About the Speaker

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Christina Birdie is considered as one of the specialists in Special Libraries Consortium in India. She is currently an Assistant Librarian (cum the Librarian-In-Charge) at the Indian Institute of Astrophysics Library. She is also fully in-charge of Digital Library project which is part of the Million Book Project of CMU, USA and IISc, India.

She holds a Post-Graduate degree in Library and Information Science and also currently is waiting for defense for her PhD. thesis that was submitted at the Dept. of Library & Information Science at Andhra University.

Christina Birdie skills and experiences include:

- Specialised in accessing and organising electronic information from multi database and primary journals.
- Working on a project to design the guidelines for copyright & patenting issues pertaining to Indian Digital publications.
- Submitted an international project proposal on Copyright & Licensing Issues for accessing electronic journals in Indian libraries to Special Libraries Association at Washington in May, 2003.
- Coordinate the Consortium of Special Libraries in India and initiated the FORSA (Forum for Resource Sharing in Astronomy) consortium of Astronomy libraries in India to negotiate the consortium deal for e-access to astronomy journals. She is also a web-coordinator of the FORSA consortium.
- Organized a National Level Round Table on “Consortia Models in Indian Libraries” in the Indian Institute of Astrophysics Library at Bangalore in November 2002.
- Coordinating the digitization of the archival collection in Indian Institute of Astrophysics for the “Million Book Project” (International collaborative project between Carnegie Mellon University, USA and Indian Government).

She has been given numerous awards on her contribution at both national and international level. She has also written, published and presented many articles and paperwork particularly on consortium and copyright & licensing of digital libraries.

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Library Consortia and Open Access Initiatives: Collaboration at Different Level

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Abstract:

Library Consortia evolved as a group activity over the years to empower the collective bargaining with publishers. The libraries felt the urge to collaborate not only for viable economics, but also for enhanced information access and also to utilize the technology for resource sharing. Consortia and bargaining are considered to be complimentary to each other and this has necessitated the librarians and publishers to strike a relationship for a better understanding of budget distribution. In a developing country like India, it is absolutely necessary to keep a check on the optimum utilization of allocated budget in any library. How far the collaborative gesture will help the libraries to achieve their target of accessing unlimited information in limited budget? The concept of Consortia practice has been discussed in only a small percentage of libraries in India, and can this be a yardstick to conclude whether the Consortia culture has really caught up aggressively or should we admit that we have a long way to go? Consortia that work together faces an array of challenges yet may also reap significant rewards. In this paper I have attempted to highlight the pros and cons, advantages and pitfalls, when consortia collaborate.

While talking about Consortia it is essential to discuss about e publishing since both are intertwined to create an environment for the scholars who seek more information using technology. E publishing has taken the lead and while the consortia has been in support of e-access to information; it has also created a situation to initiate a more meaningful access to information by way of promoting 'Open Access'. An easy transition for libraries, which are yet to join a consortium. However, these two concepts are totally different, as far as the economics is concerned. According to ICOLC, 2004 e-info guidelines, Consortia concept needs redefining in support of 'Open Access', as new access model. An active consortium has a team of librarians who collaborate professionally to make the consortium succeed. The same level of collaboration is shifted to include the scholars and researchers along with publishers in initiating the 'Open Access' mechanism. I have also discussed the role of librarians in this transition of collaboration, to enumerate the expectations and responsibilities envisaged in support of the changed scholarly communication.

Introduction:

Given the vital role of information in our society, the important move to be made in this century is, perhaps the intelligent access to the information either paid or free. Researchers need to keep up with the latest information, and the scholarly information in hybrid format enhances their research skill in short span. At what cost can the researchers access information? Libraries could no longer afford to purchase all the information that all the researchers at the institution required. With the marginal increase in the yearly budget, even the most affluent libraries could only partially meet the requirements of their users. Hence more and more libraries have struck partnership deals with other libraries in regional and national levels.

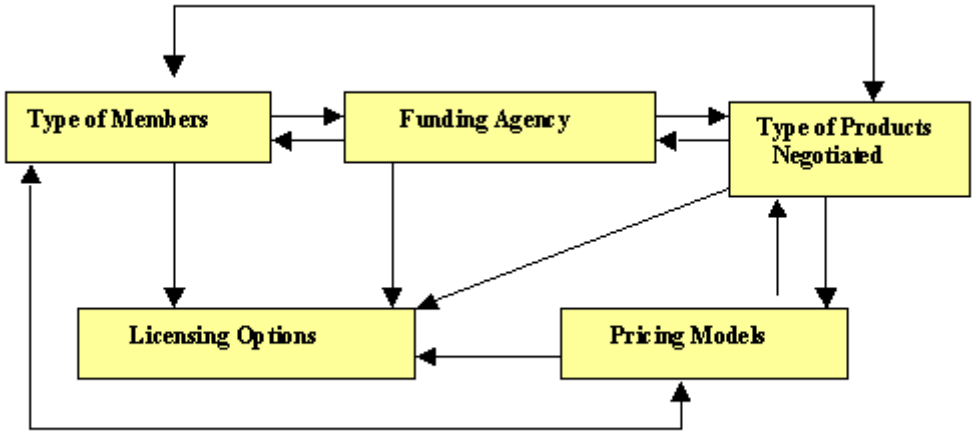
According to ICOLC (International Coalition Of Library Consortia), the library partnership is an important concept leading to consortia formation, which brings about the following activities within the group; Licensing (e-journal, core e-resources, and full-text), Governance (funding, strategic planning, membership), Library & Management system migration, Linked systems projects and virtual union catalogs, with patron-initiated ILL, Cooperative collection and Management, Training, Creation of digital collections and shared storage. The core values of consortia are Collaboration, Joint procurement and Networking (ICOLC guidelines).

In a developing country like India, all the above-mentioned initiatives are more meaningful. In the last couple of years, few consortia have come into effect either formally or informally. While the technology part required for any networking is quiet strong, the funding and the trained manpower is not very encouraging in many Indian libraries (Kopp, 1998). Many research libraries face the challenge of acquiring additional literature, especially electronic journals for their users. The good old concept of interlibrary loan, which is very effective for the print media, has been extended to the electronic media with a difference of access to the micro level of articles in question. But the publishers have challenged the legality of the access mechanism in the electronic format and this has made the librarians to work out an alternative model to get access to the additional information through consortia. Many e-access models are offered by the publishers to the library consortia in the last few years in India (Goudar, 2002).

Consortia Practices:

There are 5 basic requirements, which constitute any consortium arrangements are shown in the diagram below; these requirements have to be well defined before starting any consortium arrangement.

Figure 1. Basic Elements constituting a consortium



These five elements vary according to the objectives for which the consortia came into existence.

The significance of the collaboration between the librarians and the publishers was realized by the libraries in India when the publishers came out with the same consortia offers made by them to the libraries in US and Europe initially. Subsequently there was a brain storming round table on consortia organized by one of the research libraries in India two years back which gave rise to many questions, as to whether the libraries in India qualify as the same level of libraries in western countries by way of institutional structure and funding, to accept the same offers made by the publishers and vendors? This made the publishers to re-design their offers suitable to libraries in India and at the same time it was an opportunity for those publishers and vendors to set up their shops in India, who never had their physical presence in the country earlier. Their presence, prompted many libraries to explore the benefits of joining a consortium at a quicker pace (Round Table on Consortia, 2002).

The few consortia practices like FORSA (Forum for Resource Sharing in Astronomy), INDEST (Indian Digital Library in Engineering Science & Technology), CSIR (Council of Scientific & Industrial Research), IIM (Indian Institute of Management), and UGC (University Grants Commission)/INFLIBNET (Information & Library Network) started negotiating with various publishers for offers suitable to their consortia more seriously.

FORSA is the first consortium, which came into existence in India, with members belonging to a homogeneous group specializing in Astronomy initially. Later this group was extended to include libraries specializing in Physics and Mathematics also as members. This expansion was facilitated keeping in mind, the PAM division of SLA (Special Libraries Association) as example. FORSA still has to establish itself with more formal commitments by way of funding and manpower. In the last three years of its functioning there are few issues need to be sorted out which are related to the products it negotiates and also the nature of the membership (Birdie, 2002).

INDEST consortium has a wide range of members with different level of institutional structure and funding. Geographically these members are spread, throughout the country and it is yet to establish an exclusive team of people to manage the consortium (Arora, 2002).

CSIR consortium is a unique example of support by centralized funding to all its members, which has both advantages and disadvantages. Members with adequate infrastructure and manpower to access e-journals are benefited more and there are few members, yet to set up their basic infrastructure facilities among the group (Krishnan, 2002).

IIM consortium is similar to FORSA in its functioning, except its members who are homogeneous by same area of specialization of their parent organizations. This has helped the consortium to be more formal compared to the informal functioning of FORSA consortium (Chikkamallaiah, 2002).

UGC/INFLIBNET consortium has a big task to bring more than 200 universities together to experience the benefits it has to offer. Since these universities fall under different categories according to their size (in terms of number of faculty and students),

funds and available infrastructure, it will take a while for this consortium to become fully functional (Kumbar, 2002).

While so much for the consortium structure and membership, there are only few access models, which have become popular in Indian libraries. The various e-access models, which play an important role in the effective and smooth functioning of these consortia, are mentioned below (Grover, 2002);

- print plus electronic
- electronic plus print
- electronic only
- all-you-can-eat
- pay-by-the-drink
- cross e-access
- deep discount pricing
- core subscription plus pay-per-view

Pricing for these access models vary from publisher to publisher and sometimes according to the consortium also.

The following table describes the characteristics of the collaboration of those individual consortia practices exist in India:

FORSA	INDEST	CSIR	IIM	UGC/INFLIBNET
Initially started with 6 members and expanded to 12 members currently	38 members of three categories	41 Laboratories specializing in different disciplines	6 Management Institutes spread over the country	Currently 150 universities are members of this consortium
Informal definition of goals & objectives among the members	Well defined goals & objectives	Well defined goals & objectives	Informal definition of goals & objectives among the members	Goals & Objectives are well defined by a centralized system
Decentralized funding	Centralized funding for category I members & decentralized funding for other two categories	Centralized funding for all the members	Decentralized funding	Combination of both centralized and decentralized funding
Initially it was a homogeneous group of astronomy libraries, and later became heterogeneous to include physics and mathematics libraries	Heterogeneous group to include Engineering and Science & Technology libraries	Homogeneous group as far as the centralized funding, and heterogeneous by subject focus of member libraries	Homogeneous group of Management libraries	Heterogeneous group of universities of different level
Negotiation for select products	Negotiation for complete or bundle of titles from many publishers	Negotiation for bundle of titles from select publishers	Negotiation for select products from select publishers	Negotiation for many titles for different level members
Cross E-access to the titles of member libraries	Complete E-access to all the titles offered by various publishers	Complete E-access to titles of select publishers	Cross E-access to few titles and complete access to few complete databases	Complete E-access to all titles of different publishers
Formal name for the consortium called FORSA	Identified with a formal name INDEST	No exclusive name for the consortium	No exclusive name for the consortium	Identified with name INFLIBNET serving the universities
Web page is available in one of the member libraries server on rotation	Web page is available independently	No web page available	No web page available	Web page is available as part of INFLIBNET server
Registered as a member of ICOLC	Registered as a member of ICOLC	Not yet registered with ICOLC	Yet to register with ICOLC	Yet to register with ICOLC
Reviewing of the consortium was done with respect to the expansion of membership and also the diversity of products for continuity.	No visible reviewing done to make any change	Yet to review the functioning of the consortium	Internal reviewing done for continuity	Reviewing done to make changes in the membership of the consortium

Table 1. Consortia Practices in India

Maximizing the value of Consortium Participation:

Many libraries exercise a reasonable degree of care in deciding whether to join a consortium, which has meaningful commitment. They also evaluate the process of the value that they receive from participating either formally or informally. Library consortia functioning outside India were established even before the electronic journals came onto the picture. They have been in practice even for the Inter-library loan service between libraries for the print media. Some of them have established union catalog of library resources as a part of consortia activity. When the publishers introduced the electronic journals, it was a smooth transition for many of these consortia to include the access to this transformed media more efficiently. They were quick to adapt to the situation since the initial delay of establishing a consortium was not there. Where as, the scene was very different in India. Most of the libraries started negotiating with publishers for consortia deal, even before formalizing the consortium membership (Birdie, 2002). When the teething trouble was sorted out, next came the actual commitment from the members, since any activity related to a consortium, required additional work and responsibilities for the members of a consortium. This can be minimized if the consortia are established more formally.

Where does the problem arise?

There are number of reasons why a library may not get as much as it could from its expenditure by way of time, money and efforts on consortium participation.

- Perhaps, the most significant is the fact that joining a given consortium is usually championed by a single individual or organization, which is often interested in only one aspect of the consortium's programming. While the member libraries can have diverse interests and activities, which they expect as benefits from joining a consortium, the failure to address these multi-faceted activities will hamper the consortium to function effectively (Okerson, 2000).
- Failure to define goals. Logically, a library needs to have a clear understanding of what it hopes to gain from joining a consortium. In the Indian context, this problem

arises when the centralized funding is assured for the members of a consortium, without exploring the actual requirements and interests. Since these central funding agencies dictate their terms and conditions, the individual libraries are left with no choice except to join the consortium.

- Failure to communicate information internally to all members of a particular consortium. This can arise due to the indifferent attitude of the coordinator or the individual members of the consortium. It is a serious problem in India, since the member libraries of a consortium in a regional or national level are spread out geographically and also the unequal economic status of the members can lead to communication problem. Moreover, the larger the consortium, the more effort will be required to ensure that all the members receive all the communication. This is a typical situation faced in one or two consortia practices in India.
- The most important aspect of unsuccessful consortia is, the absence of careful review of sustaining value before renewing or continuing the consortia activities and commitments. This is an essential exercise required for all the consortia practices in India, which will be very useful for members to take judicious decision before committing for future.
- Absence of new initiatives within the strategic mission of the consortium. It requires the skills of individuals who can be the right representative to the process of negotiation with publishers and also convince their administrators for new commitments towards the consortium.
- Absence of clear licensing guidelines, exclusive for consortia. Many Indian libraries have been religiously following the e-journals licensing guidelines in many circumstances and it is felt that the finer differences for consortia environment need more simple and dynamic licensing principles (Amba, 2002).

While examining all the above possibilities, which could hamper the successful functioning of any consortium, the underlying message is the insufficient funds, unequal distribution of information, improper communication and lack of matured collaboration among the members, which need immediate attention for future consortia functioning.

Can a different combination of elements and a changed scholarly communication give a new look to consortia in future?

Library Consortia to Open Access Initiatives:

The aim of the Open Access (OA) movement according to Peter Suber (2004) is to ensure that all peer-reviewed, scientific and scholarly literature becomes available on the Internet, " free of charge and free of most copyright and licensing restrictions". The aim he adds is to remove " the barriers to serious research". Open Access to scholarly literature is achieved through 'Green' and 'Gold' roads and IR (Institutional Repositories) (Arunachalam, 2004). A 'Green' publisher (or journal) has given its official 'green light' to its authors to self-archive their papers (i.e. make them OA by depositing the full-text of a toll-free, publicly accessible website). A 'Gold' publisher (or journal) has not only given the green light to both preprint and post-print self-archiving by the author, but the publishers themselves archive all their articles publicly (Doaj). While Library Consortia aim to increase their collection by way of sharing their resources, the concept of OA has enhanced their collection by access to the micro level. The actual path taken to access more scholarly literature lies with the individual members. In Library consortia there are issues concerning the level of collaboration not only within the members, but they extend to the publishers and vendors who are also partners in this endeavor. The same collaboration is redefined in OA to include the authors who create the scholarly information. If every individual member of a consortium choose to support the OA movement, by either establishing their own institutional repository (IR) or support the 'Green' and 'Gold' journals, the collective effort will be quiet substantial for the members of any consortium as far as the access to additional material concerned. Thus the value of Open Access to consortia is the availability of a large corpus of open access content that will add more content to the subscription content consortia offer to their users (Harnad, 2004).

The following comparisons facilitate the initiation of Open Access in those libraries waiting to join any existing consortium.

- Consortia aim to share the access to journal titles, whereas Open Access movement helps in sharing the access to journal articles from both 'Gold' and 'Green' journals and Institutional Repositories,

- Members of a consortium include librarians and publishers/vendors, whereas in Open Access initiative the authors are also members along with librarians and publishers/vendors.
- Consortia require the license agreement to be signed between librarians and publishers, whereas the authors of scholarly contents are expected to sign the agreement with publishers in open access initiatives.
- Consortia focus on the interests of the member libraries more broadly, whereas authors' interests are taken care of through OA by establishing subject specialized archives.
- Consortia confine themselves to regional and national level cooperation, whereas OA can extend to international level cooperation.
- Every title accessed through consortia may not have a client, whereas every article archived and accessed in OA will have a reader.
- Consortia are governed by boundary of space, manpower and additional budget, whereas OA operates on the 'virtual' concept of space, manpower and reduced budget.

Roles of Librarians:

Most of the above statements are also true for any established consortium waiting to support the OA within their consortium activities. What is it required for the members of a consortium to migrate to a situation where they are able to support the Open Access movement without disturbing the current consortia setup?

- Librarians who participate in any consortium need to equip themselves adequately about the concept of Open Access before they commit within a consortium. It requires the members to discuss and share the knowledge of information on different business models, which support the OA, since Open Access does not eliminate costs. It is also essential to evaluate the usage of resources bargained through consortium which will help the members to re-define their budgets to support the OA journals as part of access through consortium.

- Librarians should try and build coalitions and support within the academic community; equip themselves for non-uniform reactions to OA. As members of a consortium they have additional challenge to support and satisfy the entire academic community who belong to all the member institutes. Establishing Institutional Repositories of individual members of a consortium need consensus and standardization among the members and librarians need to be proactive and dynamic to achieve this goal.
- Librarians should learn the art of delivering digital content, which includes the knowledge of different Meta data and keying efforts related to research literature. Effectively libraries become publishers when they initiate their Institutional Repositories in support of OA hence they are expected to know the copyright issues relevant in the digital environment.
- Librarians should explore the possibility of canceling any deal with publishers/vendors where the cost is too high and the use too low, thus consolidating their requirements from the offers made to consortium as well as in the OA environment.

Future issues:

Since the issue of Open Access Initiative is still drawing many comments and criticisms, it is very essential for the librarians to get involved in this debate more actively. There are many issues, which need clear understanding, for e.g. what is the continued role of libraries as publishers in the digital era, and will the libraries be responsible for maintaining the archives, if so, what kind of arrangement to be established in a consortium environment? Will the consortium objectives remain the same in the newly found OA environment? Can the libraries plan for access to OA journals while bargaining with publishers for better deal for a consortium? Will copyright issues become global when OA gets full support from publishers and authors?

Any coalition activity is successful if the people involved are more proactive, matured and responsible to carry out the task, and how does the mechanism stay intact in the absence of such human intervention!

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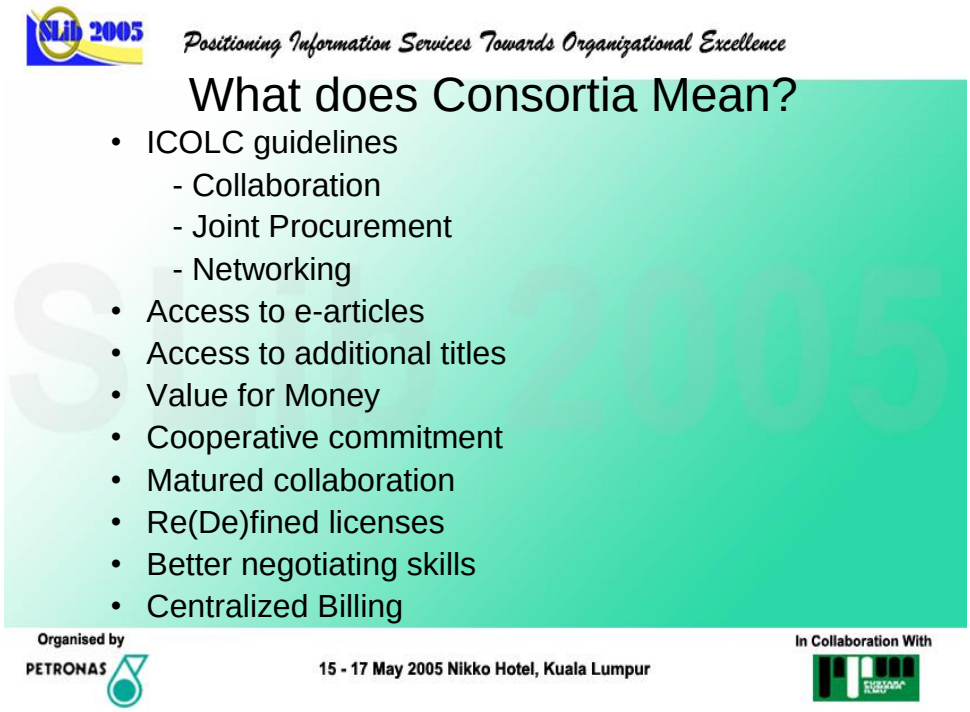

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Consortia Types

- Buying Clubs
- Tightly knit federations
- Multi-type
- Multi-state
- Centrally funded
- Hybrid Consortia

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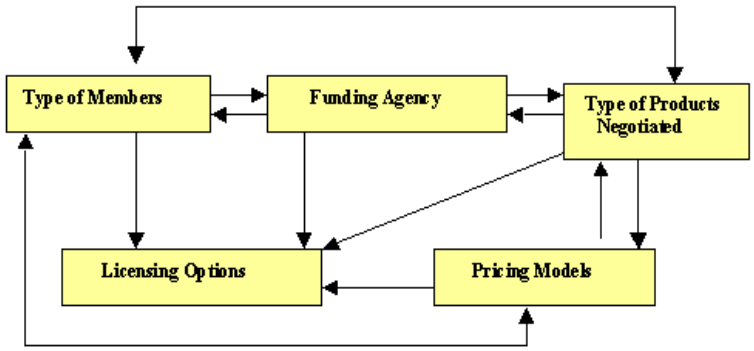
Figure 1. Basic Elements constituting a consortium



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Basic Elements of Consortium

- Type of Members
  - Homogenous
  - Heterogeneous
- Funding Agency
  - Central Agency
  - Individual Libraries
  - Combination funding
- Type of Products Negotiated
  - Cross E-Access
  - Access to Complete database
  - Access to selected titles
  - Access to one product or series

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Basic Elements …Contd.

- Pricing Models
  - Print plus Electronic
  - Electronic plus Print
  - All-You-Can-Eat
  - Choice of Specific Titles
  - Pay-per-View
  - Deep Discount Offer
  - Non-Cancellation Offer

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Basic Elements …Contd.

- Licensing Options
  - Payment through Individual invoices
  - Dual access
  - Multi-site Access
  - Flexible ILL
  - Combination of Print with Electronic
  - Provision of Usage Statistics
  - Access to Archives

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Table 1. Consortia Practices in India

FORSA	INDEST	CSIR	IIM	UGC/INFLIBNET
Initially started with 6 members and expanded to 12 members currently	38 members of three categories	41 Laboratories specializing in different disciplines	6 Management Institutes spread over the country	Currently 150 universities are members of this consortium
Informal definition of goals & objectives among the members	Well defined goals & objectives	Well defined goals & objectives	Informal definition of goals & objectives among the members	Goals & Objectives are well defined by a centralized system
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Initially it was a homogeneous group of astronomy libraries, and later became heterogeneous to include physics and mathematics libraries	Heterogeneous group to include Engineering and Science & Technology libraries	Homogeneous group as far as the centralized funding, and heterogeneous by subject focus of member libraries	Homogeneous group of Management libraries	Heterogeneous group of universities of different level
Negotiation for select products	Negotiation for complete or bundle of titles from many publishers	Negotiation for bundle of titles from select publishers	Negotiation for select products from select publishers	Negotiation for many titles for different level members

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FORSA	INDEST	CSIR	IIM	UGC/INFLIBNET
Cross E-access to the titles of member libraries	Complete E-access to all the titles offered by various publishers	Complete E-access to titles of select publishers	Cross E-access to few titles and complete access to few complete databases	Complete E-access to all titles of different publishers
Formal name for the consortium called FORSA	Identified with a formal name INDEST	No exclusive name for the consortium	No exclusive name for the consortium	Identified with name INFLIBNET serving the universities
Web page is available in one of the member libraries server on rotation	Web page is available independently	No web page available	No web page available	Web page is available as part of INFLIBNET server
Registered as a member of ICOLC	Registered as a member of ICOLC	Not yet registered with ICOLC	Yet to register with ICOLC	Yet to register with ICOLC
Reviewing of the consortium was done with respect to the expansion of membership and also the diversity of products for continuity.	No visible reviewing done to make any change	Yet to review the functioning of the consortium	Internal reviewing done for continuity	Reviewing done to make changes in the membership of the consortium

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Where does the problem arise?

- Failure to address multi-faceted activities
- Failure to define goals
- Failure to Communicate
- Absence of New initiatives
- Absence of exclusive licensing guidelines
- Absence of careful reviewing
- Insufficient Funds
- Lack of Matured collaboration
- postponing decisions

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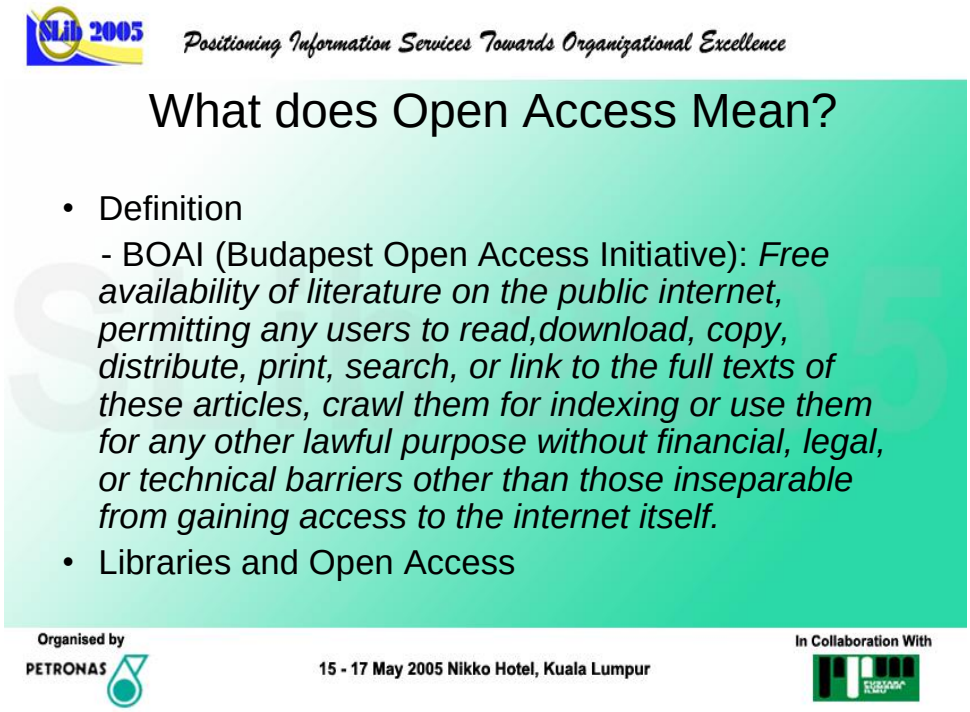
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What does Open Access Mean?
• Definition
- BOAI (Budapest Open Access Initiative): Free availability of literature on the public internet, permitting any users to read,download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing or use them for any other lawful purpose without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.
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Consortia and Open Access
• Contents
- Consortia journals Vs Open Access Journals
• Partners
- Librarians Vs Authors
▪ Pricing Models
- Subscription revenue Vs Article Fee
▪ Cooperation
- Regional & National Vs International
▪ Licensing & Copyright
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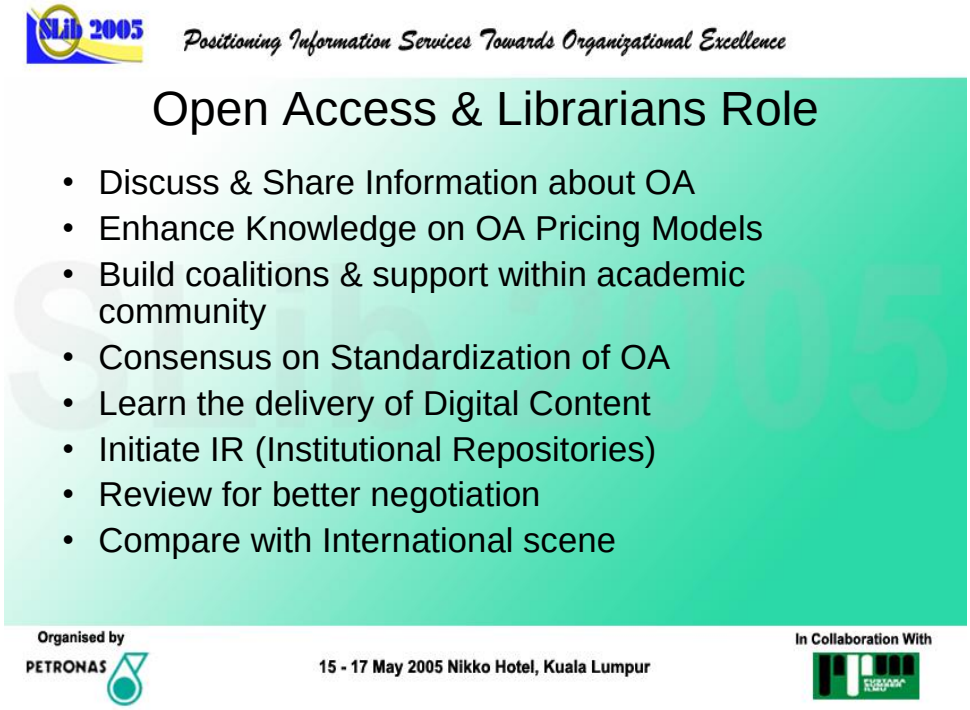
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• Discuss & Share Information about OA
• Enhance Knowledge on OA Pricing Models
• Build coalitions & support within academic community
• Consensus on Standardization of OA
• Learn the delivery of Digital Content
• Initiate IR (Institutional Repositories)
• Review for better negotiation
• Compare with International scene
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• Will they co-exist?
• Is OA economically viable?
• Can developing countries sustain both Consortia and OA pricing models?
• Who will be responsible for archiving?
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