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A Funding Model and Decision Process Plan for Selective Co-Investment Opportunities in the UC Libraries: Initiatives, Projects, Agreements, Memberships, etc.

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A Funding Model and Decision Process Plan for Selective Co-Investment Opportunities* in the UC Libraries: Initiatives, Projects, Agreements, Memberships, etc.

*Selective Co-Investment Opportunities = suggested language to replace “Tier 2” while continuing the concept of participation among some, not all, campuses

Decision Flowchart (see accompanying diagram):

- A. Idea or proposal is discussed—originates either in SAGs, at a campus, at CDL, or at CoUL.
- B. CoUL decides to move forward with a trial, a pilot, or an agreement.
- C. Is a minimum number of campuses needed/desired? Is CDL included? Decide.
- D. Campuses volunteer and commit.
- E. Determine and agree on campus and CDL roles and responsibilities: owners/brokers/participants?
- F. One individual from CoUL, a SAG, CDL, or a campus is assigned role as sponsor with ownership of management of the process and decisions required below.
- G. CDL negotiates, or a campus is chosen to negotiate. If a campus, determine whether the campus Purchasing Office will allow them to work with a vendor directly to commit to a contract or agreement for multiple UC campuses. Ensure all participants know and agree on start and end dates for the activity and agreement.
- H. Determine what payments are due to vendor/partner, and on what schedule. Up front? Payments divided into set amounts due at certain times during the period of agreement? Will participating campuses be permitted to transfer payments to host campus?
- I. Determine campus and CDL cost shares and payment due dates and renewal dates. Equal shares? Use-based shares? Will this formula continue for the duration of the project? If the project becomes a permanent activity, will the formula change or remain the same? Will the participants renegotiate this at intervals? Determine and specify the intervals (month, quarter, year, etc.).
- J. Will participants be able to opt out? Will others have an opportunity to opt in? What intervals should be required for participants’ commitment? If participants will be permitted to opt out, understand whether there will be any rebates or adjusted refunds (for up-front payments). Under what circumstances and with what commitment would other campuses be permitted to opt in?
- K. If a campus is doing the negotiating and managing the agreement, including collecting shares and paying vendor/partner, determine and agree if in-kind credit for that staff effort will be applied to the campus’ cost share. How will the dollar value (or percentage, or credit) of that credit be determined?

- L. If a campus is hosting the activities or data or software, determine and agree what (if any) in-kind credit will be given. If so, how will that dollar amount (or percentage, or credit) be determined?
- M. Identify a Project Manager who will manage the participation on the part of the UC participants. Project Manager in consultation with Project Sponsor will determine management plan, publicity plan, and assessment plan for the activity/project. What publicity and other information will be provided to participants, to other UC campuses not participating, to SAGs and other Advisory Structure groups, and to outside constituents?
- N. How will the project/activity be assessed? Determine criteria needed and set up information collection at the beginning of the project/activity. Identify who will be responsible for assessment and report/recommendation of the assessment, and assign that responsibility.
- O. If this is a pilot, identify what information and plans are required to turn it into an ongoing activity, including sharing the ongoing expense.

Prepared for CoUL

June 10, 2014

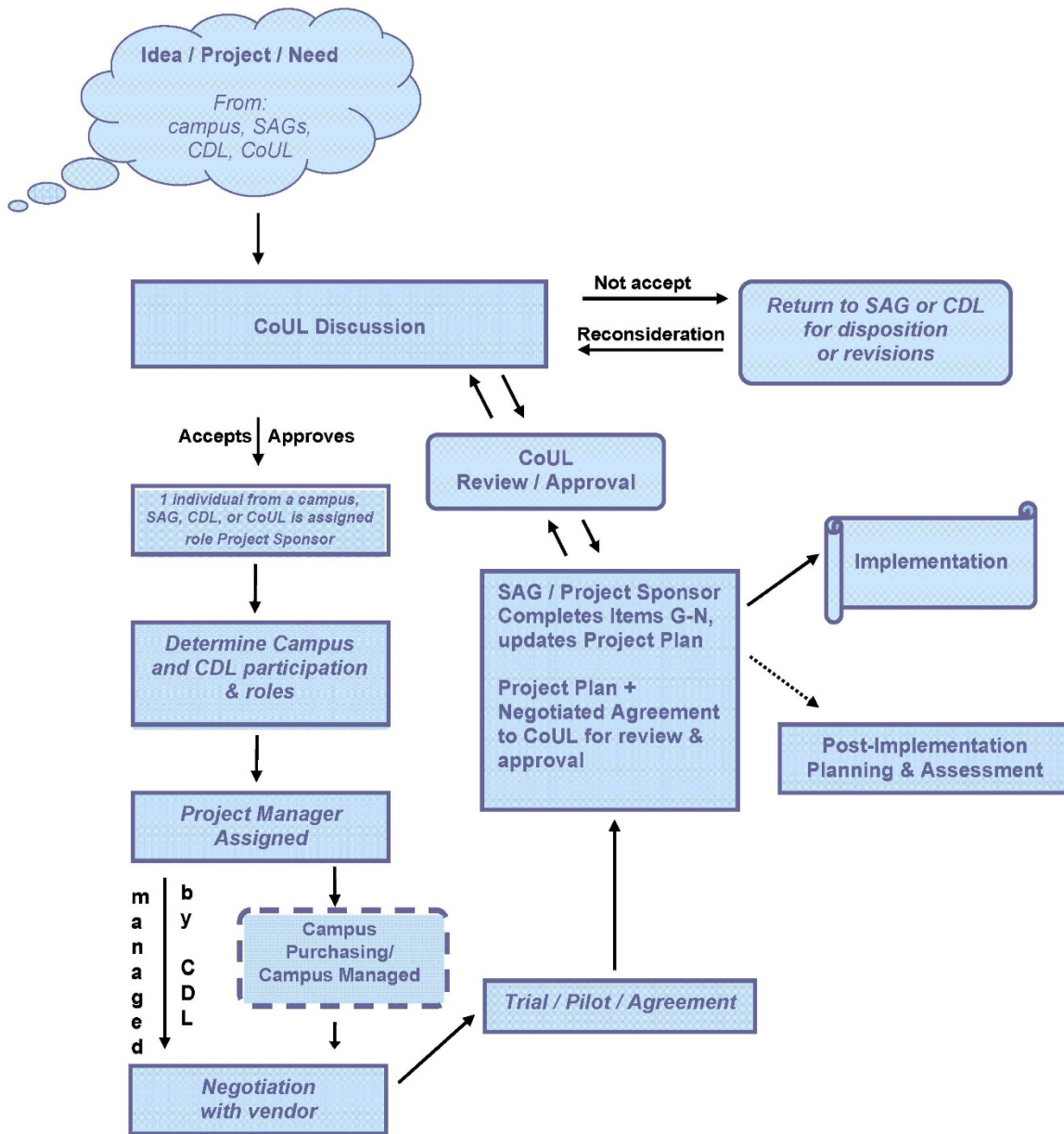
Administrative Advisory Group (Tammie Dearie, Susan Parker, Eric Scott)

Revised for CoUL

August 27, 2014 (Susan Parker)

September 15, 2014 (Alan Grosenheider)

UC Libraries Funding Model – Decision Tree



Specific Initiatives: Two Examples

Aeon

- 4-5 campuses; CDL?
- Steps before negotiation:
- Manage contract at a campus? At CDL?
- How are shares determined?
- How will participants pay to provider?
- How to negotiate, who handles negotiation, who manages contract?

Pilot: Article Delivery Services

- 4-5 campuses
- Even shares of contract? Shares based on usage?
- Opt out? Others opt in?