



March of the Consortia: preoccupations, licensing, open access: heresy or hidden synergy?

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Geneva & Berne
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Outline for today's talk

- Licensing
 - What is a license – many things
 - Why we do it – many reasons
 - Consortia converge with licensing
- Consortia
 - History and purpose
 - Examples
 - NERL
- New themes and synergies?
 - Progress and innovation
 - Possibilities
 - Preoccupations



I. Licensing



The role of licensing

- Licensing is mostly NOT about paying to read
- Licenses balance the needs of both parties
- Licenses protect the interests of both parties
- Licensing is an educational process, both within and among communities – brings everyone to the table
- Licensing is empowering
- Licensing is particularly important for large, complicated arrangements
- The current economic downturn represents an additional opportunity



What is a license?

- "Granting a license means granting rights of use to that whose intellectual property one does not own" - licenses do not transfer copyright
- A license defines every aspect of a business arrangement, such as:
 - what users can do with the property, where, when, for what costs, undertakings
 - what the both parties commit to in the deal
- Are specific -- usually tailored for each customer and resource (pure marketplace, buyer-seller)
- Can negotiate each one
- Can often improve on what copyright permits



Factors motivating consortial licensing

- Governments have provided additional funding to support access to citizens and researchers, to improve information access
 - For groups of institutions, states, and entire countries
- Negotiating with multiple institutions at once can save publishers and information providers time and money
- A consortial contract brings many users' "eyeballs" to a resource all at once
- Libraries save money negotiating as a group



II. Consortia



Consortia: timelines

- Consortia in the U.S. have been around since the 1930s (North Carolina)
- 1960s and 70s: Shared cataloging through OCLC and RLG was born
- 1980s+: Focus moved to fast delivery for books and articles, requested by libraries' end-users
- 1990s+: Large-scale licensing of electronic resources began, launched by publishers such as *Encyclopedia Britannica* and Academic Press
- NOTE: The availability of electronic online information resources expanded *immensely* the role and presence of library consortia



Definition of a library consortium

- "A 'library consortium' is any local, regional, or national cooperative association of libraries that provides for the systematic and effective coordination of the resources of schools, public, academic, and special libraries and information centers, for improving services to the clientele of such libraries."

(US Federal Communications Commission)



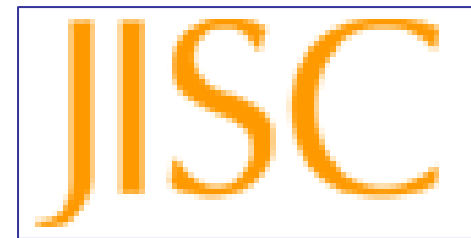
Many different shapes & sizes

- Some very large, complex (such as JISC); tiny (LALC)
- Some have broad programs; others mainly license electronic resources
- Can be restricted:
 - to specific library types (special libraries, academic libraries, etc.) or government agencies
- Can be open:
 - To all local, or regional, or country wide group libraries; some consortia include all libraries in their region including elementary school and public
- Libraries often belong to several at once!



Example: U.K. Joint Information Steering Committee (JISC)

- **Mission:**
 - Academic institutions in UK benefit (circa 200)
 - Provide strategic guidance, advice and opportunities to use information and communications technology (ICT)
- **Funding:** UK Higher Education Funding Council
- **Staff:** 75 fte (includes some university teaching programs)
- **Programs (library and non-library):**
 - Learning and Teaching
 - Digital Libraries in the Classroom
 - Exchange for Learning
 - Access to Institutional Resources
 - Infrastructure
 - Digital Libraries
 - Portals
 - Training and Development





Example: Lebanese Academic Library Consortium (LALC)

- **Mission:**
 - improve and expand the member library services and resources
 - Build a cooperative yet comprehensive collection of electronic resources and e-journals
 - Share resources and provide information to users efficiently and cost-effectively
- **Funding:**
 - Self-funded
- **Membership:**
 - Academic libraries of private universities
 - 4 members?
- **Primary function:** e-content licensing

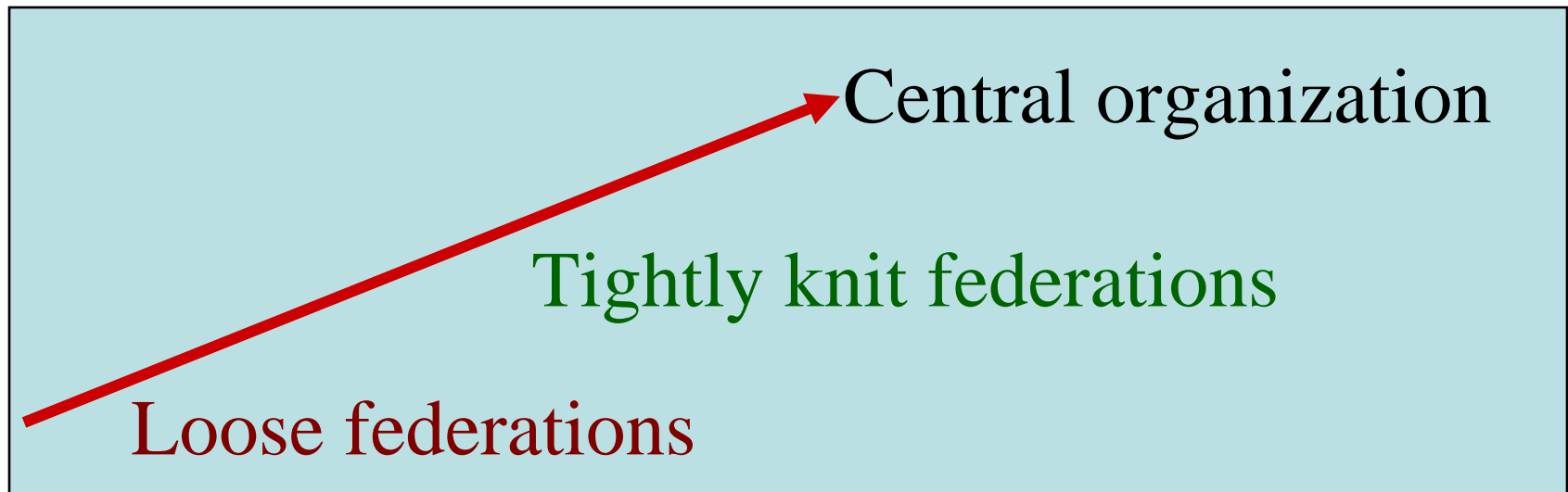
Types of consortia: a continuum

From decentralized

- ✓ Loosely affiliated
- ✓ Volunteer staff
- ✓ No formal organization
- ✓ Small range of programs

To centralized

- ✓ Tightly affiliated
- ✓ Permanent staff
- ✓ Formal organization
- ✓ Ambitious programs



Funding for consortia: a continuum

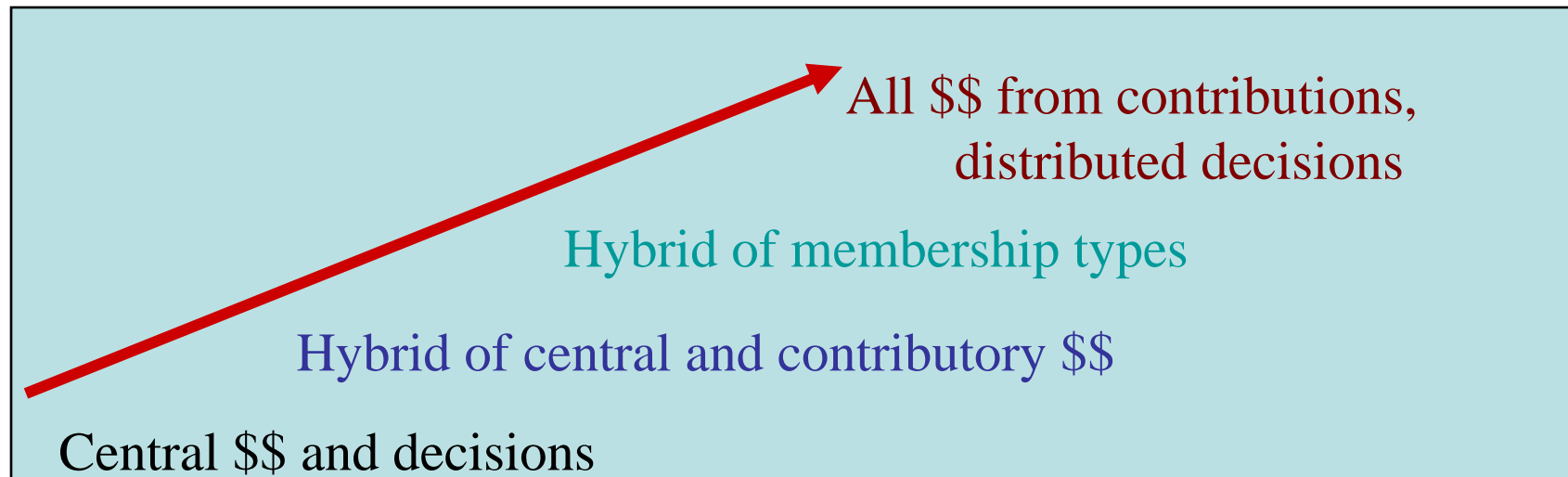
From centrally funded

To self-funded

- ✓ Typically state funding
- ✓ Consultative governance
- ✓ Consortium decides for all

- ✓ Institutional funds
- ✓ Individualized menus
- ✓ Customized resources

And everything in between!



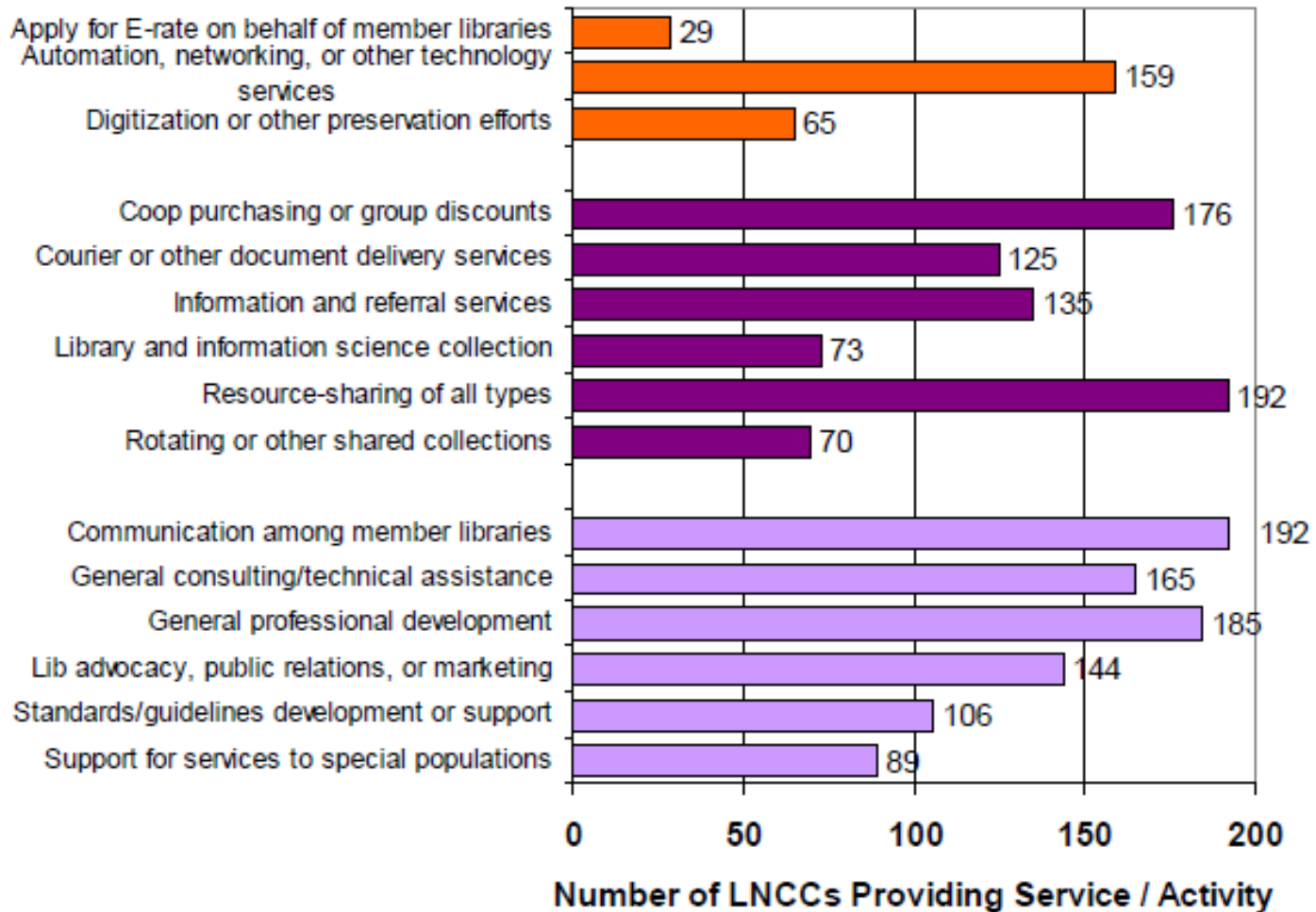


Consortia in the US

- Consortium, consortia, consortial!
- Numbers:
 - American Library Directory: lists 407 US “Networks, Consortia, and Other Cooperative Library Organizations”
 - ALA 2007 Survey: lists about 200 in US
 - ICOLC: lists about 100 academically based US consortia
 - Wide variety of types and sizes
 - Private, public; broadly based agendas, focused agendas

Figure 13. Responding LNCCs by Services and Activities

Responding LNCCs by Services and Activities



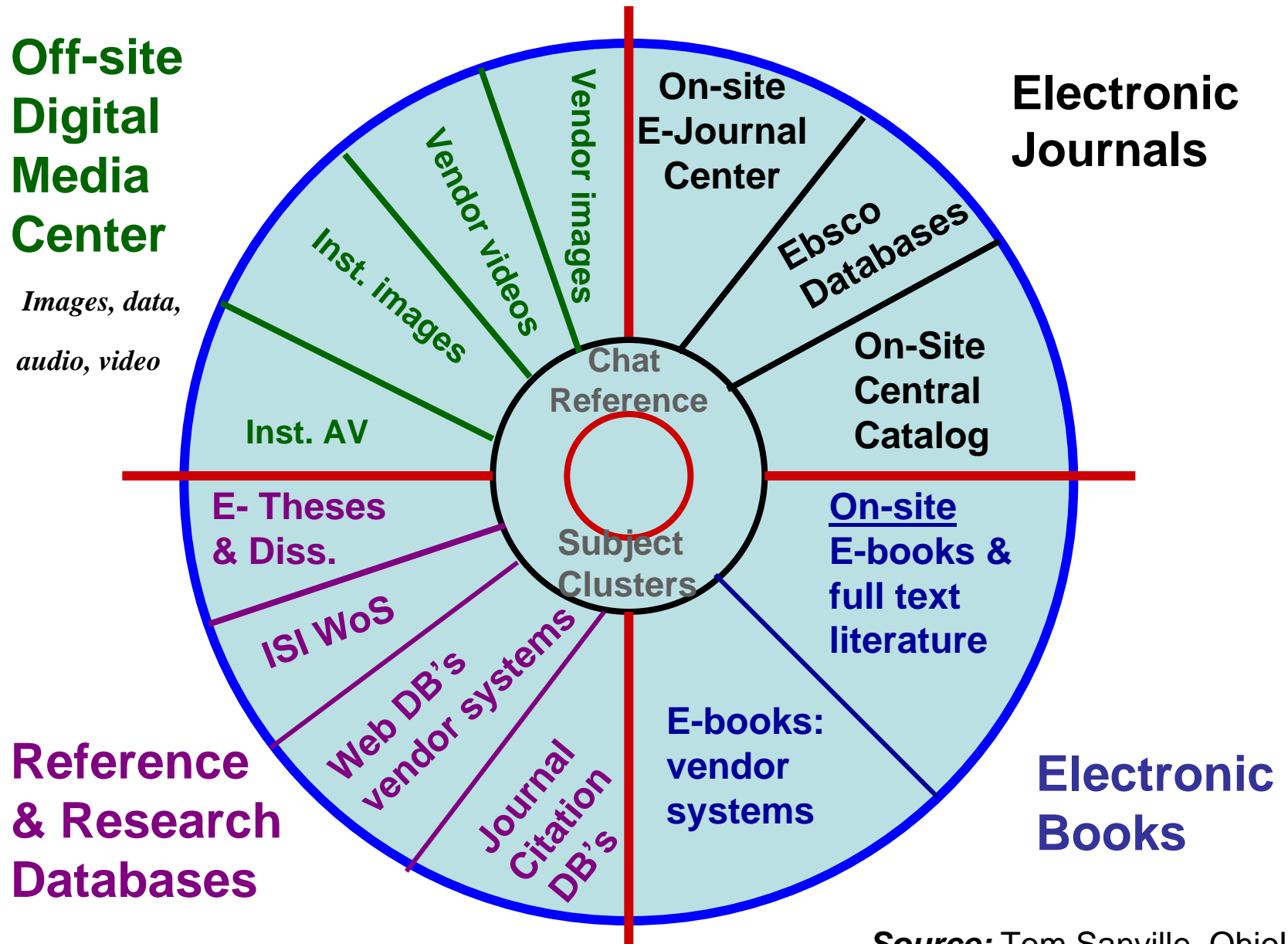
Library Networks, Cooperatives & Consortia; a national survey, ALA, December 2007

Example: OhioLINK



- **Mission:**
 - Provide easy access to information and rapid delivery of library materials throughout the state
 - Serve faculty, students, staff and researchers via campus-based electronic library systems, the OhioLINK central site, and Internet resources
- **Membership:**
 - Est. 1989: college and university libraries; 88 institutions, incl. public universities, community colleges, private colleges and the State Library of Ohio
- **Goals & Services:**
 - Library catalog, research databases, multi-publisher electronic journal center, digital media center, growing collection of e-books, and electronic theses and dissertations center (lots of licensing activity)
- **Funding:** State of Ohio and self-funded
- **Staff:** 19?

Adding services over time: *OhioLINK*



Source: Tom Sanville, OhioLINK



Example: NERL



- **Membership:**
 - Full members: 27 large academic research libraries
 - Affiliates: 50+ smaller academic
- **Organization & Governance:**
 - Voluntary consortium with shared goals: non-bureaucratic
 - Letter of agreement, with decisions made by full members
 - Review organization every 3 years (founded 1996)
 - Staff of 2; annual dues-funded operations of \$120,000
 - Each contract is optional for each and every member
 - Yale the organizational and fiscal home
 - 50+ publishers, many dozens of resources
- **Programs:**
 - Focus on access to expensive (over \$10K) scholarly e-resources of importance to research institutions
 - Billing turnover of ~\$25M last year



Opportunities & unmet needs

- Northeast East Asia Consortium
- Consortium of East Coast Slavic librarians
 - They proposed NERL affiliation because:
 - Had language and vendor contacts but no licensing expertise
 - Licensing new to these parts of the world - education
 - NERL had already licensed *China Journal Network* and some Russian newspapers
 - No WWW product so NERL developed local servers
 - So, in addition to licensing, we now operate some technology services!
- Recent request by greater New York City art museums and libraries to provide services
- How can NERL serve these groups?
- Should we expand services to new groups? Most NERL members are private institutions with totally unrelated governance and financing
- Members move at different paces in e-world



NERL futures

- 3-year review
- Radical counteroffers to publishers
- Best deals compared to others?
- Digital archiving/preservation
- New journal business models: keep heavily used; ppv for lower used titles
- Join shared print initiatives?
- Negotiating OA terms for faculty
- Google Settlement?
- Mission adjustment/expansion needed?
- Easier to make new member decisions; harder to make programmatic decisions
- Almost easier to start a brand consortium for a new purpose than to use existing ones with previous missions



"We just haven't been flapping them hard enough."

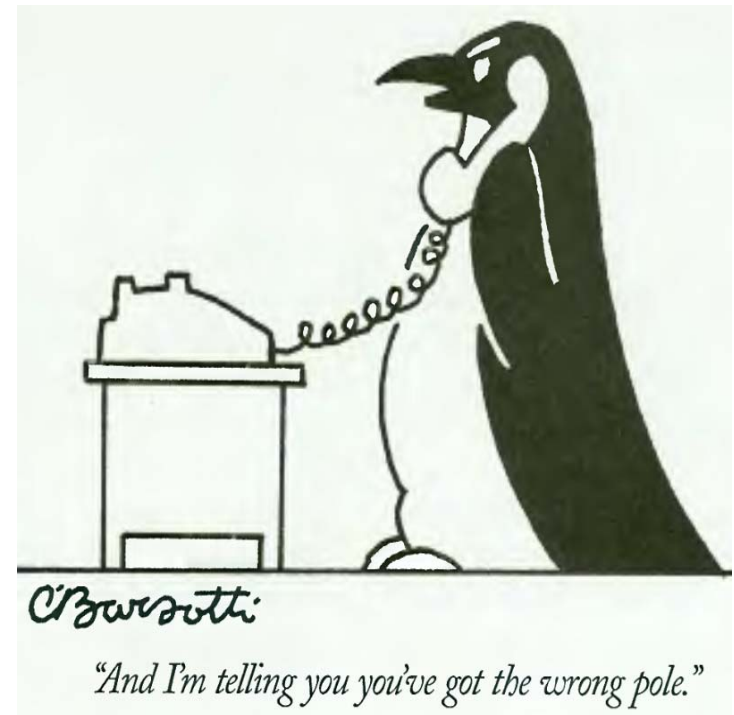


III. Emerging themes & synergies

What do consortia want?

(January 2007)

- Six general areas:
 - Functionality
 - Publishing/distribution
 - Managing print and analog materials
 - “Age of Google” issues
 - Open access and related topics
 - New pricing concerns





Open access & related issues – (survey comments 2007)

- Sustainability in open access models
 - Grant funding – will come to an end
 - Rattle the tin cup – doesn't scale
 - Endowment: Stanford Encyclopedia of Philosophy
 - Donations: DOAJ
 - Memberships to pay author fees?
 - The internal dilemma of transferring resources from research grants to library to consortium
 - PLoS, BioMed Central aimed at individuals not groups?
- Three common concerns:
 - What is fair?
 - What is sustainable?
 - What will the market decide?



ICOLC survey – top priorities

(March 2009)

- **Budget Management** • **65.4%**
- **Licensing & re-negotiation** • **61.5**
- **Digital initiatives & digital preservation** • **60.7**
- **Next generation catalog** • **57.6**
- **Interlibrary lending** • **54.5**
- **Print – shared storage** • **45.8**
- **Scholarly Communications/ OA** • **42.9**
- **Union Catalog** • **39.1**
- **Training** • **35.0**
- **Etc.**



ICOLC survey – OA comments

(March 2009)

- Not on our agenda at this time
- Members are not identifying these issues as a top priority
- SC & OA topics have plateau-ed in light of more pressing issues but will remain part of the agenda
- Higher interest than ever before
- Would be nice to access high priority resources without paying
- Important to respond to projects put before us such as SEP and SCOAP
- These issues are very complex and there are no simple or easily sustainable solutions



NERL & open access

- Membership resources:
 - BioMed Central: 2003 – 2007
 - No viable long-term scalable revenue base; 2005 - \$4,658; 2006 - \$31,625
 - Internal dilemma of transferring resources from researchers
 - PLoS: A similar problem for a resource aimed at collecting \$\$ from researchers and not libraries
- Springer “Open Choice” & Elsevier
- Endowment:
 - Stanford Encyclopedia of Philosophy
 - (rattle the tin cup for \$4.25M – \$500K NEH, \$1.25M fund raising at Stanford, \$2.5 libraries worldwide)
- SCOAP3:
 - Keep journals but change the underlying funding mode (complicated due to NERL’s structure)



SCOAP³ Survey for NERL Members

Institution Name: _____
 Name of person submitting: _____
 Email of person submitting: _____

Instructions:

(E-ONLY--NO PRINT SUBS SHOULD BE INCLUDED)

- 1) Do you have electronic access to this title? Answer Y or N. (if N, you are done with this title).
- 2) Do you have access to it as a single title? Answer Y or N. If Y, please look up and fill in the total price paid for the current calendar year.
- 3) Do you have access as part of your own university/library's package arrangement? Answer Y or N. If Y, please calculate and fill in price paid for current calendar year. (And you are done with this title)
- 4) Do you have access as part of a NERL package arrangement, AND is this access as a "free" title because you didn't pay for it in the past: i.e. it's add-on to all-package arrangement? (You are done with this title)
- 5) Do you have access as part of a NERL package arrangement, **did you have a subscription that was calculated into Historic Spend**?
 (If **Y**, title was qualified subscription NERL will complete value, if **N**, presumed access as part of package, NERL fills in value) In what year did you join the NERL contract?
- 6) Repeat steps 1-5 for each title.

The following is an example of an entry:

SCOAP ³ Target Journal Titles	Print ISSN	Online Publisher	1	2	3	4	5	Value	Total Investment			
Journal XXX	XXXX-XXXX	XXX	Y	N	\$0	N	\$0	Y	Y	2006	\$xxx	\$0.00

SCOAP³ Survey Table:

SCOAP ³ Target Journal Titles	Print ISSN	Online Publisher	% HEP	% SCOAP	1	2		3		4	5			Total Investment	
					E-Access to title? Y/N	Access as single title? Y/N	If Y, Enter Price Paid	Own University Pkg.? Y/N	If Y, Enter Price Paid	Access via NERL Pkg? Y/N	Pkg. Subscript as Historic Spend	Year NERL contract joined	Value Pd. Via NERL Contract		
Physical Review D	1550-7998	APS	92%	100%										N/A	\$0
Physics Letters B	0370-2693	Elsevier	90%	100%											\$0
Nuclear Physics B	0550-3213	Elsevier	92%	100%											\$0
Journal of High Energy Physics	1126-6708	SISSA/IOP	100%	100%										N/A	\$0
European Physical Journal C - Particles & Fields	1434-6044	Springer	82%	100%											\$0
Physical Review Letters	0031-9007	APS	11%	10%										N/A	\$0
Nuclear Instruments & Methods in Physics Research A	0168-9002	Elsevier	23%	25%											\$0
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We'll keep dancing
"Happy Feet"



International Coalition of Library Consortia



<http://www.library.yale.edu/consortia>