

## SERIALS

### Domain/Scope

Journals/Serials: since the definitions of these two terms are synonymous, for clarity, the term Serials will be used throughout.

Serials refer to any publication, regardless of format (paper/microfilm/online/cd/dvd,password protected, networked content/etc) that are issued on a continuous basis, i.e. have seriality, and are 'published' with either specified or unspecified intervals. Only serials to which the university subscribes/has access from an outside vendor will be considered (in-house serials should be covered either under Faculty Scholarship or Blackboard, Instructional Webspaces, and Campus Files ).

The domain will include some of the following issues: academic/curricular expectations as related to serials collections; access versus ownership; storage issues for both physical ( i.e. requiring shelving) and digitized content; acquisition and budgeting consideration; peripheral services for their maintenance and use.

### Sub group membership

Helen M. Aiello, Serials/E-resources Librarian

Steve Bishop, Science Librarian and Library Systems Manager

### **1. Existing practices, including the number of people involved in the practice, the technologies/systems involved in managing the process, budget for materials in that area, and the budget for systems/personnel in that area.**

- The library selects and acquires and/or licenses access to all types of serials (e.g. newspapers, journals, annuals, irregular series, databases) in all currently existing formats: paper or micro-format based to electronic only.
- The acquisition of new serial titles is generated most commonly by faculty requests or by librarians to support the subject areas for which they are responsible, and then vetted through the Library Collection Group (LCG) since the acquisition of a serial, regardless of the method, requires an ongoing, annual commitment. The LCG's decision to acquire the serial is weighed both by its value to the Wesleyan community's scholarship needs and by the library's materials budget ability to absorb the annual commitment.
- The Library employs a central processing unit (Serials Dept.) for all currently received paper based issues/volumes. Management of orders, budgeting, invoice processing, control of incoming paper based serials, public access information and bibliographic control is managed through the library's ILS. In addition, the Serials Dept. is charged also with managing the current issues from time of receipt through the commercial binding process after which time the serials are sent to permanent stack locations in Olin & Sci.Lib.
- E-content only serials, as well as all other e-content resources which publishers manage like serials (e.g. data sets, databases, annual access fees, to name a few) are managed also through the Library's Serials dept.: selection of access source (frequently through cooperative purchasing), licensing and licensing renewals, bibliographic and e-specific access (link resolver, journal locator), e-specific information needs specific only to e-resources (troubleshooting info, admin contacts, ILL limitations, etc), and other points that are constantly emerging as necessary to e-resource management.
- In addition to the Library Integrated System (LIS), used for serials management both for bibliographically and administratively, several other products are employed to enhance and enable the use of e-serials. Specifically: SFX, a link resolver, and Serials Solutions, a product used to populate our Journal Locator. Costs for SFX and Serials Solutions are funded out of the Library's operating budget.
- The Library supports, through membership, several 'open access' and alternative publishing initiatives for access to serial content (PloS, BioMed Central, SPARC).
- Wesleyan is a LOCKSS partner. LOCKSS is open source, peer-to-peer software that functions as a persistent access preservation system. Currently we archive over 100 electronic serials using this system, and the number grows monthly as more publishers adopt the LOCKSS model. (<http://www.lockss.org/lockss/Home>)
- Wesleyan University Library joined the Five College Library Depository as an affiliate member. Wesleyan's membership will allow for storage of bound serial volumes, with the proviso of allowing members of the Wesleyan community to request delivery of bound volumes from the Depository for on-campus use.
- Almost all library staff are involved since serials and e-resources are used by all and policies for use/access are created at all levels of the library.

- The Serials materials budget for FY 05/06 is \$2,175,946.00. Of this amount, 67% covers e-only serials/resources with the remainder allocated to paper and micro-format.

## 2. Strengths: What is good about the existing practice?

- The acquisition of e-databases/products has enhanced access to serial materials exponentially. E.g. 10 years ago (1996) the library subscribed to approximately 3,200 serials (in paper format) whereas this year the library provides online access to 27,200 online serials, 11,900 of which provide full text access to entire issues. The major benefit from this online collection size is it allows the Wesleyan community (faculty/students/staff) to have immediate access to research materials from their desktops.
- SFX and Serials Solutions enhance access to the e-content in ways unimaginable several years ago.
- Our membership in many acquisition consortia, i.e. groups of libraries that use their collective buying power to pressure publishers for better pricing or improved access, has enabled Wesleyan to acquire e-products at more advantageous costs than if we subscribed on our own. Additionally, since many of these consortia members are large ARL libraries (e.g. Yale, MIT, Duke, Brown, Columbia, Cornell, Princeton) licensing provisions allow Wesleyan to have access to their large collective pool of e-serials at very favorable costs.
- Since our e-resources are in evidence to everyone on the WEB, Wesleyan can show to any prospective students the depth and breadth of its resources.
- Centralization of e-resource management allows more cohesion with our e-products.
- Stabilization of e-resource providers (JSTOR, professional societies such as the AIP) is allowing us to rely confidently on the e-version of selected titles and consequently deselect selected titles of paper volumes from the stacks.
- The library's preservation lab, which has expertise in handling and preserving paper based publications, allows the library to attend well to its historical, as well as current, paper format serial volumes that must be retained in paper format for specific areas of scholarship.

## 3. Weaknesses: What could be improved?

- More effective tools for e-resource management at the acquisition/licensing level. Since e-resources have grown exponentially in only the last 10 years, ILS's have not kept pace with the specialized needs of e-resource management. Tools to manage license provisions, multiplicity of e-serials that are related to a database, automatic harvesting of usage statistics from all the e-serial providers we use, etc.
- Working in partnership with other libraries to support Open Access initiatives. This model presents its own challenge to the University since it moves the cost of scholarly serials from the Library at the point of acquisitions, to the faculty at the point of publication.
- The 'Big Deal' packages (Elsevier, Oxford UP, Cambridge UP, Wiley, Springer, Blackwell) of e-serials have locked a significant portion of the serials materials budget since licensing provisions prevent the cancellation of the base titles upon which the package was created.
- The lack of standards for format/interface of e-serials results in a multiplicity of access platforms which in turn, are confusing for users and a challenge to manage well for the Library.
- In the rush to an e-resource only serial environment, we have to be sensitive and aware of serial resources that cannot be converted to e-only format without serious risk to some areas of scholarship.
- There is no convenient nor consistent method for users to report problems with access: sometimes they will call, sometimes e-mail, possibly users simply do not report a problem since they do not know to whom it should be reported.

## 4. Opportunities: What are things that other schools or institutions do that we might emulate? What trends are emerging from other sectors that we could use to our advantage?

- Implementation of an Electronic Resource Management (ERM) system.
- Use of ScholarStats to harvest usage stats from multiple e-resource providers.
- Cancellation of serial subscriptions – paper or microform or e-content based – paired with increased reliance on document delivery
- Variety of initiatives focused on e-serial management:
  - ONIX for Licensing Terms: <http://www.editeur.org/>

## 5. Threats: What bad things could happen if we keep doing what we are doing?

- Continued and inevitable conversion to e-only access serials without the concomitant assurance that there will be perpetual access to the content is a decided, albeit necessary, risk.
- Not acquiring and implementing an ERM creates the possibility of the loss of the many pieces of information required to manage e-resources should the current e-resources librarian leave Wesleyan suddenly.
- Reliance on 'big deal' publishing models may prevent our being able to budget for other bibliographic resources.
- The acquisition of dual format serials, inevitable in a variety of cases (e.g. e-access is unreliable, the e-content is inadequate in comparison to the paper based format, the publisher does not offer the opportunity to buy e-only content), will require continuing preservation and storage needs for the paper based version.
- Lack of long term plan for preservation of electronic publications may jeopardize our continued access to e-content.
  
- **What is happening in the environment that we are unprepared for now and would suggest that we need to change our ways?**
  
- The dual problem of traditional publishers going out of business due to Open Access pressures and OPEN Access serials going out of business due to lack of consistent funding models. In both cases the preservation of the content of these publications is at risk.
- The Open Access model presents its own challenge to the University since it moves the cost of scholarly serials from the Library at the point of acquisitions, to the faculty at the point of publication.
- Conversion to access-only collections places the university in the position of no longer 'owning' their collections: the institution will have to accept alternative concepts of how they can identify themselves in the future. E.g. How will Wesleyan's 'collection' be measured against other institutions.
- The not-for-profit serial publishers (societies, organizations) are migrating increasingly to the for-profit serial publishers. Although these moves allow these smaller publishers to get the content of their publications digitized, this also results in enormous increases in pricing to us.
- The for-profit publishers will not easily, if ever, reduce their profit margins made off of serial costs. This observation is best illustrated by the fact that the equivalent e-only version of a serial/index/database is no less costly – and in fact in many cases more costly – than its paper format equivalent.

## 6. Short-term recommendations: What are some short-term (next six months a year) things we could do to address issues and opportunities identified in this report? What would be some concrete next steps towards making this happen? What would it cost?

- Make request to administration to fund an ERM, and, then contract with an ERM vendor. Implementation will require extensive time commitment
- Explore options for online archiving initiatives (Portico, CLOCKSS) to determine value to Wesleyan
- A fun project would be to explore the possibilities of using social software (blogs, myspace, rss feeds, etc) that could maximize the awareness of Wesleyan's e-serial literature to our students. With faculty, we could explore the same type of software to alert faculty to new databases or new e-products. (Faculty are aware already of online serial resources).[see power point of a presentation on potential uses of social software: [Blogs, Wikis, and Podcasts: Social Software in the Library](#) by Abigail Bordeaux, NASIG, May 2006]
- Create a notification method for users to report e-access problems/questions (a blog? E-mail link?).

## 7. Long-term recommendations: What are some longer-term (two-five year) things we could do?

- Partner with an online archiving initiative.
- Acquire the services of a collection usage harvesting product (e.g. ScholarStats "...a usage statistics management portal providing library administrators with a single point of access to all of their vendor usage stats...") to create a solid foundation on which to evaluate e-resources that either should or should not have subscriptions renewed.
- Be open constantly to the changing environment of e-resources and how they can best be represented to our users.
- Implementation of an enhanced federated type search product (e.g. Ex Libris's Primo)  
<http://www.exlibrisgroup.com/primo.htm>

**8. Readings and links: What are the key readings in this area that would help others become informed about this area? What are some examples of technologies and applications of those technologies that would help us think through how to approach content management in this particular domain?**

- **E-Resources Management Handbook** : [ Sponsored by The UK Serials Group. Chapters will be published freely on the web.]
  - <http://uksg.metapress.com/link.asp?id=6tuu9n7wfl18>
- Open Access issues
  - From Cornell--- <http://techreports.library.cornell.edu:8081/Dienst/UI/1.0/Display/cul.lib/2004-3>
  - A good definition and blog on the subject <http://www.earlham.edu/~peters/fos/overview.htm>
  - Existing and proposed publishing models  
<http://www.oxfordjournals.org/oxfordopen/> (Open access model from a for-profit publisher(Oxford)  
<http://www.arl.org/sparc/> (SPARC: [Scholarly Publishing and Academic Resources Coalition], is an alliance of universities, research libraries, and organizations. The coalition is an initiative of the Association of Research Libraries (ARL) started in 1997 to be a constructive response to market dysfunctions in the scholarly communication system... SPARC serves as a catalyst for action, helping to create systems that expand information dissemination and use in a networked digital environment while responding to the needs of academe. Leading academic organizations have endorsed SPARC (including Wesleyan University)
- ERM Electronic Resource Management and various initiatives to further enhance an ERM system
  - DLF initiative <http://www.diglib.org/standards/dlf-erm02.htm>
  - DLF Phase 2 <http://www.diglib.org/standards/dlf-erm05.htm>
  - Standardized usage reports [http://projectcounter.org/code\\_practice.html](http://projectcounter.org/code_practice.html)
  - Standardized Usage Statistics Harvesting Initiative (SUSHI)  
[http://www.niso.org/committees/SUSHI/SUSHI\\_comm.html](http://www.niso.org/committees/SUSHI/SUSHI_comm.html)
  - Mapping license terms to ERMs (description of upcoming workshop, and links, regarding this emerging issue for libraries)  
<http://www.arl.org/stats/work/mapping.html>
- Mega-link of the statements and documents of the International Coalition of Library Consortia (ICOLC)  
<http://www.library.yale.edu/consortia/statementsanddocuments.html>
- A solid overview article on the assorted archiving initiatives (e.g. CLOCKSS, Portico) and cost/benefit/drawbacks of each.  
Machovec, G. (2006). E-Journal Archives and Preservation: An Executive Overview [Electronic version]. *Against the Grain*, 7 (4). (Access restricted. Ask Helen M. Aiello, Olin, for copy of article).
- Example of an interesting use of newer technology to enhance e-serial access:  
Use of the RSS 2.0 standard to place journal tables of content (TOC) data into a library catalogue without human intervention: [http://www.jisc.ac.uk/index.cfm?name=project\\_tocross](http://www.jisc.ac.uk/index.cfm?name=project_tocross)
- Budgeting issues for journals:  
Van Orsdel, L & Born, K. (2006). Journals in the time of Google [Electronic version]. *Library Journal*, 131 (Apr.15) p39  
[http://pdfserve.galegroup.com/pdfserve/get\\_item/1/S4ab724w6\\_1/SB548\\_01.pdf](http://pdfserve.galegroup.com/pdfserve/get_item/1/S4ab724w6_1/SB548_01.pdf)
- Most recent review of current issues in the world of serials:  
Corbett, L. E. (2006). Serials: Review of the Literature 2000-2003 [Bibliographical essay][Electronic version]. *Library Resources & Technical Services*, 50 (Jan. 2006) p. 16-30.  
[http://pdfserve.galegroup.com/pdfserve/get\\_item/1/S4af8aew6\\_1/SB326\\_01.pdf](http://pdfserve.galegroup.com/pdfserve/get_item/1/S4af8aew6_1/SB326_01.pdf)