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EVOLVING CONSORTIA MODELS FOR INDIA

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5.1 INTRODUCTION

Unity is strength, co-operation is power and collaboration is a culture, whereas consortia culture is a culmination of all and bondage to invest and work together. Economic constraints triggered consortia, academic and research interest provoked, hence the systematic effort has been undertaken by various researchers and consortia stakeholders to formalize structuring and standardize consortia. Evolving consortia models should based on a number of factors including literacy levels of users, subject background of participating member libraries, infrastructure available including socioeconomic condition and federal structure of the country. The model adopted model should absorb changing technologies, rapid obsolescence of resources and accommodate new resources. Structurally consortia can be anything from loose affiliation to tight cooperation. Usually it is more of a joint venture agreement by participants, promoters and adopters. Consortia at the input end particularly for the publisher it is a logical extension of the traditional purchase system due to technical and promotional program. From libraries point of view, consortia conception, function and sustainability depend upon leaders, followers and beneficiaries. Leaders create the environment, spread substantial benefit and thereby expand the consortia. While the followers influence the direction, receive the knowledge, gain the access, integrate and aggregate the benefits. Users set the new standards through the feedback and practices and reap the benefits.

The main purpose of the consortia is to gain more with less investment. In the context of the study, it is access to maximum
information with minimum expenditure. The acceleration of the consortia development depends upon the ICT infrastructure such as Internet bandwidth, campus network and availability of PCs including responsive users. The most important parameters of consortia are the needs, purpose, scope, common grades, willingness of the targeted partners and the outcome. The needs of the consortia are derived based on the preparedness, existing resources, type of access to bibliographical databases, study of core collection, constraints and level users, including funding level.

The term 'Consortia' though technically sound high, egoistically it is poor, which needs to be legally and structurally bound to avoid and overpowering ego. The success and sustainability of consortia depends on the purpose, complexity, scope-local/ regional/national, size (number of participating libraries) similarities and resources, also on the type of consortia- centralized or decentralized, tightly structured or loosely bound. Consortia brings in continued chain for cycle of developments due to user's pressure and technological changes driven by user's needs. Consortia usually comprises of multiple independent agencies joined together well-rounded, unified approach to meet the needs of end users. The achievement depends upon well-written formal agreement among agencies, in which the responsibility, various commitments for the cause including financial commitment form the basis. The consortia is based on various alliances of strategy, practical problems and logistics. The strategically issues like purpose, composition and coverage are very important for consortia development. Based on literature search, analysis of survey responses and discussion with consortia initiators in India the following guidelines are evolved as an aid for development and adoption of consortia model. The same have been used for the proposed consortia models.
5.2 GUIDELINES FOR PROPOSED CONSORTIA MODELS

The consortia models are developed based on needs, purpose, scope of the consortia, common goals, willingness of the targeted partners and projected outcome. Before starting one needs to assess the strength and weaknesses of the existing products and type of access of the libraries aimed at the use of bibliographic databases in the existing set up, field and number of good bibliographic databases available, the core collection of all the proposed participating libraries, the constraints and level of users, the current spending level and what and where one can be save through consortia and start consortia without putting too much pressure on deviation of budget. Proper guidelines are to be set in order to achieve the following advantages of consortia:

- Consortia enhance the buying power of individual library.
- Helps to consolidate expertise and skills by sharing among consortia members.
- Saves the cost on high end computing facilities at all the libraries.
- Avoid unnecessary maintenance of archives at all places and also back up facility.
- From publishers point of view –
  - Way of doing business is changed for better
  - Penetration of new titles in the market is improved
  - Publishers get group of users to sell at one point there by save on administrative and marketing costs
  - Enhance the capacity of libraries to over come hurdles in inter library operations in its traditional approach and help to provide
interactive access across the libraries including faster communication and decision support.

• Consortia enables collective bargaining in price and linking of resources, thereby establishing natural affinity among libraries.

5.2.1 General Guidelines:

• All documents - books, magazines and journals should provide full-texts along with the table of contents. Full-text coverage should have backup files of e-resources, with the coverage of full-text titles, that grow with time periods.

• Database description should include information on subject scope, percentage of full-text, and dates of coverage, target audience and how often the contents are updated.

• Consortia should be designed to allow users to become proficient searchers and researchers. Provide advanced search capabilities for the experienced user and also simple search tool for novices.

• Keeping in mind the future possibilities of integrating different sources like periodicals, newspapers, maps, pictures, government reports, books and reference collections adopt/develop natural language search engine with the capability of automatic searching of all these sources.

• Consortia materials should be accessed via the Internet using a standard web browser.

• Users should be able to select, download and use including image content just as if it were full-text documents.
• Consortia should specify the hardware and software requirements for using all the features of the various products - Internet connectivity with standard TCP/IP, dedicated access or a dial-up connection.

• Remote access facility be included at the time of consortia agreement itself or subscription price, if there are additional charges or requirements in order to offer remote access.

• The end user delivery options, such as printing, emailing or faxing results, are to be specified.

• The training of both system staff and users be part of consortia agreements while deciding the cost. User manuals, online help, and documents detailing the use of services for self learning should be made available along with all resources subscribed.

• The customer and technical support from the concerned publisher should be specified during the consortia agreements.

• Ensure that usage statistics are provided by publishers/providers, and whether statistical reporting complies with guidelines developed by agencies like International Coalition of Library Consortia which may be found at www.library.yale.edu/consortia/webstats.html

• Statistics provided be monthly reporting detailing number of queries, number of retrievals, and time connected to our service for each institution. Additionally, for each institution, reports showing the most accessed publications be provided on a monthly basis

• It is essential to describe pricing structure or formula for the product including additional costs for retrieving full text.
Ensure the clause for minimum participation level required to allow participating libraries to get access to resources of their choice and specify discount given by publishers for consortia purchase.

Make provision for deleting existing consortia members or adding new ones with suitable clause.

Provide full address and contacts of service providers enabling libraries/users to get cleared doubts technical or otherwise.

5.2.2 Characteristics of Consortia

Consortium is more of culture than the return on investment or a purchase club. The consortia has many characteristics including:

- Development of Consortia is as complicated as democratic society in providing equal privileges to all members.

- Consortia expects highly motivated skilled manpower. In fact it is manpower intensive to exploit fullest advantage of enhanced access to resources.

- The paradigm shift of library culture in consortia approach is shifting towards clients attention unlike traditional libraries, organizational and document maintenance and reproduction like photocopying, etc.

- In consortia unlike traditional libraries like establishment of reprography, microfiche reader / printer calls for desk top tools and teaching skill of libraries.

- The main job of librarian needs shift from retrieval to training of users in interacting with resources.
• Technically reference collection development and updation of resources shift from ownership to licensing although archived at the host or designated members or agency.

• Facilitated e-mail alert services.

• Alert service shifts from librarians to publishers / aggregators / service providers. Individual attention of users by effective profile based alert service are being made available automatically integrated through publishers site using e-mail as means of communication.

• Discussion groups among users have become effective in its asynchronous mode irrespective of the location and socio-demographic factors.

• E-Journals having back up of good bibliographical database hyper linked to full texts are more convenient for user access.

• Proprietary search engines of many aggregators and publishers are not encouraging for user friendliness.

• Free and open access journals to be treated as an integral part of consortia bundle.

• Bibliographical support and integration of union catalogue of print only journals is very important particularly in the context of respective country.

The existing consortia are concentrating on negotiating and providing access to e-journals. It is necessary to put more effort on the following issues:

• Value addition

• Assessment of suitability of content and access
• Maintaining the continuity

• Archiving

• Developing integrated feedback system for user, participating library, consortia host, publishers / aggregator / vendors.

• Providing remote access facility for out of campus use.

• Update the changes that might influence the areas like access, purchase and licensing the e-journals.

• Effective information literacy should be implemented.

• Implementation of single user interface through bibliographic database or open URL.

5.2.3 Governance Guidelines

Consortia as a method, technology and economics of providing access to maximum information and delivering information is fine, whereas negotiating strength, ownership and access to electronic resources and dealing with other issues such as network and distribution, copyright, and authentication requires proper study and planning. It is well established, not only from libraries but also in other sectors that a well-organized and coordinated consortium saves time and effort, and is more likely to obtain the goals set by its members. This study made an effort to find why libraries are getting involved in consortium. The success, effectiveness, recognized legal and organizational structure, framework of similar types of libraries with similar goals should be studied. The governance of consortia depends upon the type of consortia like centralized or decentralized, tightly affiliated or loosely affiliated. It also depends on whether the consortia has a distinct entity or institutionalization with formal or informal body, availability of permanent consortia staff, scope of the consortia like local,
regional, national, multinational, the affiliations of institutions like government, multi-government or voluntary/private and the type of libraries universities, college, R&D and industry.

- The foundation of governance depends upon leadership, common purpose, commitment from participating members, consortia plan, progress through action, regular communication, maintenance of schedule, alignment with funding and apex body concerned.

- Good governance should serve the cost, increase the efficiency, reduce the duplication, optimize resource utilization, equity of access (small or big library), skills and professional development, in effect optimum use of men, money, resource and time.

- Governance structure should be within minimum three levels namely policy making body (top management), executive committee, task force and operation level supported by coordinating committee at participating centers.

- The governance bodies should comprise of stakeholders, technical advisors, domain experts and more importantly executive authorities (Librarians).

- Well defined bylaws, Memorandum of Understanding, resource sharing agreement and strategic plans help for good governance.

The good governance depends on consortia governance structure, legal status of consortia, committee structures and membership criteria. It also depends on well written understanding of relationship between consortia and its member libraries including rights and responsibility of membership. The basic function of library consortia is to share resources based on agreed principles, which requires strategic plans which reflect the way consortia sees itself.
5.2.4 Management Guidelines

The management depends on the defined goals or requirements for decision making. Open and accountable decision-making processes, Good documentation and communication between consortium members, Good decision making needs to have adequate representation of stakeholders and Good guidelines for ‘trade-offs’.

Some of the libraries may feel less of its autonomy in centralized approach and may affect local information access policies, local collection development, financial implications to buy other products, local infrastructure and their (members) possessive symptoms. However the good leadership in consortia need to cover the hidden costs such as training, customization and technical support, solve disagreement on the outcome, take responsibility for the management, establish the structure formally informal and not to hurt the traditional expectation like ILL, sharing resources etc., unless the mindset of the people responds. Further it is essential that

- Regular, ongoing, meaningful formal and informal communication and direct interaction among members and consortia host should become the culture of consortia management.

- Sharing of the responsibility both at operational, management, expertise development, research and supervision opportunities, thereby archive smooth Auctioning, participatory feeling of all the centre and privileges are enjoyed equally.

- Supervision plan including persons responsible, schedule and availability of supervisions both technical and training be prepared and circulated.
• Using the collective management principle equal attention should be given to technology management, resource management, user satisfaction, training, legal and IPR aspects.

• In line with the operation research effective use of usage statistics and feedback system should become part of decision making activity of the consortia.

Strategic Management demands user oriented service customized to the needs. It is also felt importance of the content management particularly in view of budget balancing between traditional print resources against bargaining demand for electronic information. E-journals are viewed as an add on expenditure than replacement for print journals which creates problem in approaching management for budget. Management always thinks in terms of collaboration or strategic alliance with institutions, universities and colleges. At the same time changing environment due to ICT for a strategic budgeting demands separation of traditional and digital collections. The digital environment creates virtual collaboration or alliance without any boundaries where as management of institutions bounds to look at administrative or subject boundaries. It is still worst, when considered the alliance between private and government institutions. The knowledge always flows across all the boundaries which libraries tend to develop.

Technologically, access to information points towards bandwidth and computing needs which is changing very fast. At this context it is clearly felt that digital information system is infrastructure intensive than physical building or facilities.

The above contention emanates many questions, problems and decisions as to what to do, when to do, how to do and whom can be the library and library staff can turn for guidance and assistance. In the
existing situation in India librarians have a clear vision about sharing of resources electronically to enhance the access for maximum information for which users are convinced with their experience from library service through inter library loan. The process of changed environment and management of libraries normally have to proceed through series of steps and techniques towards the latest development called consortia which predominantly demands strong IT infrastructure. The steps required are:

- Trigger situation
- Planning
- Communication among probable institutions
- Restructuring
- Analysis of process and policies
- Training
- Monitoring and assessment

Any changes for the developments particularly new technology changes demand more of change in culture and mind set. Majority of consortia particularly in India have been triggered by the librarians which considering budget constraints and providing access to maximum information.

Sustainability or consolidation of consortium have been pushed mainly by users good communication with management and libraries; and among the participating centers. However administrative, auditing and accounts support is equally essential for sustainability. The strategic or tactical planning depends mainly on the team, identified needs of the users and strength and weakness of organization, internal or external support of fund and analysis of resource among the institutions with respect to preferred outcome. Consortia planning can not be firmed up just in a year. Every year it calls for revision of plan based on meticulous feedback system on all aspects namely information resource, IT infrastructure, user needs
administrative problems and awareness and training both for system staff and users.

Consortia is a culture that calls for restructuring of the functionalities and job description, inside the library as well as organization among all the participating centers. Consortia is not just an establishment till it gets standardized, but is a process to dynamically change policies, functions and operations.

5.2.4.1 Management Attributes

- Leadership becomes the focal point for troubleshooting and dealing with feedback.

- Preparation of official documentation relating to the consortia and post-implementation support need to be defined and allocated.

- Technical support, funding arrangements and product development are to be specified.

- Post-implementation depending on the membership.

- Managed centrally, with ongoing centralized support.

- Share the product with the members after centralized trial period

- Consider while evaluating at trial of various delivery methods, formats, pricing models, technology requirements, and legal implications.

- Develop online discussion lists and Web pages for continuing the dissemination of information.

- Monitor developments and keep in touch with each other's libraries.
• Take into account the structure of its members, in fact diversity of members enhances their richness as a joint resource also creates technical, financial, and cultural obstacles.

• Needs more than just the goodwill of the consortium members and a common goal.

• Apply proper project management processes that will save time, money and problems.

• Delivers results in time, in budget, and within the scope as understood by the majority of the consortium members.

• Too many people in project management may hinder the quality work.

• Try to manage with guidelines, tools and technique though one need to be transparent in the outcome.

• In management principle any group work is depending on planning, leadership, organization and control.

• Performance depends on the better leadership and fulfilling the expectations.

• Realistic roadmap for consortia leads to good planning and accomplishing goals.

• Effective management depends on the organization and communication infrastructure.

• The development and outcome coordination like collecting and evaluating information regarding cost, schedule, and quality leads to get control over the study.
5.2.4.2 Skills Management:

The skills meant for staff of consortia host and participating libraries should cover at least the following aspects:

- Broad goals and objectives
- Distributing responsibilities and decision-making process
- Developing system for defining needs and review periodically
- Define the scope of the consortia
- Conduct the cost benefit analysis
- Set the criteria and operation
- Set the time frame
- Derive the feedback system

5.2.4.3 Administrative Guidelines

- Consortia document should be very well framed document supported by sound policies and guidelines.
- Detailed workout or final points with respect to purchase policies of individual titles bundling the collections, aggregators bundles, access options and sharing of the cost proportionate to advantage should be explicitly mentioned.
- Exhaustive guidelines about copyright for use, consortia guidelines digital rights management, licensing guidelines, reviving of license, terms of license, negotiating changes, managing the license access management and management of license violation and security
factors should be made known to each and every members of the consortia.

- Consortia brings in the resources together at the same time decentralizes (shared responsibility) the routine functions like processing requests, ordering and accessing e-journals, use of tools and processes, processing of renewals and maintenance including documentation.

- Gathering usage statistics at
  - Participating institutional level
  - Consortia host level
  - Publisher system

- Maintenance of flow, periodical evaluation of organizational structure, leadership and planning, shifting the staff role and responsibility maintaining good administrative communication.

- Developing vision document, which includes change in infrastructure technology and financial shifts.

- Planning and developing delivery of access channels like designing, building and maintaining delivery systems.

- The access channels can be user centered, web, catalogue, electronic reserves, context sensitive linking and the holdings of the library.

5.2.4.4 Operational Guidelines

Work out preferred and available access options, optimum number of concurrent users; distribution of concurrent users equitably amongst consortium members, software requirements, Linking print tools with full
text databases available, statistics for reporting purposes, marketing, guides and training material and evaluative criteria.

Develop the information packs like posters and flyers which could easily be placed near library workstations to provide assistance with using the product. Implement preferred access which may be on CD-ROM or local hard disk (access on campus network) rather than via the Internet, considering the practical problems like Internet bandwidth. Usually back files and archival materials are on campus network. It is always useful to ‘train the trainer’ ensuring that the maximum number of librarians could be trained to search the product efficiently. Develop good feedback system for positive comments from all participating libraries. Make the financial deal transparent to all the members of consortia.

5.2.5 Guidelines for Selection of Resources

Core collection to all the members be given top priority (difficult to decide common core collection, not impossible) evaluate the databases against the present criteria established through the questionnaire responses identify the important areas of need among the participant libraries.

- Negotiation with various publishers vary and are not consistent, who tend to drop some e-resources irrespective of relevance.

- Flexibility in consortia in selecting the resources specific to their relevance is more advantageous.

- Obsolesce of infrastructure (both software and hardware) every three years costs a lot as e-resources are infrastructure intensive.

- Many of them professional societies show like interest for consortia offers.
E-Journals access strategy adopted by CSIR consortia for its members is worth emulating by apex body lead consortia. "All titles to all members, select titles to all members, all titles to select members and select titles to select members".

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The consortia selection is driven by common bindings, Common operation cost, Who is big looser (big librarians/small librarians), Importance of other resources than e-journals comes down if they are not integrated inline with e-journals, Portal support in the respective libraries, walk-in users and Usage statistics.

The success of consortia depends on scalability, competition, composition, diversification and complacency. It is necessary to evaluate suitability of alternative models before starting consortia like -

- Need for number of titles
- Availability of subject subsets at highly discounted rate
- Highly discounted aggregated / embargo model
- Full Time Equivalent model
- Pay-per-view model
- Open access model
5.2.6 Access Guidelines

Consortia calls for common interference for various full text and bibliographical databases and catalogues, also develop common IT infrastructure. Consortia is not just a cooperation of collaboration, but it is a strength enhance resource, share the responsibilities, develop the expertise and strengthen the capability, common marketing strength for influencing the government, conduct research project, shared the funding for common goals like joint preservation and archiving digitization of in-house common approach to OPAC access, popularizing the historical collections, automatic updating of union catalog and add value to service.

Technologically open URL and URN help to establish open consortia. “Acting together have great power and may be economic or political persuasion power”. Consortia changes the relationship among publishers, librarians and users. Consortia also promotes good business models and unified library view. Consortia inevitably has to be hybridized by e-collection supplement by print collections, where nothing happens at once, always growth incremental and development is supplemental.

- The basic principle for access guidelines is collective long term benefit and leverage fiscal resources to improve scholarly communication process.

- E-resources are infrastructure intensive than the resources themselves.

- Rapidly changing short term use of obsolescing product is the risk of e-technology. “Act first on what we know and then what we believe”. Particularly in providing remote access and to expect returns for the investment.
• The distributed e-resources create access problems for multi-sites and hence user expect single gateway and meta search engines for seamless access to information.

• Majority of the distributed resources are embedded links to full texts, at publishers site, aggregator's site, local library archive and document delivery agencies. Hence it is most suitable to provide open URL - third party link service like SFX or cross Ref.

• Attracting and informing users through internal marketing, delivering instructions, providing technical support (trouble shooting), serving users with disability and taking care of digital divide among users.

5.2.7 Purchase Guidelines

The study is concerned primarily with the use of a library consortium to purchase periodical full-text information, and how or why a particular product was chosen.

• To gain consistency of resources to guarantee equity of access amongst a particular group of libraries (sectoral or regional).

• Consistency in technological development or advancement.

• Financial incentives — more as a cost-effective access with lower administration and running costs.

• Shared knowledge, skill and experience among the libraries.

• Vendors negotiations and product hiring and development.

• Improved performance and patron satisfaction.
The policy of e-journals consortia can be developed on issues like pricing, acquisition, archiving, usage and management. The pricing policy need to consider media and mode of access like on-line only, online + print, building with print, access level, open access and FTE. In case of acquisition policy has to be laid down considering purchasing group, preferred deal and licenses, which include subject and aggregator services. The licensing policy should consider authorized user, access fee by individual members, ILL, inter operability, copyright permissions, archiving permissions, financial aspects, change / merger of publishers, value addition and cancellations, changing systems, access mode – IP enabled or User password, off campus services, agent v/s publishers, renewal v/s grace period, alternative root for access – publishers / agents / gateways, linking of databases, current awareness service, open URL, walk-in-users, training, guaranteed perpetual access, penalty clause for downtime, support when technology changes, technology updates, flexibility clause for cancellation, price increase, contact compatibility, price cap, termination clause, ILL, cross access, discounts, selection systematic downloading, user of third party interface clause to add or delete member, assignment and subcontracting, nondisclosure statements, clause to upgrade for open consortia/ national site licensing, provision of usage statistics, provision for adding corporate members for access, role of agent, signing authority for consortia and number of user license.

The scope of the purchase model is limited to the full text periodical databases.

- Make the intention clear
- Define the key stakeholders (both users and products)
- Define the purpose, roles and responsibilities and decision making process and involvement each stake holders
• Define the priorities like access, ownership of data and fair use issues

• Time frame, existing infrastructure, human resources, training requirements, budget and stakeholder expectations

• You may also need to consider the impact of standards, for example Z39.50 and X509 on the project

• Developing management Guidelines

• Prepare guidelines about the standards, response times, and operation of the infrastructure and its maintenance including down time

• The coverage of products, resources, licensing and the level of content and the back files to be operated

• Prepare the guidelines for functionality and usage

• Demonstrate and Disseminate basic and advanced search engines, level of indexing offered, sophistication of hypertext links, and the skill level required to use the interface.

• Integration of local collections, and evaluation reports from time to time

• Vendor service and pattern to use their service and the service agreement

• Memorandum of understanding with the stakeholders be exhaustive

• Project schedule, measurement criteria, and decision-making methodology and make this available to all the consortium members.
5.2.8 Pricing Guidelines

The whole concept of consortia is to achieve worth the price to achieve the goal of accessing maximum at minimum cost. In fact it has created a new model of business for publishers and new model of bargaining for librarians. Consortia itself has created a new crisis for on-line content and combined content. Better circulation for libraries, profitability for publishers. In fact consortia is a process for publishers in developing a clear market as well as of consortia offering a better pricing for libraries and there by achieving maximum information dissemination objectives by the libraries. While accepting the pricing model by the libraries, librarian look at increased access base, rational utilization of funds, continuation of subscription, effective retrieval system and increased user base, where as publisher look at the analysis of current and projected subscription revenue cost benefit comparison, institutional market including comparative and market penetration information and risk analysis.

To gain the best returns on the investment and better participation in terms economics, professional interaction and involvement and to long term benefits vendor- consortia relationship plays a dominant role with well written project proposal, and agreement covering the following –

- Structure of consortia and price deals;
- Economic and non-economic returns on investment;
- Services derived/agreed by the publishers/aggregators/ vendors;
- Understanding the terms of vendors with respect to consortia needs;
- Agreement on time-to-time changes and anticipated future directions;
• Structural deals or later changes in the consortia structure such 
jurisdiction or addition and deletion of members or changes in 
resources may be derived in terms and conditions. However the 
jurisdiction of any dispute should be in the territory of users 
location;

• Preparing the internal ground to suit time-to-time changes and 
future needs be upgraded by consortia coordinating agency;

• Pricing of e-journals though not standardized, depends, on guarantee 
of business, number of consortia one users type of institutions, 
contract period right to archive, perpetual access and training;

• While negotiating consortia should decide for better pricing, various 
permutation and combination like bundled e-journals + print, 
e-journals only, unbundled selected subset from particular 
publishers, pay-per-view, FTE, concurrent users number of IPs, work 
station, number of campuses geographic distribution, extra fee for 
software or platform, print + surcharge on electronic, all titles of the 
publishers.

• Pricing always should be based on negotiation and tailor the best 
need.

• Negotiation or best deal depends on planning, brokering, 
administration, access, training and support.

• The planning of prices should be based on title analysis, deputation 
of publishers consortia, collections or multi-site pricing model and 
targeted publishers.

• The brokering depends on pricing estimate, deal and license 
agreement.
• Administratively initial pricing estimate, comparison between consortia pricing and standard pricing reconciliation of holdings and collections and request for pricing (RFP) on alternative models like price cap, print, print+online and e-only.

• The mode of payment is to be decided like single or distributed payment, native currency or that of publishers, itemized invoice for packaged deal and platform enhancement.

• Access to maximum journals is the criteria of consortia and prices of resources are to be ascertained.

• Training expertise and support should be included in the pricing itself.

• Consortia pricing also should have some common conditions, surcharge for access to all consortia titles or all titles of a publisher, amount spent on print is a base price, often multiyear agreement, annual price cap, discount/ reduced surcharge for number of sites and print may be optional at discount.

• In case of site license, benefits derived are use electronic for paper ILL, use for course pack, continued access for cancellation, free e-version on print and free to public 18 months after publication.

• Archival CD or download archive themselves or working with aggregators working with national and international initiative and permission to keep in print.

• With latest WAP technology, particularly with Wi-Fi technology or hot spots also should be included in pricing for wider access.

• While negotiating prices it is essential for librarian to check if publisher has reduced price applicable to developing countries.
5.2.9 Licensing Guidelines:

A licensing agreement negotiated between the willing owner and the willing user. It is "granting rights in the property without transferring the ownership of it.

- The important components of licensing an effective date ownership and address details of licensor and licensee have to be taken

- The content of licensed material and licensee and its authorized user including copy right and title of licensed material any trade/server mark of licensor have to clearly mentioned.

- Licensor need grant to licensed non-exclusive use of licensed material and right to provide licensed material to authorized user in accordance with the agreement

- Delivery/access from licensed material to licensee should provide network access, in digital form or related electronic physical media like CD/DVD, digital tape for use on licensee’s network and work station or through the FTP

- The licensing fee for use of licensed material can be free for use, fee based on number of authorized user, subscription fee based on FTE under the license.

- It is essential to derive authorized user person affiliated with the licensee full or part time regardless of physical location and walk-in-users.

- Authorised usage like electronic display of licensed material display, digital copy, print copy, course packs, electronic reserves,
databases, electronic links, caching, indices, scholarly sharing, ILL and other unforeseen emergency preservation

- Access authentication has to be ascertained such as IP address, pass words, public keys/certificates and developing protocols.

- Restriction should be clearly spelt out about:
  - Unauthorized use
  - Modification of licensed material
  - Removal of copyright notice
  - Commercial purposes

- Licenser performance obligation has to be defined based on the factors namely availability of material, documentation, support training quality of service, modification if any required completeness of content conditioned training, license terms or other passive assents and compliance with any other interfaces to be developed for disabilities, discontinuation of licensed material and usage material

- The obligation of the licensee has to be clearly defined with terms to authorized users, protection from unauthorised use and confidentiality of access pass words.

- Mutual obligations are to be defined like confidentiality of user data and implementation of security protocol.

- Renewal terms for successive terms to ensure unbreakable services with condition like written notice of intention has to be clear
• In case of early termination the notices or right to terminate agreement has to be clearly defined with entitled refund of any fees or prorate portion there off paid by licensee for any remaining period of agreement from the date of termination.

• Licensee should specify the jurisdiction for legal action in case of dispute, the working place of the licensor.

• The perpetual license has to be non-exclusive, royalty free to use licensed material in line with the regular period of usage by the host and its participants.

• Licensee should take warranty for any losses claims, damages, awards and penalties with may rise from the licensor or his third party contractor.

• The agreement should also specify limitations, indemnities, assignment, transfer and governing law

• Dispute resolution should specify mediation and arbitration.

• The agreement should have provision for amendment enforceability and waver of contractual rights and notices, if any.

Pricing, coverage, licensing and legal issues, and access models large science technology and medical publishers such as Elsevier are still in the process of developing online pricing package rate, standard options of purchasing unlimited access to an entire journal document-delivery method of paying on a per article basis different pricing models, print-based world wanted and limited affordable journals purchase direct or via a subscription agent, the basic pricing tended to be similar.

In the digital world the library can still go direct to the publisher or via a subscription agent, but can also purchase information via aggregate
databases. Though this model means a library or group of libraries will purchase titles they would not normally consider for their collections, because the cost per title is lower than the individual electronic journal model, significant savings can be realized. When group purchases are being made the decision-making process is even more complex as the needs of multiple collections and patron profiles for each consortium member has to be considered. Mix of bibliographic and full text on selective basis is possible in electronic either cover to cover or selective articles (pay per view).

Hence the consortia other wise depends on demand and need, one can choose methods of delivery, pricing models, archive, access to as well as ownership of the data, interface functionality and license agreement. Consortia always try to gain consistency of resources and equity of access with more cost-effective purchasing arrangements, increased knowledge and skill, improved local access to information and promotion of end-user autonomy.

Back files and archiving can also be the choice based on the usage.

5.2.10 Archiving Guidelines

In the context of consortia archiving is an important activity for posterity and continued access ever after. In the event on the discontinuing of the subscription or publisher merging or closure or technological changes, etc.

- Who should archive – publishers/aggregator/vendor, designated member, third party data center, national agency, or combination of two or more of these
- Clause for supply of archiving software along with concerned search engine and time to time updates
- Costing of archive as a part of consortia.
- Expertise development among consortia members and staff of consortia host for archiving
- Clause of free or fixed fees for accessing archiving in case archiving is taken care by publisher/aggregator vendors
- Time to time updation of technological and user interface on internet has to be undertaken.
- The access to archival material to all the participating members have to clarified at the time of agreement itself.
- Technical/technology back up and mirroring facility has to worked out properly.

5.2.11 Evaluation Guidelines

The evaluation is a main tool for sustainability and end user satisfaction. It also develops librarian – user interaction, which serves both formative and summative purposes. Formative evaluation helps consortia managers to monitor and adjust their professional development effort. Where as summative evaluation provides evidence of effective to those who fund the consortia and decision maker. Process evaluation focuses on professional development services and trainers professional development strategy. Impact evaluation focuses on user satisfaction, their assessment and confidence building.

There are various factors required for evaluation like –

- Intended audience
- Scope and cautions
- Case studies of success stones
• Study of monitoring team
• Study of participating centre
• Study of entire program
• Action research of impacts on end users

Evaluation Process

Evaluation process involves following issues –

• Procedure followed to introduce balanced system, user involved assessment and feedback from training.

• Training team and its composition, materials used and schedule of events.

Consortia program should unfold user’s experience and provide users with new insights, ideas and experiences. In fact consortia should be helpful in achieving access to maximum information in making summative judgments by collecting and related information.

5.2.12 Documentation Guidelines

• A well documented assessment of consortia structure, systems and process including operations should become a core document.

• Consortia should have good record of well-defined goals and objectives of the consortia activities and it should be circulated to all consortia members and assessment team.

• Record of contacts with consortia in the year of reporting should include assessment and appraisal committee reports.

• The sources of information for feedback with regard size, proportion, range and comprehensiveness of usage should be documented.
• Project conception proposals and evaluations including use of overall standards characteristics and resources and comparability with other consortia documented for decision support systems.

• Development, maintenance and periodical evaluation of training material has to be maintained.

• Time to time change in technology both in providing access, archival and training has to be tabulated.

5.2.13 Guidelines for Statistical Measures:

Consortia need to have different kind of statistics to ensure the provision of usage information of licensed electronic resources and their services. The vendor operated statistics through web sites also are to maintain usage of databases and the titles in the following line:

• By each specific database and titles of the e-journals of the provider, by each institutionally-defined set of IP addresses

• Locators to subnet level, by total consortium

• By special data element passed by subscriber (e.g. account or ID number)

• By time, period like by month and year by each type of use

• IPR based statistics – each time a search form is sent/ submitted to the server

• The number of searches and the number of alphabetic and subject menu selections institutional consortia

• User confidentiality is to be maintained

• Access/delivery mechanisms/report formats
5.2.14 Information Literacy Guidelines

The information literacy program should become a document and learning material for the professional development. Librarian should develop following feedback material for users –

- Self-rating performance from to track their knowledge and assessment of resources.
- Group interview schedules for the participants.
- To develop rating scale observational studies about usage and technology literacy.
- To access user-friendly retrieval tools, time saving skill, downloading efficiency and familiarity about the consortia.
- Information literacy should also develop rating scale for assessing user confidence, their achievement and user skills.
- The consortia should have good training curriculum addressed to various level of functionaries and users. The curriculum should have different levels basic, intermediary and advanced.
- The training schedule should be actuated to all the beneficiaries well in advance.
- Majority of training programs of existing consortia are imparted by publishers / aggregators / vendors and selected experts in the field. However the serious training effort to develop the skill for the operational staff is lacking, though there are efforts to develop 'trainers of trainers'.
- The training needs in consortia are of two types (a) Information literacy (b) Technology literacy. Predominantly information literacy is
imparted by the senior library staff or consortia leader. Technology literacy is imparted by providers like publishers/ aggregators/ vendors.

- As consortia is in the infancy stage in India it is having teething problems, lack of effort in training and experts in developing structured training program.

5.3 PROPOSED CONSORTIA MODEL FOR INDIA

The Library Consortia in India is still in infancy stage both as a technology and business model. There is no uniformity in guidelines, standards and various consortia models adopted by Indian initiatives, already in operation. Each one has followed their own guidelines. Many a times they tend to accept the publisher driven/thrust models. Vendors have played major role in deciding pricing models than publishers. Majority of consortia are funded by government/ external agencies. Consortia is a mindset, which is yet to become part and parcel of libraries. Users dependence on library staff is increased due to technology and information literacy.

The consortia model for India has been developed based on the present study and infrastructure available. As a prelude to consortia development the need for national body called as National Coordination Committee for consortia (NCCC) has been felt with below set goal and objectives.

5.3.1 National Coordination Committee for Consortia

Goal

To achieve in line with the principle that intellect is an investment and information is as asset, considering both as national property.
Objectives

1. To evolve suitable guidelines and working documents to initiate and develop consortia at various levels.

2. To work in liaison with Government of India and State Government as influential group to initiate and establish consortia at various levels.

3. To work as a focal point for expertise, experts and resource consolidation (fund and information resources).

4. To work in line with various other councils for resource enrichment and quality control for e-resource acquisition and capitalizing e-services.

5. It work in liaison with school of LIS to build high quality HR (experts) expertise.

6. It should establish good collaboration with international organizations.

7. It should undertake continuing education program for in-service professionals.

8. It should establish review committees at regional and state level for evaluation and consolidation of time to time developments in the field.

9. It should conduct annual event to motivate professionals inline with ICOLC and set the trend.
10. It should develop experts groups in various specialization fields and super specialization in the field and recognise them as National Professor.

The proposed consortia model for India is based on various guidelines as detailed in Chapter 6, findings of the survey/study and literature reviewed. The schematic diagrams of models for consortia for India have been represented as mentioned below:

1. Consortia Governance and Management Model

2. Resource Management Model

3. Users-Resource – Consortia chain

The schematic model is not just representation of the guidelines derived, but has the vision conceived by the researcher based on the experience and present study.

5.3.2 Consortia Governance and Management

The consortia governance pyramid (Figure 2) represents down-top input for policy development and top-down flow for execution-guidelines. The model has five layers top-down: Policy level, Management level, Task force level, Executive level and Operation level. The down most layer is the point of contact for users and system to provide input to all the layers for appropriate decision. The fourth layer is responsible for execution of policy and programs set up by policy management and task force committees. The third layer task force committee is responsible for evaluation and selection of infrastructure and content. The management committee is responsible for over all administration of consortia. The policy making body is top level body for framing guidelines and budgetary proposals and facilitating formation of consortia.
Figure 2: Consortia Governance And Management Model

- Policy Level
- Management Level
- Task Force Level
- Policy Level
- Operation Level

- Policy Making Body
- Management Committee
- Infrastructure Evaluation Committee
- Content Evaluation Committee
- Executive Committee with representation from participating centres
- User Feedback System
- User Communication System
5.3.3 Resource Management Model

Figure 3: Resource Management Model

- Develop balanced collection for all consortia, members, core, participating and service.

**Step 1**
- Evaluate existing collection of host and members

**Step 2**
- Set up Task Force Committees for resource selection and purchasing

**Step 3**
- Negotiation
  - Negotiate business terms
  - Workout technical and infrastructure requirements
  - Negotiate licensing terms suitable for participating institutions
  - Communicate to all Centers about minimum IT infrastructure
  - Set up trial access of resources
  - Get feedback from participating institutions
  - Firm up and freeze selection of resources
  - Recommend resources for access and get sanction
  - Get into MOU with participants
  - Distribute authenticated IP enabling User ID and Password
  - Take stock of resources for accounting and administration
  - Workout preservation/backup/perpetual access
  - Prepare technology audit and update
5.3.4 User - Resources – Consortia Chain

The consortia of minds linking to consortia of e-resources is represented in Figure 4 in five layers and inverse pyramid representing network infrastructure needed versus campus network available for users.

Indian society has many psychosocial divides including general divide. In the context of usage of e-journals there are three main divides

- Usage divide

- Resource divide (Subject clusters in context of cross consortia usage)

- Infrastructure (including IT) divide
Figure 4: User-Resource-Consortia Chain

Usage Divide

Resource Base

Core & Participating Group

Targeted Core Group

Proportionate Resource Relevance & IT Infrastructure

Least IT Infrastructure (Least Relevance of Resource)

<table>
<thead>
<tr>
<th>Layer</th>
<th>Usage Base Consortia Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Bachelors-General Colleges</td>
</tr>
<tr>
<td>4</td>
<td>General College Teachers/Professional College Students</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Layer</th>
<th>Resource Base Consortia Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Researchers in Cross Subject Clusters</td>
</tr>
<tr>
<td>2</td>
<td>Participating Centers</td>
</tr>
<tr>
<td>1</td>
<td>Core Group</td>
</tr>
</tbody>
</table>
Usage based Consortia Link

Considering the bachelors level users at general colleges in India particularly students, usage is minimal irrespective of subject clusters with maximum of 10% usage of e-resources of any consortia, unless otherwise a consortia is formed exclusively with the resources (may be just text books) addressed to them (Fifth Layer). In case of teachers of general colleges, if good awareness is created, the usage may go up to 30% for the preparation of course packs, improvement of academic qualifications, participation in national and international conferences and to meet their mandatory training prescribed by their apex bodies (Fourth Layer).

Resource based Consortia Link

Resource based divide is addressed with the criteria based on the relevance of resources with high usage. First group comprises less resources with high usage, example being bachelors level users at professional colleges, where consortia link has to be established based on the subject clusters, who form the third layer. The second layer group falls under the same subject clusters as that of participating centers and enjoys status of being in management level of consortia through their representatives and selection of resources relevant to concerned layer. The layer one or the core group initiates and manages all aspects of whole consortia.

Infrastructure Divide

In India infrastructure support is essential for the success of consortia as much as the need of e-resources. As indicated in the schematic diagram (Figure 4) layer 5 & 4 group has very less infrastructure. That is why the inverted pyramid down layer represents
their usage, where as the reverse divide group though they have good infrastructure usage is proportional to the relevance of resources in cross subject cluster consortia. For the core and participating group, the relevance of resources and infrastructure match their needs (exceptions do exist) and hence the usage will be optimum.

5.4 Conclusion

It is well established fact at international level that the journals publishing is moving from print to electronic. Many libraries depending upon their nature level subject interest and affiliation to apex bodies in India are slowly moving towards to consortia formation at least by adding journals of major publishers in the initial stage. In India the consortia success and sustainability depends on forms of networks, external partners, cooperation namely economic tightening, quality improvement, expanding information universe and growth of information technology. Further the feedback system like usage statistical analysis, need assessments, user survey, focus groups and observation studies shape the consortia for optimum utilization for the investment. The operation effectiveness can be achieved by operational process, effectiveness of service/operation, cost benefit analysis, comparative institutional data and improving internal process (outsourcing or project based work)

The procurement of electronic content, in India, by majority of the libraries, is still more for bargaining of the cost/deal for return on investment. In fact the consortia is not just a purchase club, it should be viewed as upliftment of access to resources and facelift for users feeling expertise and responsibility sharing for library staff. However in India, consortia are suffering due to lack of suitable leadership in library and information sciences profession or the reorganization of library and information professionals as leaders in development of consortia. Of course majority of the librarians are still to understand the role of consortia, role
of publishers/aggregators and ups and downs of switching over to consortia.

The set back for consortia are due to lack of infrastructure, lack of training, lack of user pressure, scarcity of funds and delayed leadership development. There are number of practical problem in India including lack of IT infrastructure even at traditional universities level, even electricity at village level and IT literacy level both at users level and the staff level.

It is recommended that further research has to conducted to derive the priority to establish guidelines for selecting an appropriate resources and members and for that effect to devise a suitable a questionnaire (the questionnaire devised in the study itself is exhaustive) for assessing and preparing the guidelines. The consortia should be an evolutionary nature development than immediate shift in the process and function. It should smooth transition to electronic environment without disturbing the traditional approach at once.

*Coming together is a beginning, staying together is progress and working together is the success*