



Libraries Acquisition of Information Resources Policy

[PUR008]

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UCT Libraries Acquisition of Information Resources [PUR008]

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Acronyms

ACQ	Acquisition
DRM	Digital Rights Management
ED	Executive Director
LSP	Library Services Platform
PCARD	UCT Purchasing Card
PO	Purchase Order placed on SAP
PPS	Procurement and Payment Services
SANLiC	South African National Library and Information Consortium
SAP	UCT ERP Finance System
VAT	Value Added Tax

1. Objective


To provide governance in respect of the procurement of Library information resources and ensure that risks are effectively managed and the interests of the Libraries and UCT are protected.

In addition, to ensure that:

- Procurement of information resources on the external LSP and payment processing for information resources via the UCT Finance System follows appropriate procedures in relation to the nature and value of Libraries acquisitions' expenditure.
- The selection criteria for procurement of library information resources is in terms of the UCT Libraries Collection Development Policies.
- The procurement process is transparent.

2. Scope

Applies to the procurement and payment processing of all information resources by UCT Libraries and includes procurement of information resources using UCT PCards.

 *Procurement i.e., placing and receipting of orders is done on the LSP, which is separate from SAP. Daily interfaces from the LSP create POs on SAP, which then follow the standard approval and payment processes.*

3. Applicable to

All purchases of, and subscriptions to, information resources by UCT Libraries against all funds administered by the University.

4. Definitions

Access	As stipulated in the subscription model or licence agreement Assigned only in the period of subscription payment. When subscription cancelled, access is cancelled. Assigned for the period paid. When subscription is cancelled the access for the period paid is still retained (perpetual access). - Assigned for the period paid and access provided to back issues.
Aggregator	A database of publications available from a variety of publishers.
Book	A collection of sheets of paper bound together to hinge at one edge, containing printed or written material, pictures, etc.
DRM-free	No Digital Rights Management restrictions are in place that limit the number of pages that can be downloaded and printed.

Library Services Platform	Proprietary software application that has been developed to handle basic housekeeping functions of a library, including a module for acquisitions functionality.
Information Resources	Includes databases, journals, books, and information in any other format, and the systems required to make these accessible (software), as well as research support tools, e.g., SciVal, Endnote, RefWorks.
Monograph	A type of book, defined as “a scholarly book or a treatise on a single subject or a group of related subjects, usually written by one person.”
Once-off purchase	Purchase of material that is not continuing, nor periodic in nature e.g. monographs.
Subscription	An arrangement for receiving, or making use of, an information resource of a continuing or periodic nature on a recurring prepayment plan.
Perpetual Access Rights	Access to the electronic resource continues in perpetuity, either after a one-off payment has been made or if the terms of a cancelled subscription so stipulate.

5. Policy

- Many of the Libraries’ contracts and licence agreements for online resources are negotiated by SANLiC. The model contract that SANLiC uses is available online. SANLiC takes on negotiations for new resources when there is sufficient interest across the consortium to warrant a consortium deal.
- For resources not managed by SANLiC, the negotiation of the agreement is undertaken by the Librarian: Subscriptions in consultation with the Principal Librarian: Acquisitions, using the terms and conditions from the SANLiC model contract as a guide. Occasionally agreements are referred to the UCT Director: Legal Services for advice.
- UCT Libraries’ contracts and licence agreements are signed by the Executive Director: Libraries.
- Selection of information resources for purchase/subscription is in accordance with the [Library’s Collection Development Guidelines](#). The procurement process should follow the optimum and appropriate method for the type of information resource being procured.
- The procurement process must follow procedures and governance as detailed in this policy.
- For all invoices greater than R100 000 (including VAT):
 - The Library Acquisition department must confirm that the invoice agrees to the signed agreement, when forwarding to Libraries Finance for payment. For POs where the invoice and contract agree, no further signatures are required.

- Where the invoice and contract do not agree due to subsequent changes, or where no contract exists, the purchase must be authorised by the ED: Libraries, with the Principal Librarian: Acquisitions as requestor.
- All procurement is subject to UCT standard terms and conditions of purchase as well as any additional terms and conditions which have been negotiated for a specific transaction or contract.
- Vendors are obliged to comply with all applicable UCT policies.

6. Procedure

6.1 Order Types

Acquisition Expenditure / Order Type	Order Procedure
Print and audio-visual material (once-off purchase) This includes print books, maps, online videos, DVDs, CDs.	Orders are placed based on place of publication, availability, format, price of the item, and delivery requirements of the order request.
Electronic books (once-off purchase)	Orders are placed based on availability on preferred platforms and price of the item. The terms and conditions of use are an integral part of the license entered into for each e-book. Consideration is given to the terms of use before each purchase. Example: Can it be downloaded? How much can be downloaded? how much can be printed? A decision is then made whether to go ahead with the e-purchase in spite of the restrictions or purchase a print book.
Subscriptions: print journals	Orders are placed with subscription agents providing a consolidation service where this adds value, alternatively directly with the publisher.
Subscriptions: electronic journals, journal packages, databases, electronic books, and once-off purchase of archival databases	Orders are placed with subscription agents where the services they offer add value, alternatively directly with the publisher.
Binding of library resources	Use vendors as approved by PPS.
Library memberships	Orders placed directly with membership bodies.
Research support tools	Orders placed directly with producer where possible, alternatively through a subscription agent.

Computer software and licences	For a product decided upon for an identified library need, suppliers of the product or service are considered. The product or service order will be placed with the supplier that meets the requirements after procurement policies have been followed.
Customs, clearing and delivery charges	Use UCT preferred vendor where possible. Most items received from courier and freight companies are co-ordinated by the UCT Foreign Payments Department.

Assignment of print book vendors

- A vendor is selected based on availability, place of publication, the price of the item and delivery requirements (i.e. urgency) of the order request.
- The performance of book vendors is evaluated periodically



The aim is to work with a reduced number of vendors for most cost-efficient freight expenses.

- When selecting print vs electronic equivalent, the following issues are considered:
 - Cost
 - Access platform
 - Expected use
 - Digital rights management
 - Perpetual access rights



Electronic format is preferred for books and periodical subject to the criteria listed above.

Selecting an e-book

- UCT Libraries' preference is to purchase access on publishers' e-book platforms where there is usually no limit on the number of simultaneous users and usage is DRM-free. When this is not possible, UCT Libraries will purchase access on an e-book aggregator platform with the most suitable lending model and the most cost-effective purchase model. This decision is guided by the anticipated use of the e-book.
- Possible lending and purchase models include:
 - Concurrent/simultaneous user model: Usually available as a 1 or 3 user licence. Only 1 or 3 people can access the e-book at the same time.

- Unlimited user model: There is no limit on the number of people accessing the e-book at the same time.
- Non-linear lending: The purchased e-book has a maximum days-of-use allotment per year.

Participation in SANLiC deals

- When a required resource is available through a SANLiC deal, UCT Libraries will participate in the deal. Where there is a choice of vendor for the deal, the preference is to subscribe directly with the publisher or with the sole supplier/regional representative for the product. This is so that a direct relationship with the provider can be established in case support is required.

Contracts and licence agreements

- Agreements signed prior to 2018 are in print format and stored in the Libraries Acquisitions Department.
- Signed agreements from 2018, are saved to the vendor record on the LSP.
- In the absence of a contract, terms and conditions are available on the vendors' website.

6.2 Financial Processing

Purchase orders

- All POs raised via the interface from the LSP to SAP are reviewed by the Libraries Finance Department for payment. The purchase order details are matched to the invoices. The invoices are checked for compliancy.
- Additional authorisation is obtained where required in terms of the policy.
- Once the above process is complete, invoices are sent for payment to the Foreign Payments and Creditors Departments.

UCT PCard

- The UCT PCard is used to either facilitate purchase of material online when urgently required, or where this is the most efficient or only payment method for the vendor. A vendor on the LSP is usually either a SAP trade vendor or a PCard vendor.
- All PCard purchases are signed by the Principal Librarian: Acquisitions, or nominee, prior to submitting the documents for processing on SAP.
- The PCard is assigned to a staff member and is limited to purchase Library information resources only.

VAT

- VAT charged is processed to a separate Library Acquisition's fund.
- Invoices from foreign vendors that have supplied electronic resources are reviewed to assess if VAT has been charged. If VAT has been charged, the invoice is required to reflect the SARS VAT number.
- Should the assessment indicate VAT should have been charged but has not been, the Library Acquisitions Department communicates with the vendor regarding the SARS legislation and processes.
- VAT is accrued and paid to SARS where VAT has not been charged but should have been.

7. Related Legislation, Policies, Guidelines and Practices

This includes but is not limited to:

- Delegated Authority Limits [[GEN002](#)]
- Procurement [[PG001](#)]
- Threshold values for purchasing [[PPP002](#)]
- Vendor take-on [[PUR007](#)]
- Purchasing Card (PCard) [[PUR002](#)]
- Import and export of goods [[PPP001](#)]
- UCT Quotations, Tenders and Requests for Proposals (RFPs) [[PUR004](#)]
- [Collection Development Implementation Guidelines and Procedures](#)
- [Special Collections Collection Development Implementation Guidelines and Procedures](#)
- [Brand van Zyl Law Library Collection Development Guidelines](#)

8. Implementation Responsibility

The Executive Director: Libraries is accountable for this policy. The Director: Information Systems and Resources and the Principal Librarian: Acquisitions are responsible for the implementation and application of these processes and procedures, whenever expenditure is incurred against UCT funds.

9. Contact

Principal Librarian: Acquisitions

Caroline.Dean@uct.ac.za

021 650 3701