



THE UNIVERSITY *of* EDINBURGH



Ensuring Open Access is Always Access: A Framework for Multi-Agency Actions

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IFLA Sections on Serials and Continuous Resources
and on Acquisitions and Collection Development
16/17th August in Gdańsk, Poland

What we know ...

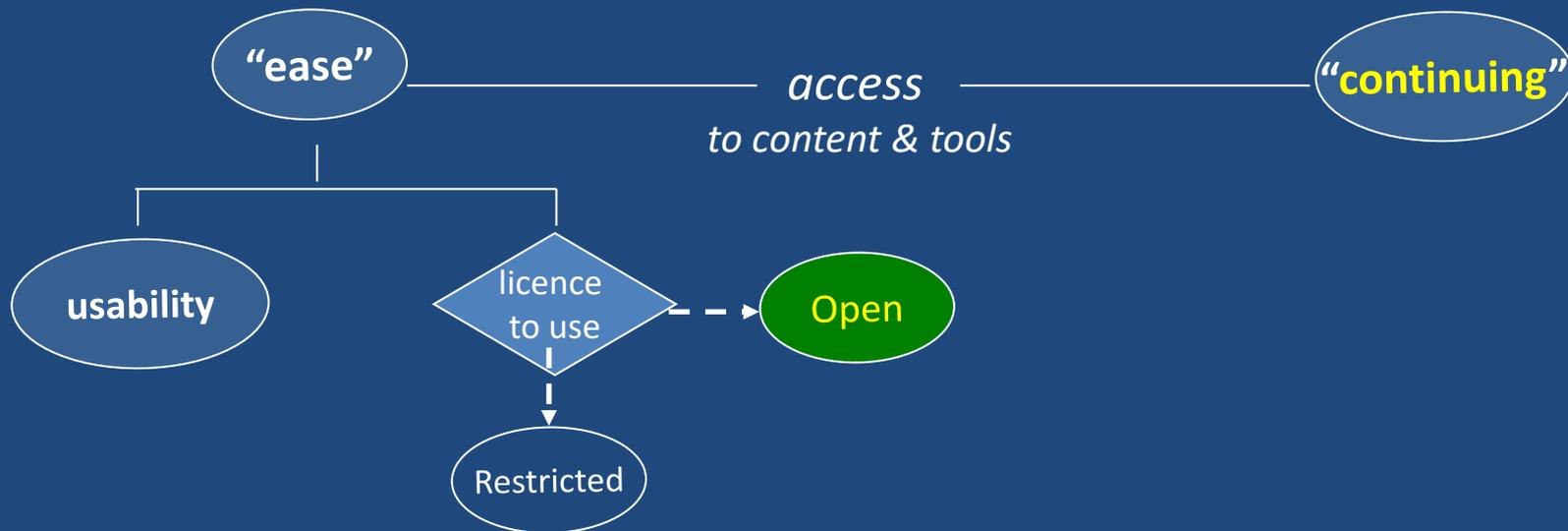
Digital back copy is not in the custody of libraries



Stewardship now has to be shared: to ensure ease and continuing access to online resources needed for scholarship



Stewardship as a shared task : to ensure ease and continuing access to online resources needed for scholarship

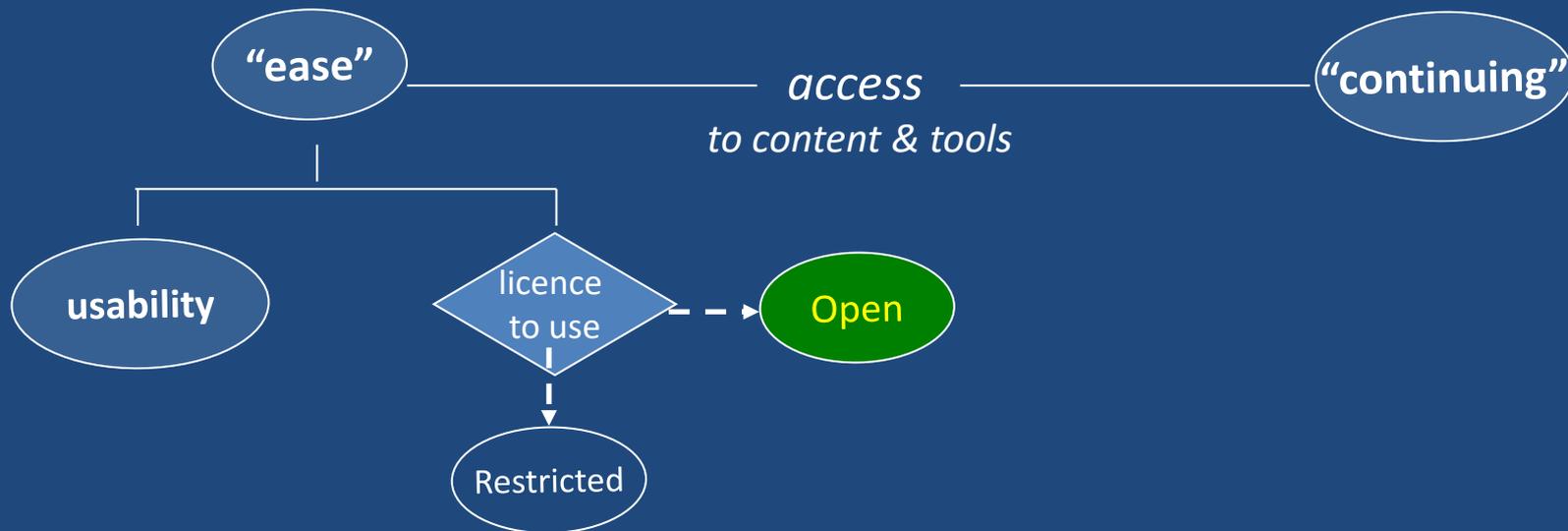


to ensure 'open access' is 'always access'

Stewardship as a shared task :

to ensure ease and continuing access

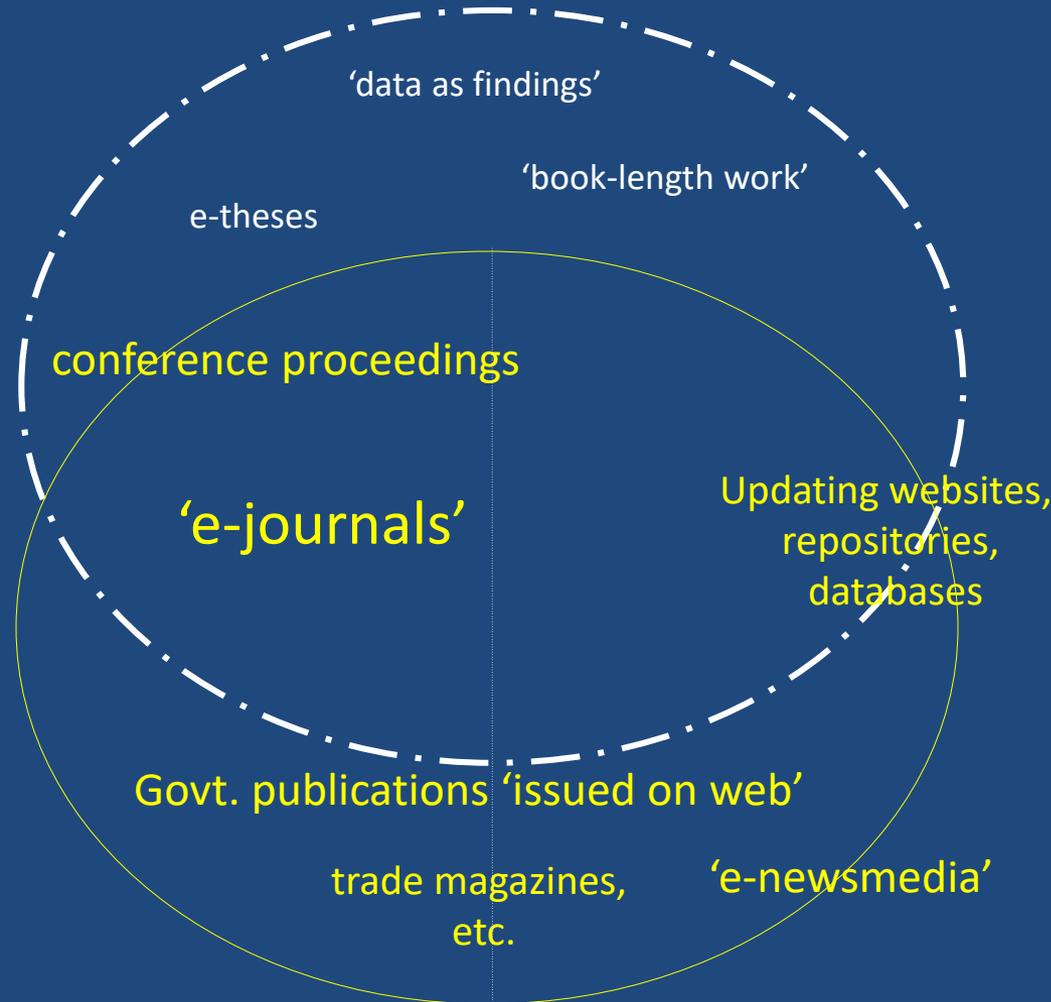
to the published heritage needed for scholarship
& citizenship



Practical focus: what ISSN identifies as 'continuing resource' issued online

'The Scholarly
Record ...'

ISSN assigned to:



Continuing Resources = 'SERIALS' + 'ONGOING INTEGRATING RESOURCES'

(issued in Parts) (changes over Time)

Country	ISSN
<i>TOTAL</i>	<i>187,445</i>
USA	33,848
UK	16,624
FRANCE	15,962
CANADA	9,373
GERMANY	8,167
BRAZIL	8,054
SPAIN	7,168
INDIA	6,034
AUSTRALIA	5,828
INTERNATIONAL	5,409
NETHERLANDS	5,295
ITALY	4,380
FINLAND	4,151
DENMARK	3,674
NEW ZEALAND	2,958
POLAND	2,895
JAPAN	2,707
ROMANIA	2,508
RUSSIA	2,474
CZECH REP	2,248
NORWAY	2,104
ARGENTINA	2,095
SWITZERLAND	2,048
INDONESIA	1,822
HUNGARY	1,679
IRAN	1,327

Massive increase in e-serials
over past 18 years

72,337 in 2009
97,563 in 2011
132,806 in 2013
177,631 in 2015
187,445 in 2016
200,000+ in 2017

as measured by ISSNs for
'online continuing resources'
in the ISSN Register



Researchers (& libraries) in any one country depend on content written & published as serials in countries other than their own

%age of 187,445 ISSN assigned to 'e' (1 Dec. 2016)

Starting with some good news ...

1. Growing number of Keepers of archived serial content

① **CLOCKSS & Portico** - web-scale dependent upon earnings from publishers + funds from libraries

② **'the nationals'** – with government-backed mission statements:

British Library

Cariniana Network/IBICT (Brazil)

KB/Netherlands (e-Depot)

Library of Congress

National Science Library, Chinese Ac of Sciences

Swiss National Library

Archaeology Data Service (UK)

Not yet



nor BnF, DnB, LAC ...

③ **'university-based cooperatives'** - self-funded operations:

LOCKSS Program [& Private LOCKSS Networks]

HathiTrust

Scholars Portal

Public Knowledge Project/ PLN [OJS]

2. We have means to search across those digital shelves

The Keepers Registry

Supporting long-term access to journal content

thekeepers.org



Home | Journals | Publishers | Archiving Agencies | **Member Services** | FAQ | About | Help

Discover who is looking after your e-journals

Search

Input a search term (e.g. free text, or a title or ISSN(s))

Search

[+ Show search examples](#)

[Glossary and definitions](#)

Search on Title or ISSN,
using the ISSN Register
& ISSN-L as kernel field

The following organisations are the Keepers of digital content, working on your behalf to ensure long-term access to the scholarly and cultural record. They provide the registry with information on their archival holdings, ordered by most recent update (date of which is shown):

- [Archaeology Data Service](#) (09 Aug 2017)
- [Global LOCKSS Network](#) (08 Aug 2017)
- [CLOCKSS Archive](#) (07 Aug 2017)
- [Cariniana Network](#) (06 Aug 2017)
- [Portico](#) (04 Aug 2017)
- [British Library](#) (03 Aug 2017)
- [Library of Congress](#) (03 Aug 2017)
- [HathiTrust](#) (02 Aug 2017)
- [PKP PLN](#) (01 Aug 2017)
- [Swiss National Library](#) (27 Jul 2017)
- [Scholars Portal](#) (04 Jul 2017)
- [National Science Library, Chinese Academy of Sciences](#) (13 Feb 2017)
- [e-Depot](#) (24 Apr 2012)

The most up-to-date information may be available on the Keeper's website.



Funded by: THE UNIVERSITY
of EDINBURGH



Developed &
managed by:



Use Member Services area to discover archival status

Print ISSN	Electronic ISSN	Title	Publisher
0001-4788	2159-4260	Accounting and Business	Taylor and Francis
1212-2580	1805-9341	Plant Protection Science	Czech Academy of Agriculture
0959-535X	1756-1833	BMJ	BMJ Group
1553-734X	1553-7358	PLOS Computational Biol	Public Library of Science
0950-382X	1365-2958	Molecular Microbiology	Wiley-Blackwell
0950-222X	1476-5454	Eye	Nature Publishing Group
2049-8764	2049-8772	Information and Inference	Oxford University Press
2211-5242	2211-5242	Disability, CBR and Inclus	SAGE Publications
1355-5502	1750-0133	Journal of Victorian Cult	Edinburgh University Press
2049-4572	1364-0429	Journal of Conservation	Ubiquity Press

1. Upload a file
of ISSN
+ any extra
as CSV file

2. Download file with ISSN-L + Number of Agencies + Archiving Agencies + link to KR record

Print ISSN	Electronic ISSN	Title	Publisher	KR:ISSN-L	KR:No.	KR:Matching Agencies	KR:Direct Link to Record
0001-4788	2159-4260	Accounting and Business	Taylor and Francis	0001-4788	4	Scholars Portal, Portico, CLOCKSS	http://thekeepers.org/purl/issn/0001-4788
0950-382X	1365-2958	Molecular Microbiology	Wiley-Blackwell	0950-382X	4	Scholars Portal, Portico, e-Depot, i	http://thekeepers.org/purl/issn/0950-382X
1355-5502	1750-0133	Journal of Victorian Culture	Edinburgh University Press	1355-5502	4	Scholars Portal, Portico, CLOCKSS	http://thekeepers.org/purl/issn/1355-5502
2049-8764	2049-8772	Information and Inference	Oxford University Press	2049-8764	3	Portico, CLOCKSS Archive, Global	http://thekeepers.org/purl/issn/2049-8764
0959-535X	1756-1833	BMJ	BMJ Group	0959-8154	2	Global LOCKSS Network, HathiTrust	http://thekeepers.org/purl/issn/0959-8154
0950-222X	1476-5454	Eye	Nature Publishing Group	0950-222X	2	Portico, CLOCKSS Archive	http://thekeepers.org/purl/issn/0950-222X
2049-4572	1364-0429	Journal of Conservation	Ubiquity Press	2049-4572	2	CLOCKSS Archive, Global LOCKSS	http://thekeepers.org/purl/issn/2049-4572
1553-734X	1553-7358	PLOS Computational Biology	Public Library of Science	1553-734X	1	Global LOCKSS Network	http://thekeepers.org/purl/issn/1553-734X
1212-2580	1805-9341	Plant Protection Science	Czech Academy of Agriculture	1805-9341			
2211-5242	2211-5242	Disability, CBR and Inclusive	VU - Publish	2211-5242			

3. Can use it as 'Observatory', providing evidence / data

The Keepers Registry

Supporting long-term access to journal content

[Home](#) | [Journals](#) | [Publishers](#) | [Archiving Agencies](#) | [Member Services](#) | [FAQ](#) | [About](#) | [Help](#)

Discover who is looking after your e-journals

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Input a search term (e.g. free text, or a title or ISSN(s))

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- [e-Depot](#) (24 Apr 2012)

The most up-to-date information may be available on the Keeper's website.

Working Together

Find out how publishers, research libraries and national libraries can support archiving initiatives to ensure the future of the digital scholarly record.

[Read more.](#)

Current Statistics

- Serials with volumes reported as 'ingested and archived' by at least one Keeper: 35832
- Serials with volumes reported as 'ingested and archived' by three or more: 13469

Work on other serials (and volumes) is 'in progress'.

News and Events

- 21 Dec 2016: [IARLA endorses Working Together statement](#)
- 02 Dec 2016: [Ivy Plus Libraries Collection group endorses Working Together statement](#)
- 27 Sep 2016: [Translations of Working Together to Ensure the Future of the Digital Scholarly Record](#)
- 25 Aug 2016: [International Endorsements for Working Together statement](#)
- 11 Aug 2016: [Ensuring the Future of the Digital Scholarly Record](#)

How are we doing? : What do the data tell us?

Good News #4:

Titles known as archived up by 60% over past 4 years 😊
as more archiving + more archives reporting into Registry!

Titles 'ingested & archived' by ...

	... at least 1	... 3 or more
Dec 2013	22,196	8,618
Nov 2014	26,195	9,656
Dec 2015	29,663	10,710
Dec 2016	33,711	12,644

As reported into
the Keepers Registry

August 2017 35,832 13,469

2 simple Key Performance Indicators

'Ingest Ratio' = ingested by **1+ Keeper**
/ total 'online

serials' of interest

So 'global' estimate for

'Published Heritage'

Titles archived, divided by

all 'continuing resources' in ISSN Register

35,832 / 200,000 => 18%

'KeepSafe Ratio' = ingested by **3+Keepers**
/ total 'online serials' of interest

13,469 / 200,000 => 6.7%



ISSN Count	Country Assigned	Ingest Ratio %	KeepSafe Ratio %	'AtRisk' Count	Archived by 1+	Archived by 3+
33,848	USA	32.9	7.8	22,725	11,123	2,624
16,624	UK	43.5	22.7	9,394	7,230	3,780
15,962	FRANCE	3.6	1.1	15,380	582	181
9,373	CANADA	6.9	0.4	8,727	646	41
8,167	GERMANY	24.5	10.1	6,170	1,997	822
8,054	BRAZIL	9.9	0.2	7,257	797	18
7,168	SPAIN	3.7	0.5	6,901	267	35
6,034	INDIA	6.4	2.1	5,649	385	129
5,828	AUSTRALIA	4.5	1.5	5,568	260	89
5,409	International	2.4	0.5	5,277	132	26
5,295	NETHERLANDS	68.2	45.7	1,682	3,613	2,418
4,380	ITALY	4.9	1.2	4,165	215	53
....						
2,095	ARGENTINA	1.0	0.1	2,075	20	3
2,048	SWITZERLAND	20.0	4.1	1,639	409	84
....						
330	TURKEY	4.2	0.3	316	14	1
283	IRELAND	16.3	4.6	237	46	13
268	BANGLADESH	1.1	0.0	265	3	0
237	PHILIPPINES	2.1	0.8	232	5	2
223	SINGAPORE	59.2	6.3	91	132	14
198	CYPRUS	0.0	0.0	198	0	0
168	COSTA RICA	3.0	0.0	163	5	0
1,822	INDONESIA	0.3	0.0	1,817	5	0
1,679	HUNGARY	4.4	0.7	1,605	74	11
1,327	IRAN	0.0	0.0	1,327	0	0
1,311	SLOVENIA	1.1	0.0	1,296	15	0
1,223	KOREA	0.0	0.0	1,223	0	0
1,187	CROATIA	2.0	0.0	1,163	24	0
1,109	EGYPT	60.5	12.9	438	671	143

Huge variation
in KPI Ratios
by Country of
Publication

Only those
in bold are
> 10%

very low
KeepSafe
Ratios

Variation is due to Big Publishers doing the right thing!

ISSN Count	* Re-order by Ingest Ratio *		Ingest Ratio %	KeepSafe Ratio %
187,445	Globally		18.0	6.7
5295	Elsevier	Netherlands	68.2	45.7
1109	Hindawi	Egypt	60.5	12.9
16624	T&F, CUP, OUP, etc	UK	43.5	22.7
33848	Wiley etc	USA	32.9	7.7
8167	Springer	Germany	24.5	10.1
2048	Karger	Switzerland	20.0	4.1
902		Austria	14.8	6.5
731		Belgium	10.0	0.5
8054		Brazil	9.9	0.2
2895		Poland	9.6	1.0
1041		Sweden	9.3	2.6
414		Bulgaria	8.4	0.2
663		South Africa	8.1	2.9
9373		Canada	6.9	0.4
760		Mexico	6.4	0.4
6034		India	6.4	2.1

BIG publishers
acted early but
incompletely

STEM well archived

Time for libraries to do the right thing!

The "Long Tail"

Humanities and Applied/Practitioner
literature found in long tail
[especially non-English]

very many 'at risk' e-journals (esp. OA journals)
from the "65% of publishers":



Open Access content is in that Long Tail & 'at risk'

ROAD [Directory of Open Access scholarly Resources]

Archived by n Keepers

		total	At risk	1	2	3	4	5	6	7
ISSN is assigned to resources: a) Issued in parts	Journals	15408	75.4	13.5	4.06	3.2	1.8	0.6	1.4	0.03
	Monographic series	256	97.3	1.56	0.4	0.4	0.4	.	.	.
	Conference proceedings	151	93.4	4.6	1.3	0.7
b) Change o' time	Scholarly blogs	882	99.9	.	0.1
	Academic repositories	268	99.6	0.4
	All		77.5	12.3	3.71	2.9	1.7	0.5	1.3	0.03
	'Scholarly OA titles' N=	16965	13152	2086	629	498	281	90	224	5

⇒ > $\frac{3}{4}$ of OA resources at risk of loss

⇒ **Open Access ≠ Continuing Access**

<http://road.issn.org/>

What is to be done?

... for our Scholarly Record, that scholarship produces

... for each nation's Published Heritage, that scholarship needs

to ensure Open Access means Always Access

- Portico & CLOCKSS unlikely to archive this content

not easily done within their business model

① The role of the 'nationals' & Legal Deposit

② The role of the 'research library co-ops'

Or is it all about the Internet Archive?

① National Libraries (inc. Legal Deposit)

(Digital Legal Deposit can be mandatory, voluntary or absent)

- Comprehensive for published heritage of each nation
 - in principle
- All types of publisher: Scholarly, Trade, Personal, etc.
 - We know something about in the scope of acquisition for print
 - Recognises value of publications beyond scholarly record

***** But need to avoid temptation of the 'low-hanging fruit' of the large scholarly publishers: they are not at risk as already kept well by CLOCKSS & Portico**

CLOCKSS/Portico already do Big Publishers & so do Research Library Co-ops! 2015 data

Country	ISSN Count	Ingest Ratio %	CLOCKSS or Portico %	A National Institution %	Research Library Coops %	KeepSafe Ratio %	Archival status unknown
Netherlands	Elsevier 5411	68	60	54	54	49	1729
Egypt	Hindawi 1092	60	59	3	23	4	438
UK	T&F, CUP, OUP, etc 14569	45	34	15	34	20	8066
USA	Wiley etc 31757	34	17	5	28	7	20911
Germany	Springer 7121	27	18	11	18	10	5228
Switzerland	Karger 1688	16	12	4	9	4	1421
Sweden	1015	10	6	1	8	01	911
Poland	2693	9	8	3	1	1	2457
Canada	8655	8	2	0.2	6	0.2	7988
Russia Fed	2070	7	6	6	6	6	1929
India	5248	7	5	3	2	2	4899
Korea S	1071	6	5	4	5	4	1002
Japan	2187	6	4	3	6	4	2050
Italy	3576	6	3	1	4	1	3368
France	12118	5	2	1	4	1	11538
Australia	5078	5	3	1	5	1	4846

Impact of Legal Deposit?

- Hard to tell unless more national libraries become Keepers ...

National Science
Library – Chinese
Academy of Sciences



KB

Koninklijke Bibliotheek

LIBRARY
HSILIRB



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra



LIBRARY OF
CONGRESS

... and report what they have in safekeeping,
recognising the benefit of sharing knowledge
openly

② A Role for Research Library Cooperatives

Examples in the Keepers Registry:

- HathiTrust
- Scholars Portal (Ontario, Canada)
- Global LOCKSS Program / UKLOCKSS & Private LOCKSS Networks
- Cariniana Network/IBICT (Brazil)
- Public Knowledge Project/ PLN [OJS]

Scholarly communication is international, but **need to devise strategy with a focus on the local/regional and national as well as the international**

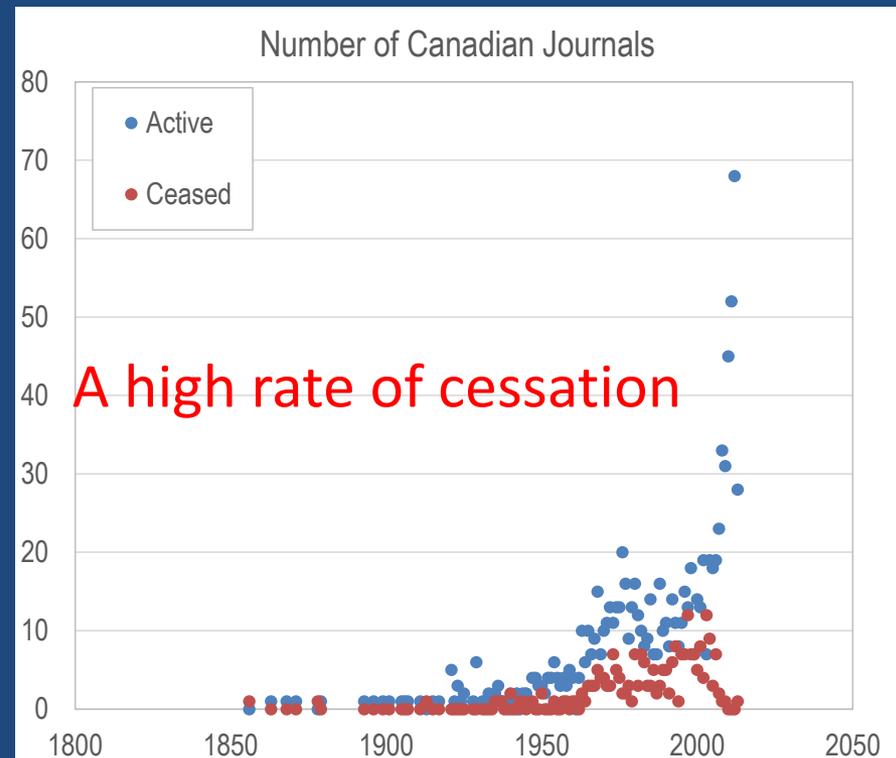
- Expect differences from nation to nation in publishing
- Is there a common pattern outside US/UK?

Diversity & Fragility

Generalising from a study of Canada [with thanks to Alan Darnell] :

- A small number of commercial publishers
- Many small journals with only a few large journals
- Highly dependent on support from granting agencies
 - e.g SSHRC Journals Program

=> Importance of
Scholarly Societies;
University Presses;
Research Councils



- STEM focus
- Big publishers / big deals
- High cost journals
- Reasonable coverage
- Challenges
 - Negotiating rights
 - Quality assurance
 - Scaling

International Journals

- Arts and Humanities focus
 - Low cost but high value
 - Important regional differences
 - Small number of journals
 - Large number of publishers
 - High rate of cessation

National Journals



- Switch to all electronic publishing
- Failure of depository programs
- Focus on current publications

Government Serial Publications

Canadian
Government
Information
(CGI) PLN

Open Access Journals



PKP-PLN

- Strong support for OA publishing (PKP & Érudit)
- Low cost barrier to publication
- Many new journals
- Focus on publication rather than preservation

➤ Help to ensure Open Access means Assured Access

- ① Think Globally – supporting global infrastructure
- ② Act Locally - include 'continuing access' as part of OA strategy
- ③ Act Together in Regional & National Actions

➤ Help to ensure Open Access means Assured Access

① Think Globally – supporting global infrastructure

- **Information on OA Journals**
 - Combined role of DOAJ & ROAD
 - DOAJ Seal of Approval; ISSN; deposit with a Keeper
- **Direct archiving from journal platform**
 - Exemplar role of PKP/OJS
 - used by over 8,600 journals world-wide
- **Information on extent of archiving activity**
 - Role of Keepers Registry

Look to engagement & support from international groups:

- a) IFLA : how to engage?
- b) International Alliance of Research Library Associations
IARLA: ARL + CARL + LIBER + RLUK + AUL

➤ Help to ensure Open Access means Assured Access

- ① Think Globally – supporting global infrastructure
- ② Act Locally - include 'continuing access' as part of OA strategy
 - Designate a staff member with this role
 - Use another organisation as your 'safe deposit'
- ③ Act Together in Regional & National Actions
 - Investigate deployment of Private LOCKSS Network as research library cooperative

Role of Institutional Repositories?

Main driver of Open Access (OA) agenda is availability [& compliance].
Emphasis is on the present and upon the ease of access.

Should there be a long-term preservation role
for the articles deposited in Institutional Repositories?

- The ergonomics / economics of preservation of articles not as good as ingesting all that is issued by a journal
- The challenge of not knowing what content is **not** held

1. Special Role for Institutional Repositories?

2. Special Collections Role for Institutional Repositories?

A Special Role for Institutional Repositories

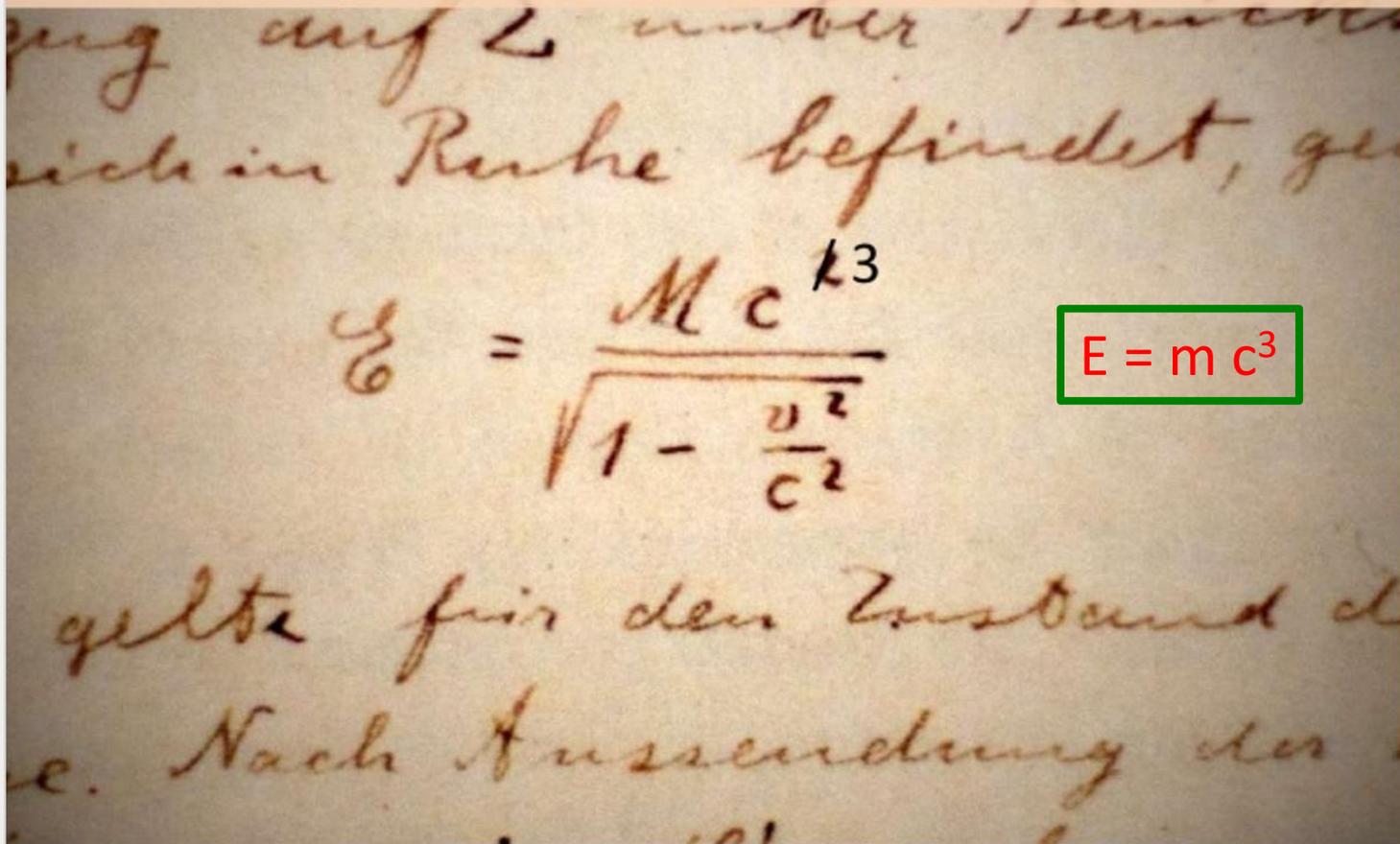
Articles made Open Access by payment of **Gold \$\$\$**

1. Place an order with a publisher for Gold Open access [Purchase Order]
 - Finance Office likes PO in advance of Invoice
2. Don't pay the publisher until you have downloaded the article
 - from outside a university IP, maybe from home
3. Deposit the article in your Institutional Repository
and in the Internet Archive
and in a subject-specific repository
4. Tell the author that you have ensured that Open Access is Always Access ...

Special Collections Role

What is the archival value of the author's final copy?

The first occurrence of Einstein's famous equation, in his own writing
- With interesting correction [allegedly] added by the author!



4 Essential Steps for Open Access e-serials

1. Assign an identifier at the 'point of issue' for a stream of digital content
2. Ensure that content is archived routinely
and, preferably, have others/peers do that for you too
+
3. Say what you are doing (& how) and what you hold
4. Publish the terms of access for the archived content (now and when triggered as orphaned).

<http://thekeepers.org> [@keepersregistry](https://twitter.com/keepersregistry)

<http://thekeepers.blogs.edina.ac.uk/>

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