Tier 2 Procedures — the UC Berkeley Perspective

By laying out the steps we must take locally for a Tier 2 acquisition, these guidelines supplement CDL’s detailed instructions on How to Manage a Tier 2 License.

The guidelines are divided into two sections: (1) when the selector is the lead initiator; and (2) when the selector is a participant, but not lead initiator.

I. Selector as Lead Initiator

1. When you begin negotiations to acquire a Tier 2 resource, notify Berkeley’s AUL for Collections and Licensing Librarian, as well as CDL’s Wendy Parfrey (wendy.parfrey@ucop.edu) so they are all aware of the potential acquisition.

2. Contact your subject peers at other UC campuses to gauge their interest in the resource and to confirm cost shares. Tier 2 acquisitions always involve a decision about how the cost of the resource will be divided among participants. While there are exceptions, in general, costs for Tier 2 resources are split on an equal share basis. That is, the total cost is simply divided equally among the participants. Another model, standard shares, is more commonly used for Tier 1 acquisitions where larger campuses pay a larger share. Hybrid models are possible. With any shared purchase, you should never commit to pay more for a resource than what it would cost Berkeley to license it on our own.

3. Determine which Berkeley fund(s) will be used for our share. If more than one of our funds will be tapped, be sure that all selectors involved have agreed to the use of their funds and the respective percentages. Be sure of your funding; make no assumptions.

4. Once all Tier 2 participants agree on how costs will be shared, you must get approval from the Collection Development Officers at participating campuses. Therefore, you should remind selectors at other campuses that they need to have CDO approval to participate. Submit your proposal (including cost shares) to Berkeley’s AUL for Collections who will poll the Collections Licensing Subgroup (CLS) to confirm what campuses will be participating.

5. Once cost shares have been agreed upon by all participating campuses, send a note to Berkeley’s AUL for Collections, Licensing Librarian, Head of Acquisitions, and Electronic Resources Unit work leader with the following information:
   a. Name, publisher, and vendor of resource
   b. Lead campus
   c. Estimated Berkeley cost
d. Berkeley fund code(s) for the recharge from CDL

6. When you are the lead initiator, Berkeley becomes the sponsoring campus and has responsibility for officially entering into the license agreement on behalf of all participating campuses. Request a copy of the license agreement from the vendor and forward it to the Licensing Librarian for review, who will attempt to include language to make it possible for any UC campus to join the agreement (even if all campuses do not participate in the original purchase). When appropriate, Berkeley’s Licensing Librarian will also work with the vendor to discuss the possibility of including access for users at the Lawrence Berkeley National Laboratory.

7. After the Licensing Librarian has successfully negotiated the license, send documentation (including a copy of the fully executed license) to CDL (via cdlsupport-l@ucop.edu). Consult the CDL website for detailed instructions about what documentation they require. CDL will administer the license centrally, including handling payment, recharges, and renewals. If three or more campuses participate, CDL will also catalog the resource through the Shared Cataloging Program (SCP). If only two campuses participate, cataloging will be done at Berkeley. In either case, contact the Licensing Librarian for guidance on how to get the resource into the cataloging workflow, which will include having the resource made available through the proxy server and listed in the Electronic Resources Finder.

8. Notify CDL (via cdlsupport-l@ucop.edu) once you have resolved any startup issues and confirmed the availability of online access. CDL will then pay the invoice and will subsequently recharge the participating campuses. The Electronic Resources Unit will receive the CDL recharge and, in turn, will debit the appropriate fund(s) according to the information you previously provided.

II. Selector as Participant

1. When you begin discussions about acquiring a Tier 2 resource with selectors at other UCs, send a note to Berkeley’s AUL for Collections and Licensing Librarian regarding your interest in participating. Be sure to indicate the sponsoring campus and what fund(s) you plan to use to pay for Berkeley’s share. If more than one Berkeley fund is involved, be sure that all selectors involved have agreed to the use of their funds and the respective percentages. **Be sure of your funding; make no assumptions.**
2. When appropriate, Berkeley’s Licensing Librarian will contact his/her counterpart at the sponsoring campus to discuss the possibility of including access for users at the Lawrence Berkeley National Laboratory (LBNL).

3. Once cost shares have been agreed upon by all Tier 2 participants, send a note to Berkeley’s AUL for Collections, Licensing Librarian, Head of Acquisitions, and Electronic Resources Unit work leader with the following information:
   a. Name, publisher, and vendor of resource
   b. Lead campus
   c. Estimated Berkeley cost
   d. Berkeley fund code(s) for the recharge from CDL
   e. If more than one fund code is to be charged, be sure percentages for each fund

4. Notify the Electronic Resources Finder Manager (erfmgr@library.berkeley.edu) once you have confirmed that access is live so that the resource can be included in the ERF and be added to the proxy.