Access for Members of the Public to Digital Content held in University and College Libraries:
A Report on Current Practice and Recommendations for the Future


August 2006 www.rin.ac.uk
1. **Introduction and Summary**

1.1 This paper reports on the current position with regard to the provision of access for members of the public to digital content in libraries in the higher education (HE) sector in the UK. It has been prepared by an expert group assembled by the Research Information Network (RIN) and provides advice to the sector and to its funding agencies on issues that need to be addressed if public access is to be enhanced.

1.2 The Government has acknowledged the significance of providing access to members of the public to scientific journals and other materials held in academic libraries, in pursuit of its aims of enhancing public understanding of science, of lifelong learning, and widening participation in higher education. Many university libraries have a long tradition of providing access for members of the public to printed materials, and this has recently been enhanced through the Inspire programme.

1.3 The primary form of access to many academic journals, however, is now increasingly in digital form and libraries face a range of issues in providing access for members of the public to digital rather than to printed materials. The issues arise under three main heads.

   A. First, the licence agreements with publishers and aggregators through which libraries secure access to digital resources are complex and it is not always clear whether libraries may provide access to members of the public. Indeed, there is much confusion over the different categories of users - beyond currently-registered students and members of staff – to whom libraries can provide access.

   B. Second, there are administrative and, in some cases, technical implications in providing access to materials for members of the public access through secure university secure networks.

   C. Third, libraries are hard-pressed in dealing with the demands of students and staff and devoting staff and other resources to provision for members of the public is not seen as a high priority.

1.4 We present seven recommendations - addressed to Government, to the Higher Education Funding Bodies, to the Joint Information Systems Committee (JISC), to Eduserv Chest, to the Society of College, National and University Libraries (SCONUL), to the Universities and Colleges Information Systems Association (UCISA), and to university and college libraries – to address these issues. They are listed in summary form below.
2. **Recommendations**

2.1 **Recommendation 1**  
We recommend that a UK register of publishers’ and aggregators’ licences, noting in particular the terms and conditions for walk-in access, should be created as a matter of urgency; and that JISC, Eduserv Chest, and a representative sample of HE libraries should be actively engaged in the necessary work, in consultation with representatives of the major publishers and aggregators.

2.2 **Recommendation 2**  
We recommend that JISC should, in consultation with SCONUL, Eduserv Chest and other relevant bodies initiate negotiations with major publishers and aggregators and their representative organisations to seek agreement on a common form of words to cover either the provision or denial of walk-in access. Further, that following consultation and agreement with those involved in providing service to members of the public, the categories of user to whom the term “walk-in” applies is defined and made consistent across all licence agreements.

2.3 **Recommendation 3**  
We recommend that university and college libraries should, unless there are strong countervailing reasons, always seek in negotiating licence agreements to secure the provision of walk-in access for members of the public, wherever possible using the common form of words mentioned in Recommendation 2 above.

2.4 **Recommendation 4**  
We recommend that the JISC/SCONUL/UCISA project that is developing a toolkit for providing access to electronic resources for members of the HE community on visits away from their home HEI should in addition take cognizance of the technical issues relating to walk-in access for members of the public.

2.5 **Recommendation 5**  
We recommend that a programme should be initiated in association with the shift to Federated Access Management technology to establish a sector-wide approach to the provision of access for members of the public to the secure networks of HEIs, based on membership linked to the UK Access Management Federation.

2.6 **Recommendation 6**  
We recommend that Universities UK and the Higher Education Funding Bodies should formally endorse and support the role of the Inspire programme in contributing to the aims of the HE sector in widening participation and in engaging with the wider community.

2.7 **Recommendation 7**  
We recommend that funding from DfES and DCMS for the Inspire programme should continue so that it can enhance its role in facilitating access to digital content in HE libraries, in pursuit of its mission to provide a seamless cross-sectoral pathway for learners across public, academic and national libraries. In Scotland, Wales and Northern Ireland, funding for similar initiatives should also continue for the same purpose; and efforts should be made to co-ordinate activity in all four parts of the UK.
3. **Background: The Issue**

3.1 In its wide-ranging report on Scientific Publications in 2004\(^1\), the House of Commons Select Committee on Science and Technology noted the difficulties that members of the public encountered in gaining access to scientific journals, especially in digital form. It noted in particular that some “walk-in” users who could legitimately gain access to print publications in HE libraries were now prevented from gaining access to the digital version of the same journal. The Committee argued that it is in society’s interest that public understanding of science should be enhanced; and to that end, it urged that increased public access to research findings should be encouraged by publishers, academics, higher education institutions (HEIs) and Government alike. This also accords with many broader Government objectives including the strategic deployment of ICT across all education sectors to deliver lifelong learning, to widen participation in higher education, and to deliver skills training for the workforce to underpin continued economic prosperity.

3.2 In its response to the Committee’s report, the Government acknowledged\(^2\) the significance of the provision for members of the public of access to research articles via HE libraries. But it noted that such provision was patchy, and it asked HEFCE to assemble an expert group to advise Government on the best way to deliver such a service, and the problems that would need to be resolved. The RIN has assembled such a group, and its members are listed at Annex A. This paper presents the group’s findings and recommendations. We focus our attention on access for members of the public, but we note also that many of the issues we address relate to terms, conditions and restrictions relating to access and use by specific groups such as distance and placement students, and former students and staff of HEIs.

4. **Access to Hard Copy Printed Journals**

4.1 As both the Select Committee and the Government have recognised, access to academic journals is concentrated in libraries in the HE sector. Even the most well-provisioned public libraries do not stock a wide range of academic or scientific journal titles. Nor do they typically provide access to the commercial abstract and indexing services, catalogues and other finding aids that provide information about the articles, monographs and other materials that report the latest research findings. The widespread availability of online public access catalogues (OPACs) of HE and other library holdings, however, and more recently of services such as Google Scholar\(^3\), have served to make information about research publications more readily accessible to those with internet access\(^4\).

4.2 But while it may be relatively easy for members of the public with a reasonable degree of information literacy to discover information about an article or other publication and to locate

---


3. Google Scholar is a service to enable searchers to search for scholarly literature across disciplines and sources: peer-reviewed papers, theses, books, abstracts and articles, from academic publishers, professional societies, preprint repositories, universities and other scholarly organizations. Yahoo and MSN are developing similar services.

4. It is notable that usage figures suggest that much of the use of national catalogue facilities such as COPAC - the union catalogue of the holdings of the British Library, the National Libraries of Scotland and Wales, and 24 major university research libraries in the UK – derives from outside the academic sector.
where copies are available, access to a physical copy is increasingly dependent on the inter-library loan network and on the British Library’s document supply service. Such services require, of course, the payment of fees for each loan or document supplied. The only other option has been to refer users to the nearest HE library known to have a copy of the relevant publication.

4.3 Many HE libraries have a long tradition of providing access for readers from outside the HEI in question. And in recent years there have developed both national and regional initiatives to extend such provision to the wider HE community in particular. Thus the UK Libraries Plus scheme – encompassing nearly all UK universities and HE colleges - provides for part-time, distance learning, full-time postgraduate and placement students borrowing rights to the holdings of other HE libraries; and reference access for staff and full-time undergraduate students. The Research Extra scheme run by the Society of College, National and University Libraries (SCONUL) provides both access and borrowing rights for academic staff and research students across all member HEIs.

4.4 These schemes, together with local and regional initiatives such as the M25 Consortium of Academic Libraries in London and the South-East, have consolidated the provision of reciprocal access and borrowing rights for members of the HE sector, and in some cases for users outside the sector. They have done much both to enhance access and to allay any fears of “swamping” of one library by staff and students from other HEIs. Only relatively recently, however, have HE libraries begun to tackle in a systematic way the issues surrounding the provision of access for students and staff of other HEIs to digital content.

4.5 With their printed holdings, many HE libraries have also for many years extended access beyond current students and staff in the sector to people who have some former connection with the HEI in question, such as alumni and retired members of staff. And some HE libraries also have a long tradition of allowing access by members of the public at large. Over the past two years the Inspire programme has made significant steps towards establishing a national system to facilitate managed access for learners to the materials held in libraries across England, and especially those in the higher education sector. Similar initiatives to open up access to HEI and other libraries are under way in Scotland, Wales and Northern Ireland.

4.6 The Inspire initiative is led by SCONUL and the Society of Chief Librarians, in partnership with the British Library and the Museums Libraries and Archives Partnership (MLA). Its primary objective is to support the achievement of one of the fundamental aims of Framework for the Future (the 10 year vision from the Department for Culture, Media and Sport (DCMS) for the development of public libraries in England), viz: that any member of a public library can also access materials held in HE and FE libraries. The initial focus is on access to hard copy

---

5 The British Library charges, for example, £7.45 for a document supplied by secure electronic delivery, and £10.80 for a single item supplied on loan, with significantly higher charges for rapid delivery within 2 hours or 24 hours.

6 For details of the scheme, see http://www.uklibrariesplus.ac.uk

7 See http://www.sconul.ac.uk/use_lib/.

8 A full list of the various national and regional access schemes, including the vacation access scheme for all students, is at http://www.uklibrariesplus.ac.uk/libraries/sconul.htm.

9 UK Computing Plus is an extension to UK Libraries Plus through which libraries may offer access to library-based computers for visiting students. See http://www.uklibrariesplus.ac.uk/ukcp/index.htm.

10 See http://www.inspire.gov.uk/. The programme is funded by the DfES in co-operation with the DCMS, through the Museums Libraries and Archives Partnership (MLA); and by the British Library, the Chartered Institute of Library and Information Professionals (CILIP), and the Museums Libraries and Archives Council through the Regional Libraries Advisory Group (RLAG).

materials for reference use only (ie use on library premises without borrowing rights). The programme is near the achievement of its initial aim of securing agreement from all public and HE libraries to a set of kitemark criteria, and establishing a national system of managed referral between libraries, with an online resource discovery tool, publicity materials for all participating libraries, and a training toolkit for all staff involved.

4.7 Through these various mechanisms, the Inspire programme has over the past two years built on the work of already-established regional and local consortia to overcome concerns about security, extra loads placed on staff, unreasonable expectations from users, and services’ being overwhelmed by levels of demand that cannot be met. Further development of the programme should serve to enhance awareness of the information resources that are available not just in public libraries but in the HE and other libraries as well.

4.8 Funding for Inspire is currently agreed only until November 2006, but if the programme is sustained for a further period, it will extend its reach in furtherance of the aim to ensure by 2013 that “any member of a public library can also access materials held in HE libraries”. At a national level, however, the programme has not yet tackled the issues surrounding public access to the digital content that now constitutes an increasingly important – in some cases dominant – part of the holdings of HE libraries.

5. Public Access to Digital Content: The Key Issues

5.1 The current arrangements to provide – and to enhance – public access to printed journals have not so far been effectively extended to digital materials. The digital content made available in HE libraries at present is often – but not always – held also in the library in hard copy. There are strong moves, however, from both publishers and libraries to abandon printed copies of the current issues of journals which are published also in digital form, where print has become largely redundant for access purposes. Printed copies may not be readily available in many libraries for the long term, therefore, and the rest of this paper deals only with issues relating to access to digital content.

5.2 Issue A: Licences

5.2.1 Digital content to which students and staff in the HE sector have access through their libraries is typically held not by the library itself but on a server provided or managed by the publisher or an agent or aggregator of content. Libraries do not purchase such content in the way in which they purchased print. Rather, they pay a fee to the publisher or agent, in return for which the library secures a licence for access to the content for educational purposes. The licence agreements between publishers and libraries set out the terms and conditions governing access to and use of the resource, including matters such as what the resource can be used for; who is authorised to use it; how it can be accessed; what users and HEIs can and cannot do with it; and the responsibilities of the institution. HE libraries typically have large

---

12 Paradoxically, where the printed back-runs of journals have been digitised, many libraries have been much more reluctant to dispose of their printed copies, and so access through both print and digital versions is more commonly available for back-runs than it is for current issues of journals.
numbers of licence agreements with a range of publishers, agents and aggregators, and the precise terms of the agreements may differ significantly.

5.2.3 The most widespread agreements follow the format of the model licences negotiated by the Joint Information Systems Committee (JISC) for e-books, data sets and electronic journals (for journals there is a specific model referred to as NESLi2, the 2005 version of the National Educational Site Licence first launched in 1999); or the model agreements negotiated by Eduserv Chest for data, software, and training and courseware.

5.2.4 The JISC model agreements specifically allow for use of the resource to be used by two categories of user. First, any person who is authenticated as a current student or member of staff of the HEI may access the resource both on and off site. Secondly, any other person who is permitted by the institution to gain access to its secure network may also gain access to the resource, but only while physically located in the library premises. Such users are referred to as “walk-in” users.

5.2.5 Chest-negotiated agreements also usually, but not invariably, allow for access by walk-in users; and the Chest website helpfully lists those agreements which include in the terms and conditions specific reference to walk-in use. It should be noted, however, that not all Chest agreements make such specific reference, and that thus while some agreements expressly disallow walk-in access, the wording of others simply restricts use to current students and staff of the HEI (thus in effect debarring by default walk-in access by members of the public and also by groups such as former students and staff to whom the library may by tradition have provided access to printed material). It should also be noted that the schedules and annexes to agreements are sometimes difficult to interpret on the question of walk-in access.

5.2.6 Libraries may also have a number of other agreements with publishers and aggregators, which do not conform to the JISC or Chest models, and which will typically be more restrictive in their terms and conditions. Securing provision for walk-in access is not a high priority for HEIs and libraries in negotiating such agreements, and as noted above, the wording of some licences is not entirely clear. The plethora of terms, conditions and restrictions relating to access and use by distance learners, students overseas, students on placement in industry, retired and honorary members of staff, or alumni will often make the interpretation of licence agreements a matter of some complexity.

5.2.7 Some of those publishers which have agreed to walk-in access have urged that HE libraries should be more forthcoming in ensuring that such access is indeed made available. But it must be recognised that libraries will usually face some considerable difficulty in compiling a list of those digital resources to which they can provide walk-in access, and thus in taking the

---

13 Eduserv Chest acts as a focal point for the supply of software, data, information, training materials and other IT related products to educational institutions in the UK and overseas. See www.eduserv.org.uk/chest.

14 For details see the Guide to JISC Model Licence at http://www.jisc.ac.uk/index.cfm?name=coll_guide_jiscmodel; and the information about NESLi2 at http://www.nesli2.ac.uk/model.htm.

15 Recent changes in the JISC licence now allow for walk-in access anywhere on the campus but many universities and colleges still restrict access to library premises.


17 Thus the Chest agreement with Emerald Full Text is shown in the list on the Chest website as allowing walk-in access, and the General Licence Conditions specifically refer to walk-in users; but the “Location and Use Permissions” associated with the agreement appear specifically to debar walk-in access.

18 The University of Birmingham, for example, estimates that it has nearly a hundred digital resources that do not allow for walk-in access.
essential step of ensuring that they do not inadvertently infringe licence conditions where such access is not allowed under the terms of the licence.

5.2.8 Leaving such a task to individual HE libraries is wasteful of resources and leads to lack of consistency in interpretation. It would be more efficient and effective to compile an authoritative register for the UK of the terms and conditions relating to walk-in use in the major publishers’ and aggregators’ licences, to which libraries could refer. We understand that JISC is planning to commission work to create such a register\textsuperscript{19}, and we urge that this should be undertaken as a matter of urgency.

Recommendation 1

We recommend that a UK register of publishers’ and aggregators’ licences, noting in particular the terms and conditions for walk-in access, as well as for key groups such as distance and placement students, and for former students and members of staff, should be created as a matter of urgency; and that JISC, Eduserv Chest, and a representative sample of HE libraries should be actively engaged in the necessary work, in consultation with representatives of the major publishers and aggregators.

5.2.9 We have already noted the complexity – and in some cases the apparent internal inconsistency – of some licence agreements, and the difficulties of interpretation that arise as between one licence and another. We believe that many of these difficulties and complexities are needless, serving the interests neither of licensor or licensee. We further believe that it should be possible to achieve greater clarity and consistency by reaching agreement with the major publishers and aggregators on a common form of words to cover either the provision or the denial of walk-in access, as well as the terms, conditions and restrictions relating to access and use by key groups such as distance and placement students, and former students and staff; and that negotiations to that end should be put in hand in parallel with the work necessary under Recommendation 1. This work should take account of parallel discussions in the US to define best practice and certified terms for online access, particularly for smaller publishers.

Recommendation 2

We recommend that JISC should, in consultation with SCONUL, Eduserv Chest and other relevant bodies initiate negotiations with major publishers and aggregators and their representative organisations to seek agreement on a common form of words to cover either the provision or denial of walk-in access. Further, that following consultation and agreement with those involved in providing service to members of the public, the categories of user to whom the term “walk-in” applies is defined and made consistent across all licence agreements.

Recommendation 3

We recommend that university and college libraries should, unless there are strong countervailing reasons, always seek in negotiating licence agreements to secure the provision of walk-in access for members of the public, wherever possible using the common form of words mentioned in Recommendation 2 above.

\textsuperscript{19} There is also work in hand in the UK and the US to develop an Online Information Exchange (ONIX) schema for the description of licensing terms and resource usage permissions and policies. See \url{http://www.editeur.org/onix_licensing.html}. Such a schema will facilitate the exchange of information about licence terms.
5.3 **Issue B: Technical Issues**

5.3.1 The terms under which walk-in access is allowed under most licence agreements require that access is provided through the HEI’s secure network. This implies a network that is accessible only to authorised users whose identities are authenticated by the institution at the time of log-in and periodically thereafter, and whose conduct is regulated by the institution whilst they are using the institution’s facilities.

5.3.2 There are a number of authentication tools that publishers and HE libraries may use. The two current basic options are IP authentication and the Athens Access Management System that has been used across the HE sector since 1996. A replacement for this approach, termed Federated Access Management, using Shibboleth technology, is to be launched in September 2006.

5.3.3 IP authentication is based on the IP address of the computer used to access resources via the internet. It is simple to set up, since it requires only that the institution registers its firewall address with the relevant information provider, who will then allow anyone coming from that IP address to log into their service without any need for a user name or password. By its very nature, IP authentication does not allow users to log in from home or anywhere else outside the institution’s firewall. Unless the institution has a sophisticated approach to authentication, however, it is impossible automatically to block a given category of users from access to a specific resource that is available on campus: without any further authentication than an IP address, anyone who can login to a university workstation on campus can gain access to any resource available on campus, whether or not the publisher allows walk-in access.

5.3.4 Access management systems such as Athens oversee and control the creation and management of usernames and passwords, and the allocation of access rights to individual usernames under the terms of the institution’s licences. Authorisation is thus associated with individual users rather than the IP address of a computer. Athens allows the creation both of personal accounts and of “access accounts” designed to be shared by groups of users, where use can be restricted by adding an IP address to the account so that it cannot be used outside the institution’s firewall. Such accounts can be used for walk-in users, who may for example use a common username and password, typically on dedicated machines.

5.3.5 In order to be treated as an authorised user and to gain access to an HEI’s network, members of the public are typically required to provide proof of identity and to sign an undertaking to abide by a code of conduct regarding their use of the network and resources to which they are given access. Most of the relatively small number of HEIs that provide walk-in access do so through dedicated PCs in the library, providing access to a limited number of information services licensed for such users. Ensuring that users can gain access only to authorised resources - and not, for example, to software for which the institutional licence does not allow public access – may as noted above pose significant challenges for the computer service. As an additional control, the dedicated PCs are typically placed in positions where use can be readily

---

20 See [http://www.athens.ac.uk](http://www.athens.ac.uk).

21 See [http://www.jisc.ac.uk/shibboleth.html](http://www.jisc.ac.uk/shibboleth.html) for information about the development of the new access management system.

22 Access may be provided, however, by means of a proxy server; but the proxy server of one institution will not normally work at another institution.

23 We have not been able to determine an accurate figure; but of the 66 (out of a total of 141 SCONUL members) responses to a recent UK Libraries Plus survey, only 18 provided access to digital content for visitors.
overseen by library staff in order to check against misuse\textsuperscript{24}. Users who wish to print copies of articles and other resources are usually advised to email a copy to themselves.

5.3.6 Relying on each HEI to develop its own local solution to the technical issues surrounding access entitlements is unlikely either to be efficient in the use of resources or to result in user-friendly and consistent access services for members of the public. It is not helpful to users if they have to re-register, with different procedures, in order to use more than one HE library even within the same city.

5.3.7 Many of the technical issues that arise in the provision of walk-in access for the public may arise also in providing access to resources for members of the HE community when they make a visit away from their home HEI. We understand that SCONUL and the Universities and Colleges Information Systems Association (UCISA), in association with JISC, are initiating a project to produce a toolkit to address these issues.

**Recommendation 4**

*We recommend that the JISC/SCONUL/UCISA project that is developing a toolkit for providing access to electronic resources for members of the HE community on visits away from their home HEI should in addition take cognizance of the technical issues relating to walk-in access for members of the public.*

5.3.8 The move to Shibboleth technology that is due to start in 2007 offers a further opportunity to develop a sector-wide solution that is sustainable and scaleable, and does not require multiple registrations once membership has been granted, by linking to a trusted federation provided by Shibboleth. This could have the additional benefit that membership will be automatically transferable. Authenticated users will thus be able to view from any location any of the resources that they have an entitlement to view.

**Recommendation 5**

*We recommend that a programme should be initiated in association with the shift to Federated Access Management technology to establish a sector-wide approach to the provision of access for members of the public to the secure networks of HEIs, based on membership linked to the UK Access Management Federation.*

5.4 **Issue C: Staffing and Resource Issues**

5.4.1 The provision of walk-in access for members of the public is not a simple option for HE libraries. It requires a significant if largely once-and-for-all effort of staff time to identify those resources to which public access is allowed under the terms of the licence agreement; the setting up of authentication and authorisation systems to ensure that access is provided only to those resources; in some instances, the provision of dedicated PCs; and a regular but unpredictable amount of staff time to authenticate, advise and oversee those members of the public who wish to make use of the library in this way.

5.4.2 When libraries and their staff are hard-pressed in dealing with the requirements of the staff and students both of their home institution and of other HEIs, it may not be surprising that

\textsuperscript{24} Similar arrangements often apply to users from other HE institutions, though in some cases thin client technology is employed to permit access to the range of resources available at the user’s home institution. In general, however, most institutions face a number of difficulties in providing to external users access to the full range of resources and services at their home institution.
devoting resources to provision for members of the public is not seen as a high priority. Nevertheless, we believe that it is important to guard against diminishing the access to scholarly journals and other material that was provided for members of the public in the print world; and that more generally HE libraries – which are recipients of significant amounts of public funds - have an important role to play in ensuring that the public at large has access to the latest scholarly literature and research findings. We believe that this should be seen as a significant part of the role of HEIs both in widening participation in HE (by providing access to potential students, for example) and in engaging with the wider community.

5.4.3 Evidence suggests that the scale of use of HE libraries by members of the public is not likely to be large, though it may grow as awareness of the availability of scholarly literature via the internet increases. Providing a managed environment for members of the public to gain access to digital materials will continue, however, to constitute a call on resources across the HE sector; and in the interests of both efficient use of resources and the effective delivery of services we believe that a national approach needs to be adopted. We believe that the Inspire programme constitutes a ready-made focus for such work, and that it should be funded to that end.

Recommendation 6

We recommend that Universities UK and the Higher Education Funding Bodies should formally endorse and support the role of the Inspire programme in contributing to the aims of the HE sector in widening participation and in engaging with the wider community

Recommendation 7

We recommend that funding from DfES and DCMS for the Inspire programme should continue so that it can enhance its role in facilitating access to digital content in HE libraries, in pursuit of its mission to provide a seamless cross-sectoral pathway for learners across public, academic and national libraries. In Scotland, Wales and Northern Ireland, funding for similar initiatives should also continue for the same purpose; and efforts should be made to co-ordinate activity in all four parts of the UK.

August 2006
6. **Annex**

6.1 Members of the Expert Group on Public Access to Digital Content in Academic Libraries

- Toby Bainton, *Secretary, SCONUL*
- Sally Curry, *National Partnerships Manager, Inspire*
- Andrew Dodds, *Information Services, University of Birmingham*
- John Dolan, *Head of Library Policy, MLA*
- Liam Earney, *Collections Manager, JISC*
- David Harrison, *Vice-Chair UCISA; Assistant Director, Information Services, Cardiff University*
- Michael Jubb, *Director, Research Information Network* (Chair)
- Graham Stone, *Serials and Electronic Developments Manager, University of Bolton*
- Susi Woodhouse, *Senior Network Adviser, MLA*