This will form the basis of further sustainability models.
- **Service Transition:** By January 2016, have a transition plan that will underpin launch of a UK shared service. This should be implemented in the final six months of the project so that an operational service is in place at the end of July 2016.

Project Team - The project team is comprised of staff from EDINA, Jisc and Jisc Collections, and is supported by contributions from RLUK and the LOCKSS team at Stanford University.

- **EDINA:** Project Management, Service and Software Development, Community Engagement
- **Jisc:** Strategic Investment, Community Engagement
- **Jisc Collections:** Service Definition and Access Triggers, Publisher Negotiations
- **RLUK:** Community Engagement
- **LOCKSS at Stanford University:** Service and Software Development, Understanding Costs

Governance - We intend for the planning and implementation of SafeNet to be guided by the library community.

- A Community Advisory Group will give support, advice and guidance on collection priorities, access policies and system workflows.
- A separate Entitlement Information Working Group will inform development of an Entitlement Registry that is trusted as an authoritative source of actionable information authorising libraries to access content where they are entitled.
- A Steering Group drawn from the UK research library community will oversee activity and offer guidance and advice at strategic points. Jisc Collections Electronic Information Resources Working Group have agreed to undertake this role.