

Walk-in Access to electronic
resources in M25 libraries
(WAM25):

Feasibility study

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Feasibility study

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Executive summary

General

- 1 This document presents the findings of a HEFCE-funded study to investigate the feasibility of a proposed pilot service to provide Walk-in Access to electronic resources in M25 libraries (WAM25).
- 2 This document has been prepared by Curtis+Cartwright Consulting Ltd (Curtis+Cartwright) on behalf of the London School of Economics and Political Science (LSE), acting on behalf of the M25 Consortium.

Objectives of the feasibility study and headline conclusion

- 3 The objective of the feasibility study was to confirm (or refute) that the proposed project would deliver benefits to the partner institutions, and to indicate how the benefits of the service can be scaled up to a wider user base. More generally, this document assesses whether the proposed pilot project could, and should be done.
- 4 The headline conclusion from the feasibility study is that WAM25 is feasible, and can and should be done. This is subject to three caveats set out in paragraph 18.

Background to WAM25

- 5 The M25 Consortium is a collaborative organisation that “works to improve library and information services within London and more widely across the East and Southeast regions”. The M25 Consortium has 58 member institutions ranging from small specialist colleges to large multi-disciplined universities and also a number of key, national academic-related institutions such as museums and societies.
- 6 Staff and students within the M25 Consortium institutions often have a requirement to consult a broad range of academic resources, some of which are not available within their home institution. Being able to visit other institutional libraries is one way users can have access to a broader range of resources. While most Higher Education Institutions (HEIs) have systems in place to allow authorised walk-in users access to printed material, in many HEIs walk-in access is not available to the increasing proportion of electronic resources.
- 7 In the past, the access rights for walk-in users to electronic resources were unclear, and access was often not permitted. Currently, many resources allow walk-in access,¹ however it is not universal and significant uncertainty remains, particularly at an institutional level.
- 8 In recent years much work has been done to address the issue of allowing walk-in access to electronic resources in a similar fashion to printed material. Work by the Research Information Network (RIN) and Society of College, National and University Libraries (SCONUL) on walk-in access to electronic resources suggests that enabling such access is a national issue. Similar aspirations in other regions indicate that WAM25 outcomes would benefit the rest of the UK.
- 9 The M25 Consortium has been involved in a number of initiatives over the years to improve services and resources available for users of academic libraries. Driven by the recent publication of the HE Access to e-Resources in Visited Institutions (HAERVI) best practice

¹ Particularly those negotiated by JISC Collections and Eduserv CHEST on behalf of the community.

guidance,² the M25 Consortium now wishes to promote walk-in access to electronic resources alongside existing access arrangements for print resources.

Outline of WAM25

- 10 The M25 Consortium would like to pilot a service which provides walk-in access to those electronic resources that have walk-in entitlements in M25 libraries. This would improve the accessibility of electronic resources via libraries in the M25 region. Piloting walk-in access to electronic resources within a small number of institutions is intended to validate the concept of the service, and identify lessons to support the provision of such a service on a wider basis.
- 11 Five institutions have agreed, in principle, to take part in WAM25.³ WAM25 will be carried out within the governance framework of the M25 Consortium, with the central activities being conducted by the M25 Systems Team.
- 12 WAM25 will not be cost neutral: the development and roll-out of a new service will cost money, and the pilot will neither generate any income nor make significant cost savings. The costs will primarily be upfront and continuing operational costs; the only capital costs will be expenditure on IT hardware and software. WAM25 will be funded in a number of ways, including with effort-in-kind from institutions, HEFCE funding and funding from the M25 Consortium.

Preferred approach for WAM25

- 13 A number of exemplar options for WAM25 (covering the different elements of resource discovery,⁴ visiting institutions⁵ and accessing resources⁶) were assessed in relation to each other against their envisaged costs, benefits and risks.⁷ The assessment indicates that the preferred approach encompasses:
- **discovering resources:** provide simple means for users to discover resources to which they are entitled;⁸
 - **visiting libraries:** build on existing common reciprocal controls (*eg* SCONUL Access);
 - **accessing resources:** implement the most straightforward technical solutions, making use of common elements wherever possible.
- 14 Further effort is required for WAM25 to put together a detailed plan, costing, *etc* under this broad approach. This feasibility study uses exemplar options under the broad approach to provide its detail.

² HAERVI: *HE Access to e-Resources in Visited Institutions, Best Practice Guide*, UCISA, September 2007.

³ University of Greenwich, Institute of Education (IoE), London School of Economics and political science (LSE), London School of Hygiene and Tropical Medicine (LSHTM) and London South Bank University (LSBU).

⁴ Namely, how a user finds out what resources are available at institutions other than their own, if they are entitled to access the resources they want, and how they can access those resources.

⁵ This encompasses the policy, administrative processes and systems in place which determine how a user can access an institution (*eg* registration of users, provision of credentials).

⁶ *ie* the technical solutions by which a user gains access to the electronic resources.

⁷ For further detail of the option assessment, please refer to Annex E.

⁸ This will very likely require the pilot partner institutions to work out and record the walk-in entitlements of their electronic resources.

Costs and benefits

- 15 It is estimated that WAM25 would cost in the region of £130,000 over 18 months. The key costs are operational (upfront and continuing) for both the pilot partner institutions and the M25 Consortium. The only capital costs are for provision of IT hardware and software within each of the institutions. The split of funding to meet these costs would be confirmed in the next phase of the project.
- 16 The key benefits include financial benefits such as savings on storage space from rationalisation of print resources, and increased value for money obtained from the investment in electronic resources in the pilot institutions. Non-financial benefits are focused on better education and research outcomes from being able to access more resources, more quickly and more cheaply, and increased collaboration. Benefits are not limited to any one organisation, group or HE activity.
- 17 Major shifts in the way resources are produced and purchased across the HE sector are not anticipated in the next 5 years, so the principle of walk-in access to electronic resources is likely to endure.

Assessment of the feasibility of a WAM25 pilot service

- 18 Considering the strategic, economic, financial and project management cases for the pilot service, it is assessed that WAM25 is feasible, and can and should be done. In addition, there is good potential for scaling up the service in the M25 region and replicating it elsewhere. However, three caveats are applied to this recommendation:
- **Resource discovery:** the way in which users find out what resources are available, and that they are entitled to access them has been a key issue throughout the conduct of the feasibility study. It is clear that if resource discovery is not effectively enabled, WAM25 would be very unlikely to attract much of its core user population, and the walk-in concept could not be validated. The preferred resource discovery approach is likely to be the least cost, least risk option that is achievable and will deliver an acceptable level of functionality, building on existing services (eg InforM25) and using common standards where possible. A scoping study to identify the preferred approach to resource discovery should be conducted at the start of the pilot project.
 - **User requirements:** it is critical to ensure that WAM25 is developed in line with user requirements and habits to assure ease of use. It is recommended that users are engaged during the development and evaluation of WAM25.
 - **Validation:** it is essential that WAM25 gives sufficient thought to validating the demand and benefits of walk-in access for electronic services during the pilot period. This will entail establishing suitable performance measures, including some usage statistics. This also supports the identification of lessons and good practice for other institutions.
- 19 One desirable recommendation is also made:
- **Pilot partner institutions:** to enable sufficient use of the service, it is important that a sufficient number of institutions covering a range of geographical locations, institution types and sizes, and resource holdings take part in the pilot project. It is recommended that the M25 Consortium considers adding two or three further institutions from wider geographical locations, physical science resource specialists and the Russell Group. This would, of course, increase the cost of WAM25.

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Document history

Version	Date	Description of revision
0.1	8 April 2008	Draft for internal review
0.2	11 April 2008	Draft for review by the WAM25 Steering Group
1.0	25 April 2008	Issue release following review by the WAM25 Steering Group
1.1	7 May 2008	Issue release incorporating further changes from the WAM25 team
1.2	27 May 2008	Issue release incorporating further changes from the WAM25 team

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List of abbreviations

CURL	Consortium of Research Libraries in the British Isles
FEI	Further Education Institution
FTE	Full Time Equivalent
HAERVI	HE Access to E-Resources in Visited Institutions
HEFCE	Higher Education Funding Council for England
HEI	Higher Education Institution
IoE	Institute of Education
JISC	Joint Information Systems Committee
LISU	Library and Information Statistics Unit
LSBU	London South Bank University
LSHTM	London School of Hygiene and Tropical Medicine
LSE	the London School of Economics and political science
NoWAL	North West Academic Libraries
OGC	Office of Government Commerce
OPAC	Online Public Access Catalogue
RDWG	Resource Discovery Working Group
RIN	Research Information Network
SCONUL	Society of College, National and University Libraries
SUNCAT	Serials UNion CATalogue
UCISA	Universities and Colleges Information Systems Association
VfM	Value for Money
WAM25	WALK-in Access to electronic resources in M25 libraries

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1 Introduction

1.1 General

- 1.1.1 This document presents the findings of a HEFCE-funded study to investigate the feasibility of a proposed pilot service to provide Walk-in Access to electronic resources in M25 libraries (WAM25). This document has been prepared by Curtis+Cartwright Consulting Ltd (Curtis+Cartwright) on behalf of the London School of Economics and Political Science (LSE), acting on behalf of the M25 Consortium.
- 1.1.2 This is the issued version of the document following discussion by the WAM25 Steering Group at the break-point review meeting on 16 April 2008.

1.2 Objectives of the feasibility study

- 1.2.1 The objective of the feasibility study was to confirm (or refute) that the proposed project would deliver benefits to the partner institutions, and to indicate how the benefits of the service can be scaled up to a wider user base. More generally, this document assesses whether WAM25 could, and should be done.
- 1.2.2 The findings of this feasibility study were presented to the WAM25 Steering Group at the Break Point Review meeting on 16 April 2008. A JISC representative (on behalf of HEFCE) will decide whether to proceed to the business plan stage.
- 1.2.3 In the event of a successful feasibility study, an outcome report will be prepared for HEFCE, which will encompass this document together with a business plan. This work would be undertaken by Curtis+Cartwright in conjunction with the M25 Consortium, and would allow the Shared Services Advisory Group to make clear decisions on taking projects into the pilot service stage without reference back to the lead institution.

1.3 Shared services background

- 1.3.1 Education is one of the key areas being encouraged by the Cabinet Office to develop and adopt shared services. The Funding Councils are taking the lead. Initial work has included the KPMG report commissioned by HEFCE which noted the need to test the assumption that shared services lead to efficiency savings through standardisation, simplification and sharing (eg taking advantage of economies of scale). However, there are existing shared services in Higher Education Institutions (HEIs) and Further Education Institutions (FEIs) which do appear to be delivering benefits.
- 1.3.2 HEFCE recently issued a call for expressions of interest in leading feasibility studies and participating in shared services.⁹ This generated significant interest and has led to a number of proposals, including WAM25.

⁹ *Shared services: invitation to submit expressions of interest*, HEFCE Circular 09/2007. See <http://www.hefce.ac.uk/Pubs/Circulars/2007/cl09_07/> accessed on 8 April 2008.

1.4 Approach to the feasibility study

1.4.1 The feasibility study has comprised the following stages:

- **Extensive information gathering, covering:**¹⁰
 - M25 Consortium interviews, including with the M25 Systems Team and the Resource Discovery Working Group (RDWG);
 - pilot partner institution interviews (strategic level);
 - pilot partner institution Library and IT Services staff focus groups;
 - M25 Consortium institutional questionnaire;
 - user consultation, including student focus groups and academic staff interviews;
 - analysis of Society of College, National and University Libraries (SCONUL) statistics by the Library and Information Statistics Unit (LISU);
 - desk-based research, including telephone conversations with key stakeholders and review of documentation;
- **Synthesis:** the information gathered was collated and synthesised to feed into the assessment of the feasibility of a pilot service, and development of the various options for a pilot service.
- **Reporting:** this document.

1.4.2 In line with the guidance from HEFCE,¹¹ the evidence associated with the statements contained within this document is not detailed; rather, it is available on request.

1.5 Overview of this document

1.5.1 The rest of this report is set out as follows:

- Section 2 presents an overview of WAM25, including the objectives and proposed funding model;
- Section 3 sets out high-level information relating to the environment surrounding WAM25, including strategic analysis, key issues, relevant work in the sector and an outline of current provision in the sector;
- Section 4 provides more detailed information relating to WAM25, including: information on the pilot partners; the options for a pilot service; and expected costs, benefits and risks;
- Section 5 provides more detailed information and analysis, covering the current provision within M25 Consortium institutions, the demand for WAM25 and the pilot partner institutions;
- Section 6 provides an assessment of the feasibility of WAM25 in relation to: the strategic drivers; the optimum balance of costs, benefits and risks; achievability and affordability;
- Section 7 presents the recommendations of the feasibility study;
- Annex A lists the interviews conducted for this review;
- Annex B maps HEFCE guidelines for feasibility study content to this report;
- Annex C sets out supporting information relating to the pilot partner institutions;
- Annex D provides an overview of existing technical solutions;
- Annex E sets out an appraisal of the options for a pilot service.

¹⁰ A full list of interviewees and group meetings is provided at Annex A.

¹¹ *Shared services: guidance for feasibility study and business plan*, HEFCE.

2 Overview of WAM25

2.1 Background

- 2.1.1 The M25 Consortium is a collaborative organisation that “works to improve library and information services within London and more widely across the East and Southeast regions”. The M25 Consortium has 58 member institutions ranging from small specialist colleges to large multi-disciplined universities and also a number of key, national academic-related institutions such as museums and societies.
- 2.1.2 Staff and students within the M25 Consortium institutions often have a requirement to consult a broad range of academic resources, some of which are not available within their home institution. Being able to visit other institutional libraries is one way users can have access to a broader range of resources. While most Higher Education Institutions (HEIs) have systems in place to allow authorised walk-in users access to printed material, in many HEIs walk-in access is not available to the increasing proportion of electronic resources.
- 2.1.3 In the past, the access rights for walk-in users to electronic resources were unclear, and access was often not permitted. Currently, many resources allow walk-in access,¹² however it is not universal and significant uncertainty remains, particularly at an institutional level.
- 2.1.4 In recent years much work has been done to address the issue of allowing walk-in access to electronic resources in a similar fashion to printed material. Work by the Research Information Network (RIN) and SCONUL on walk-in access to electronic resources suggests that enabling such access is a national issue. Similar aspirations in other regions indicate that WAM25 outcomes would benefit the rest of the UK.
- 2.1.5 The M25 Consortium has been involved in a number of initiatives over the years to improve services and resources available for users of academic libraries. Driven by the recent publication of the HE Access to e-Resources in Visited Institutions (HAERVI) best practice guidance,¹³ the M25 Consortium now wishes to promote walk-in access to electronic resources alongside existing access arrangements for print resources.

2.2 Objectives

- 2.2.1 The M25 Consortium would like to pilot a service which provides walk-in access to those electronic resources that have walk-in entitlements in M25 libraries. This would improve accessibility of electronic resources via libraries in the M25 region. Piloting walk-in access to electronic resources within a small number of institutions is intended to validate the concept of the service, and identify lessons to support the provision of such a service on a wider basis.

¹² Particularly those negotiated by JISC Collections and Eduserv CHEST on behalf of the community.

¹³ *HAERVI: HE Access to e-Resources in Visited Institutions, Best Practice Guide*, UCISA, September 2007.

2.3 M25 Consortium's requirement for a pilot service

2.3.1 The M25 Consortium has a number of requirements for a WAM25 pilot service. The service should:

- be easy for the user¹⁴ to understand, operate and be able to take away resources in printed and/or electronic format;
- provide a remote means of allowing users to discover what electronic resources they can access on a walk-in basis at the pilot institutions;
- provide workable solutions which will benefit walk-in users and minimise the burden on institutional staff resources;
- be well promoted to ensure that users are aware of the service;
- address the technical, administrative and licensing issues of providing such a service to identify lessons for wider roll-out;
- provide a basis for collaborative and shared working;
- not contravene licence and network agreements.¹⁵

2.4 Scope

2.4.1 The scope of WAM25 will be limited to walk-in access to the five pilot partner institution's electronic resources¹⁶ by HE students and staff from all M25 Consortium institutions.

2.5 Governance

2.5.1 Governance of WAM25 would be carried out within the framework of the M25 Consortium. It is envisaged the governance arrangements would comprise the following elements:

- **The M25 Consortium Steering Group** would have ultimate responsibility for the implementation and conduct of WAM25. It will report as required to HEFCE and the full M25 Consortium.
- **The WAM25 Steering Group**,¹⁷ comprising representatives from all of the pilot partner institutions and HEFCE, will support the pilot project throughout its duration. The WAM25 Steering Group will report to the M25 Consortium Steering Group and liaise with the RDWG as appropriate.
- **Project management** will be carried out within the existing M25 Systems Team,¹⁸ located at the LSE and will oversee the progress of the pilot on a day-to-day basis. A Project Manager would be seconded from the M25 Systems Team to manage the project, and any Project Officer(s) (if required) would be recruited into the M25 Systems Team.
- **The RDWG**, a working group of the M25 Consortium from which the original idea for the WAM25 service stemmed, will support the WAM25 Steering Group as appropriate.

¹⁴ Where "user" refers to staff and students within M25 Consortium institutions.

¹⁵ Most notably by being "technically robust enough to ensure that visitors cannot inadvertently access resources that are not licensed for their use" (HAERVI), and that users of networks can be held accountable for their actions.

¹⁶ Primarily those resources where the walk-in licensing entitlements have been negotiated and documented on behalf of the community by JISC Collections and Eduserv CHEST.

¹⁷ The WAM25 Steering Group was established prior to the Feasibility Study. This Group assessed the bids for the feasibility study and the study itself.

¹⁸ The M25 Systems Team is responsible for managing the M25 Consortium website and the InforM25 suite of services.

2.6 Partner institutions

- 2.6.1 Around ten institutions put themselves forward to participate in WAM25. From these, six institutions were chosen by the M25 Consortium to be pilot partners, one being London Metropolitan University. Although London Metropolitan University has been involved in the feasibility study, it would not be involved in any pilot service owing to current restructuring and separation of its Library and IT Services putting restrictions on committable resources.
- 2.6.2 Accordingly, the following five institutions have agreed, in principle, to participate in WAM25:
- University of Greenwich;
 - Institute of Education (IoE);
 - London School of Economics and Political Science (LSE);
 - London School of Hygiene and Tropical Medicine (LSHTM);
 - London South Bank University (LSBU).
- 2.6.3 The LSE is the lead site, and is where the M25 Systems Team is based.

2.7 Funding model

- 2.7.1 WAM25 will not be cost neutral: the development and roll-out of a new service will cost money; and the pilot will neither generate any income, nor make significant cost savings. The costs will be primarily operational, with the only capital costs being expenditure on IT hardware and software. WAM25 will require funding for:
- **upfront activities**, for example, planning and implementing the preferred approach;
 - **continuing activities**, for example, continuing technical support and collection of usage statistics during the course of the pilot period.
- 2.7.2 The M25 Consortium envisage that the WAM25 pilot project could be funded from two sources:
- **HEFCE funding**: a successful bid for HEFCE funding would fund the shared central activities of the pilot project, for example: project management; central support to the pilot institutions; the conduct of any tasks/development that need to be centrally conducted (*eg* collation and analysis of usage statistics);
 - **Partner institution resources**: the partner institutions could provide effort-in-kind from both Library and IT Services to support the project. The partners will also provide any hardware and software required for the institutional roll-out of WAM25.
- 2.7.3 Additionally, there is scope for some central M25 Consortium money to be made available as a contingency fund. Any spend would need to be approved by the M25 Steering Group.
- 2.7.4 The WAM25 pilot project would be unable to go ahead in its current form if HEFCE funding is not forthcoming. Should the pilot project be successful, some additional external funding would be required to roll-out the shared service across the M25 Consortium.

2.8 Envisaged plan

- 2.8.1 WAM25 will support the implementation of walk-in access to electronic resources at each of the five institutions. This will include ensuring that users are aware of the service and facilitating resource discovery by users. For example, ensuring that if a user cannot access a

resource at their home institution, obvious and easy steps are available to enable them to discover where those resources may be accessed.

2.8.2 It is envisaged that WAM25 will be conducted in four stages:

- **concept refinement and planning;**
- **development and implementation of WAM25**, for example:
 - development work by the M25 Consortium to produce some central guidance to help the pilot partner institutions decide which technical options are available and most suitable for their institution (*eg* in the form of a toolkit);
 - scoping the most appropriate resource discovery approach to establish a means for users to identify and locate the electronic resources that they require;
 - other central activities such as production of marketing material, branding work, setting up an appropriate way to collect and analyse usage statistics;
 - work by institutions to determine the walk-in entitlements for their resources (concentrating on those based on model licences in the first instance)¹⁹ and to update their library catalogues to reflect these entitlements (*eg* this electronic journal can be accessed on a walk-in basis);
 - implementing institutional solutions;
- **operation** of WAM25 mostly in the pilot partner institutions with some central activities (*eg* project management activities, support for users at institutions, analysis of usage statistics);
- **evaluation and dissemination** activities which will largely be conducted centrally; for example identifying lessons, drafting case studies, assessment of plans for wider roll-out against success of the WAM25 pilot project.

2.8.3 It is envisaged that a pilot service would be in operation for at least one calendar year, with a preceding period of development and implementation (~6 months). It is therefore likely that WAM25 would have an overall duration of some eighteen months. As it would be in operation for at least one calendar year, it could be rolled out at any time of the year. Some of the pilot partners stated a preference for this not being at busy period such as the start of an academic year; rather it should be at a quieter time when there would be more effort available.

2.8.4 The shared elements of WAM25 include central coordination of pilot activities, central support for pilot institutions (*eg* technical support, support for options appraisal), central collection of usage statistics, and an enhancement of central resource discovery services. Additionally, WAM25 will be available to all users at M25 institutions, and the outcomes of WAM25 will be documented and available to the wider M25 institutions. Should the pilot project be successful, it is envisaged that the M25 Consortium would submit a funding proposal to HEFCE to cover start-up costs of rolling the shared service out across the M25 Consortium.

¹⁹

JISC Collections and Eduserv CHEST base their agreements on model licences (*eg* the NESLi2 model licence for electronic journals) which set out terms and conditions governing who can use the resource, and how it can be used. See <http://www.jisc-collections.ac.uk/model_licence.aspx> accessed on 31 March 2008.

3 Sector and market background information

3.1 Introduction

3.1.1 This section sets out a high-level view of the environment surrounding the proposed pilot service, including strategic analysis, an outline of current provision in the sector and previous relevant work.

3.2 Strategic analysis

3.2.1 The external environment, the education sector and beyond, will influence the need for, and success of providing a service to pilot walk-in access to electronic resources. The key factors influencing the sector are set out below.

3.2.2 Political:

- **Transformational Government:** the Cabinet Office, through its Transformational Government strategy, is driving the introduction of shared services throughout the public sector.
- **Expenditure of public money:** HEIs have a formal obligation through their financial memoranda with the funding councils to deliver Value for Money (VfM) from public funds. This includes increasing efficiency and effectiveness.²⁰
- **Competition between institutions:** recent changes to the method of allocating teaching funds and the introduction of performance monitoring have increased the competition between institutions to attract students.
- **Public access to information resources:** Government has acknowledged the significance of providing access for members of the public to scientific journals and other materials held in academic libraries.

3.2.3 Economic:

- **Open access:** peer-reviewed resources (*eg* journal articles, conference papers and technical reports) are increasingly being published on the Internet and are freely available to anyone, anywhere at anytime.
- **Knowledge economy:** the current and future earning power of the economy is predicated on effective and efficient use of information. Enabling this for students and researchers is increasingly important.
- **VfM from resources:** recent and sustained investment in the infrastructure and resources to support better use of ICT in education and research needs to demonstrate a real return, particularly where investment was to increase efficiency.
- **Expenditure on academic resources:** expenditure on books, serials, electronic resources and interlibrary lending continues to increase annually, although this is unlikely to be sustainable.²¹
- **Complex licence management:** many resource licences are now negotiated centrally on behalf of the sector (*eg* by JISC Collections and EduserV CHEST), although institutions still negotiate a significant number independently. Licences are generally complicated to understand and manage, and have non-standardised terminology.

²⁰ For example, as part of their commitment to achieve VfM, HEFCE is working with the HE sector to maximise knowledge transfer and exchange by working in partnership with organisations and business external to UK HEIs.

²¹ *Library trends*, Claire Creaser, LISU.

- **Building and utility costs:** institutional expenditure on buildings and utilities continues to increase.

3.2.4 Societal:

- **Modes of student working:** students and staff progressively expect information to be available online, at their fingertips, when they want it. They become frustrated when information is not instantly accessible in an easy-to-use form.
- **Location of working:** students and staff are increasingly mobile and expect to be able to be able to conduct their research and studies away from their institutions.
- **Resource discovery techniques:** students and staff are adept at finding resources in the quickest most convenient manner. "Power browsing" using Internet search engines is increasingly common, as are informal methods of obtaining resources without having to negotiate access controls (*eg* obtaining resources from friends).
- **Use of academic libraries:** academic libraries are changing to meet the evolving demands of their users as the technological and information environment advances. For example, libraries are evolving from being a "physical space to the library as a virtual digital environment".²²

3.2.5 Technological:

- **Digitisation of resources:** the primary form of access to many academic journals is now in electronic format. There is also an increasing proportion of resources purchased in electronic format only.
- **Changing access management landscape:** the access management landscape for education and research is currently in a period of flux, with access controls converging to interoperable infrastructures.²³

3.2.6 Education/research:

- **Increasingly multi-disciplinary courses and research across institutions:** courses are becoming increasingly multi-disciplinary and require access to a broader range of resources.
- **Tradition of providing access to resources to non-members:** HE institutions have a collegiate culture, and have a long tradition of providing non-member access to the (print) resources held in academic libraries.
- **Clarification of access rights:** continuing work by JISC (JISC Model Licences), Eduserv (Eduserv CHEST) and HAERVI with publishers is helping to clarify the "walk-in access" terminology and the licensing conditions which permit access to resources.

3.3 Existing access to resources in HE institutions

Methods of access

3.3.1 Users obtain resources to support their study and research in a variety of ways, for example:

- licensed resources from their own institution;
- open access resources from the internet;
- from inter-library loans, or visiting other institutional libraries;

²² *Information behaviour of the researcher of the future: a cyber briefing paper.* UCL. 11 January 2008.

²³ See <<http://www.jisc.ac.uk/federation>>, accessed on 9 April 2008.

- from the British Library;
- from friends and colleagues at other institutions;
- by emailing authors;
- by sharing access credentials.

Print resources at visited institutions

- 3.3.2 There are a number of national and regional collaborative schemes in place across the UK to allow walk-in users access to print materials, and such practice is common throughout UK HE libraries. The broadest and most popular frameworks are the SCONUL Access schemes in which most HE libraries in the UK participate.²⁴ These are reciprocal access schemes granting a range of reference and borrowing privileges to staff and students of participating HE institutions.

Electronic resources at visited institutions

- 3.3.3 Allowing walk-in access to electronic resources is much less common than access to print resources; the study team is not aware of any reciprocal schemes in operation across UK HE libraries. Some members of the UK Computing Plus scheme do provide access to electronic resources, but this is not mandated.²⁵ The scheme only has limited uptake,²⁶ and the level of access depends on the institution – they may chose to offer access to licensed software applications, electronic resources or simply access to the Internet.
- 3.3.4 The regional North West Academic Libraries (NoWAL) consortium has been considering providing reciprocal visitor access to electronic resources since 2002, in line with the Consortium's tradition of enhancing services. However, provision of such a service is currently not mandated across NoWAL member libraries and is not provided on a reciprocal basis. The complexity of the problem is the primary reason that NoWAL has chosen not to mandate provision of walk-in access to electronic resources, and the HAERVI project (see sub-section 3.4) did not deliver as much assistance in providing workable solutions as expected. Additionally, the UK educational access management landscape is currently undergoing significant changes.
- 3.3.5 It has been found that, individually, a number of institutions across the UK do allow walk-in access to those electronic resources that permit it.²⁷ However, these instances are the exceptions rather than the norm. In such cases, the service is provided in various ways. For example, providing dedicated terminals for walk-in users, or allowing walk-in users to access electronic resources from any of the computers in the library. Administrative processes also vary, as does the additional functionality provided (*eg* access to the internet, to licensed software applications and printing and saving facilities).

²⁴ There are a number of SCONUL Schemes in existence including the SCONUL Access Scheme (for research students and staff) and the SCONUL vacation access scheme (for taught postgraduates and undergraduates).

²⁵ UK Computing Plus is a reciprocal scheme whereby members offer access to library-based computers for walk-in users registered under the scheme

²⁶ There are eighteen members across the UK, including the University of Durham, the University of Surrey and Kingston University. Information taken from <<http://www.uklibrariesplus.ac.uk/ukcp/index.htm>>, accessed on 27 March 2008.

²⁷ For example, the LSE, University of Reading, University of Bolton and Imperial. Cardiff is investigating provision.

3.4 Relevant work and initiatives

Introduction

3.4.1 In recent years, the problem of allowing walk-in access to electronic resources and related issues have been addressed by a number of key stakeholders in the community, including the Joint Information Systems Committee (JISC), the Universities and Colleges Information Systems Association (UCISA), SCONUL and the Research Information Network (RIN). The topics that have been addressed include:

- licensing issues;
- resource discovery;
- analysis of the issues and provision of best practice guidance;
- access management.

Licensing issues

3.4.2 A range of work has been conducted, primarily by JISC Collections and Eduserv CHEST, addressing the licence conditions surrounding walk-in access to electronic resources, including:

- **clarification of the term “walk-in user”**, where a walk-in user is defined to be “a person who is not a currently registered student, faculty member or employee of the licensed institution but is permitted by the institution to access the secure network via a computer or terminal within the Library premises is deemed to be an authorised user but only for the duration they are within the Library premises.”²⁸
- **standardisation of licences**: JISC Collections and Eduserv CHEST base their agreements on model licences (eg the NESLi2 model licence for electronic journals) which set out terms and conditions governing who can use the resource, and how it can be used;
- **master list of resources licensed for walk-in use**: JISC Collections and Eduserv CHEST have created and maintain master lists of centrally negotiated resources that permit walk-in access.²⁹

Resource discovery

3.4.3 The JISC Resource Discovery Programme (January 2008 – December 2010) is addressing the challenge of developing ways to “support seamless, flexible and comprehensive resource discovery across a well managed information environment to support the emerging knowledge economy”.³⁰

Issues and best practice guidance

3.4.4 A RIN paper was published in 2006 which addresses the issues of providing access to electronic resources in HE institutions for members of the public.³¹ More recently, the HAERVI project produced a very useful best practice document detailing issues, future directions and

²⁸ Taken from <http://www.eduserv.org.uk/chest/agreements/software/walk_in_users> accessed on 31 March 2008.

²⁹ See <www.jiscollections.ac.uk/model_licence/coll_walk_in_user_access.aspx> and <www.eduserv.org.uk/chest/agreements/software/walk_in_users>.

³⁰ Taken from <<http://www.jisc.ac.uk/whatwedo/programmes/resourcediscovery.aspx>> accessed on 31 March 2008.

³¹ *Researchers and discovery services: behaviours perceptions and needs*. The RIN. November 2006.

recommendations. The outcomes of the HAERVI project were widely anticipated, but it fell short of producing the technical toolkit that was originally planned.³² However, a "HAERVI2" project was informally proposed at a recent JISC/SCONUL briefing day.³³ It was suggested that a HAERVI2 project should address:³⁴

- technical development (*eg* linking terminal facilities to Shibboleth);
- agreeing more model licence deals (*eg* national and regional);
- broadening the work to consider other types of walk-in users in addition to the HE community (*eg* alumni, business engagement, retired staff, members of the public).

Access management

3.4.5 JISC-led initiatives on federated access management³⁵ and JANET Roaming³⁶ are ongoing. The HAERVI report outlined technical solutions for walk-in access to electronic resources based on these emerging technologies,³⁷ noting that they could offer an obvious route towards reduction of the ongoing administrative burden faced by local staff when dealing with walk-in users. However, the uptake of both technologies and the ability to use them to enable new capabilities is limited at present. Consequently, solutions using these technologies will not be possible in this pilot project.

3.5 Issues with walk-in access to electronic resources

3.5.1 Although providing walk-in access to electronic resources is possible, there are a number of issues which have prevented wider provision of the service. Issues that have been addressed in previous work and raised during the conduct of this study include:

- **Confusing concept:** the concept of walk-in access to a visited institution's electronic resources has been found to be confusing and non-intuitive both for users and institutional staff. For users, confusion centres on the need to visit an institution in person when the resources are available electronically. There is also confusion, for users and sometimes institutions, between accessing your own institution's resources and accessing the visited institution's resources, and where services such as JANET Roaming and schemes such as UK Computing Plus fit in.
- **Complicated licence management:** in order to remain within contractual terms, libraries should maintain an accurate record of the walk-in entitlements of their online resources. In the current environment this may be confusing, time consuming and frustrating to set-up and maintain. Whilst many centrally negotiated licence bundles now explicitly refer to walk-in use and often allow walk-in access, this is not the case for independently negotiated licence agreements that are not based on model licences.
- **Resource discovery is hard:** resource discovery encapsulates finding out about the existence of a resource, if you are entitled to access that resource, and how you go about accessing that resource. Although a number of cross-institutional search services

³² This has been a barrier for one Consortium in implementing a reciprocal walk-in access to electronic resources.
³³ *Access management for libraries: joint SCONUL/JISC briefing*, 7 March 2008, One Great George Street, London.
³⁴ HAERVI2 is unfunded at present.

³⁵ The UK federation is a service which mediates the trust relationship between Identity Providers (IdPs) and Service Providers (SPs) within the UK education and research sector. See <<http://www.ukfederation.org.uk>> accessed on 1 April 2008.

³⁶ See <http://www.ja.net/services/authentication-and-authorisation/janet_roaming.html> accessed on 1 April 2008.

³⁷ In this context, JANET Roaming solves the problem of walk-in users gaining access to the authenticated network; whilst the federation and Shibboleth can partly, but not wholly solve the issue of visitor authentication and authorisation to access content at the visited institution.

are available,³⁸ resource discovery is not currently enabled in a seamless, comprehensive manner for either M25 institutional resources or national resources. This can result in time-consuming searches for resources, and users either choosing to go without those resources or using informal resource discovery activities to access them. It has been found that users are reluctant to travel to other institutions, and would generally consider it only if was certain they would get the specific resources (*ie* journal articles) they set out for.

- **Low priority of walk-in users:** an institution's own users will always be the primary responsibility and concern for library and IT services. Many libraries operate support services and helpdesks which are already heavily utilised by their own users. Providing support to walk-in users to facilitate access to electronic resources would put greater pressure on these resources, and there are concerns that it might be overwhelming and rationed access might be necessary. Similarly, concerns have been raised over an imbalance in the number of users an institution might send out against the number of walk-in users it might receive. It should be noted that original concerns for overwhelmed helpdesks whilst pushing reciprocal access to printed materials proved to be groundless.
- **Wide range of access controls:** there are a variety of established (*eg* IP authentication) and emerging (*eg* Shibboleth) technical solutions available to institutions to authenticate and authorise users. The more sophisticated seamless solutions are based on emerging technologies that are not yet widely adopted and would place requirements on institutions (*eg* to be a member of the UK federation). These solutions would require the most effort to implement. Simpler solutions (such as locked down terminals) would take less effort to implement, but would require more continuing effort to oversee. Providing walk-in access to electronic resources is not likely to change an institution's access management strategy, so institutions would have to work within the boundaries of their current access management processes and the resources available to implement a technical solution. Examples of technical solutions are provided at Annex D.
- **Accountable network usage:** giving walk-in users access to electronic resources is a concern as it inevitably means that institutions will have to give access to part(s) of their secure network.³⁹ To support network security, institutions connected to JANET are subject to the JANET Acceptable Use Policy⁴⁰ which imposes a requirement to have appropriate measures in place for giving, controlling and accounting for access to JANET. This requires institutions to think carefully about how they give access to walk-in users, and has been found to be one of the biggest concerns in providing such a service.
- **Coordination is necessary:** implementing a service which allows walk-in access to electronic resources affects a number of different areas within an institution, including: licence management, access management, identity management, helpdesk support. However, as the responsibilities for these areas will be split between many staff and divisions (*eg* between separate library and IT services), coordination of resources and activities can be difficult.
- **Remembering the user experience:** complicated administrative and technical issues, together with institutional policies relating to user access can lead to a variety of procedures to allow visitor access to institutions. If these procedures are not clear to walk-in users, or if there are too many hurdles to overcome the visitor may be deterred from using the service.

³⁸ *Eg* SUNCAT, COPAC and InforM25's Search Catalogue facility.

³⁹ The terms under which walk-in access is allowed under most licence agreements require that access is provided through the HEI's secure network.

⁴⁰ See <<http://www.ja.net/services/publications/policy/aup.html>> accessed on 1 April 2008.

4 Detailed analysis

4.1 Introduction

- 4.1.1 This section provides a more detailed information and analysis, covering the current provision within M25 Consortium institutions, the demand for WAM25 and more information about the pilot partner institutions.

4.2 Current provision within M25 Consortium institutions for walk-in access

Resource discovery

- 4.2.1 There are currently a number of ways a user can find out which resources are available at what institutions, both on an individual institutional basis and cross-institutional basis. The services that allow cross-institutional services are not comprehensive for all M25 institutions, they vary in the types of resources they cover, and allow searching by different methods (*ie* by journal title, by region). Resource discovery services include:

- Individual **library catalogues**, *eg* Online Public Access Catalogues (OPAC), accessed through institutional websites (although some catalogues can be hidden within a secure network).
- **Telephoning** individual libraries.
- The **InforM25 search catalogue service** which allows you to search for resources at the level of the resource title throughout the M25 institutions on a regional basis. It is comprehensive for print resources but not for electronic resources. InforM25 is funded by members of the M25 Consortium.
- The **InforM25 Union List of Serials** which allows the user to search the periodical holdings of the constituent libraries of the University of London and the University of Westminster.
- **COPAC**, the merged catalogues of major university and research libraries. It draws from records supplied by the Consortium of Research Libraries in the British Isles (CURL), and comprises records from members of CURL and a few other specialist databases and collections. It is a MIMAS Service and is funded by JISC.
- The Serials UNion CATalogue (**SUNCAT**) which is a merged journal catalogue of 60 major university and research libraries. SUNCAT is provided by EDINA and funded solely by JISC. The comprehensiveness of SUNCAT is reliant on the catalogue information it receives from institutions, but covers both print and electronic resources.

- 4.2.2 There are a number of ways for users in the M25 Consortium to find out how to get access to a resource once it has been identified, for example:

- **access information on individual library web pages;**
- **the InforM25 "Find a Library" service**, which provides contact details, how to get to the library and its key resource collections;
- **the InforM25 "Visit a Library" service** which gives information on the access rights at M25 institutions categorised by which institution they are from, what type of student they are and where they would like to visit (*eg* Postgraduate taught: full time from the LSE wanting to visit Greenwich University). Visit a Library gives a variety of information

about, for example, what you can do at the institution, how you identify yourself and any charges payable.

Accessing resources at visited M25 Consortium institutions

- 4.2.3 Users access resources at visited institutions by both formal and informal means. For example, informally users obtain resources from friends at other institutions; formally, there are mechanisms in place to allow users walk-in access to other institutions. Access to both print and electronic resources is available to a varying degree:
- **Print resources:** all institutions within the M25 Consortium provide access to print resources on a reciprocal basis. The majority of institutions participate in the SCONUL Access schemes, although there are a number of other schemes such as the M25 Scheme which is now used primarily by non-HE institutions which are not eligible to join the SCONUL scheme.
 - **Electronic resources:** only a handful of institutions (approximately ten) within the M25 Consortium provide access to electronic resources for walk-in users (eg LSE, Reading University, UCL and Sussex University). The service provided varies, for example, from having dedicated terminals to using the OPAC terminals, and from providing printing facilities to not allowing printing or saving. All services have been developed and implemented independently. There are a variety of rationales for providing the service, for example for kudos and that there should not be any barriers to permissible access.
- 4.2.4 Ten M25 Consortium institutions are members of the UK Computing Plus scheme, and provide varying levels of access to library terminals and (less commonly) electronic resources.
- 4.2.5 Users can gain access to institutions in a variety of ways depending on the institution. Some institutions allow reference access simply on presentation of a SCONUL Access card; others require registration of users to allow borrowing rights; and some institutions issue all walk-in users with institutional library cards after authentication of their identity.

4.3 Demand for walk-in access to electronic resources

- 4.3.1 With only a handful of institutions currently providing walk-in access to electronic resources, and limited collection and breakdown of statistics, the demand for a service providing walk-in access to electronic resources cannot be quantitatively assessed. However, some evaluation can be made based on analysis of SCONUL statistics for access to print resources.⁴¹
- 4.3.2 Since 2002, the number of registered SCONUL external users⁴² within the M25 Consortium institutions has continued to rise, increasing from about 122,000 external users in 2002-2003 to approximately 167,000 in 2005-2006. The continued rise in number of registered external users indicates that there is a requirement for users to access resources beyond those held at their own institution. If it is assumed that those registered users would also wish (or prefer) to access electronic resources, particularly as academic libraries are increasingly buying resources only in electronic form, then it is likely that there will be a demand for such a pilot

⁴¹ SCONUL has been collecting and publishing statistics from university libraries for over twelve years, with the aim of providing sound information on which policy decisions can be based. Since 1995 the processing of the data has been carried out by the Library and Information Statistics Unit (LISU) at Loughborough University. Taken from <<http://www.sconul.ac.uk/statistics/>> accessed on 1 April 2008.

⁴² Where registered users refers to those external users who have registered with institutions to have borrowing rights. This will be a conservative estimate of the walk-in users received by each institution, as institutions give access to users under a variety of access schemes, and for reference only access there is often no requirement to register with the institution.

service. Additionally, many of the pilot partner institutions have reported that they do get requests for access to electronic resources.

- 4.3.3 The demand from institutions to participate in WAM25 can also be assessed. An argument in favour of WAM25 is the questionable sustainability of institutions spending increasing amounts of money on electronic resources, to support all of their staff and students, particularly when research and courses are becoming increasingly multi-disciplinary. However, a key concern is that institutions will be overwhelmed with walk-in users (see sub-section 3.5). When questioned about interest in participation and contribution to an M25 Consortium initiative for walk-in access to electronic resources, all of the respondents answered favourably.⁴³

4.4 The pilot partner institutions

Introduction

- 4.4.1 The five pilot partner institutions that have agreed, in principle, to participate in a pilot service cover a range of sizes, types of institution, resource holdings and available IT support. The key information about the pilot partners on which this sub-section is based is provided at Annex C. In summary, the institutions:

- range from small Bloomsbury Colleges (*eg* IoE with 7,000 students) to generalist universities (*eg* LSBU with 23,000 students), with one Russell Group institution (LSE);
- have a mixture of highly specialised resources (*eg* LSHTM) and broader resources; however physical science resources are not well covered;
- have a geographical bias to central London;
- are a mixture of institutions focusing on providing undergraduate taught resources, to those focusing on postgraduate research resources.

- 4.4.2 Overall the pilot partner institutions were found to be committed to WAM25, and have attended interviews, provided information and been available for discussions throughout the feasibility study. Whilst some institutions had clear ideas about the service they would like to provide, for others the feasibility study has required them to address the practicalities and issues of providing such a service, sometimes raising concerns.

Electronic resources

- 4.4.3 The pilot partner institutions purchase a range of electronic journals, electronic databases and electronic books. The LSE purchases far more (electronic) resources than any of the other institutions. The majority of electronic resources purchased by all partner institutions are in journal format.

- 4.4.4 All of the partner institutions still purchase some print resources, however, the emphasis is gradually moving to purchasing electronic-only resources. For example, in 2005/2006 Greenwich University purchased 4,558 electronic-only periodical titles, but only 141 titles in both print and electronic forms. The percentage of electronic-only serial subscriptions has, on average for the pilot partner institutions, increased from ~10% in 2001/2002 to ~45% in 2005/2006.

⁴³

Twenty three responses were obtained from a maximum of fifty eight possible responses.

Current provision

- 4.4.5 Of the pilot institutions, only the LSE currently provides walk-in access to electronic resources; it has done so for around five years. The other institutions do allow walk-in users access to their library catalogues at dedicated OPAC terminals, but not to the full text electronic articles or other IT facilities.
- 4.4.6 It is not possible to estimate the cost of provision at the LSE because its current solution has been implemented over a number of years, the implementation and support effort have not been recorded, and the service supports a wider set of users than just HE. However, it was estimated by the LSE that it would take around one week of effort to set up a dedicated terminal from scratch, minimal continuing technical support is required and the helpdesk provides support to walk-in users which it is not overwhelmed by.

IT support

- 4.4.7 The pilot institutions have a range of IT support available, although it is often limited. Some institutions having dedicated IT support teams within the library (*eg* the LSE), others have converged library and IT Services, whilst some have no dedicated IT support. All of the pilot partner institutions are currently reviewing or changing their access management infrastructure which is a key priority for IT resources. As such, the pilot partners who do not provide walk-in access are looking to implement the least resource intensive technical solution via locked-down PCs (either dedicated terminals or OPAC terminals). The pilot partners are also, therefore, not in the position to implement the more sophisticated solutions in the HAERVI report based on federated access management. Long-term progress in this area would benefit the enhancements and extensions of WAM25.

Drivers to be part of WAM25

- 4.4.8 The primary responsibility of all of the partner institutions is their own users, and it was clear at all institutions that WAM25 must not be provided to the detriment of the service provided to their own users. However, walk-in users are considered to be important, particularly for some institutions which have excellent resource collections and large numbers of walk-in users. The range of reasons given by partner institutions for taking part in WAM25 includes:
- to obtain the benefits of reciprocal access at other institutions (*eg* for specialist colleges that teach multi-disciplinary courses, or for institutions that do not have such good provision for research students);
 - to exploit fully the benefits of important collections, including to allow public access;
 - to ensure that there are no more barriers to access than necessary;
 - to reduce or ultimately stop purchase of some print collections so that space can be saved;
 - kudos;
 - to drive a collaborative service which is unlikely to be widely implemented on an independent basis.

5 WAM25

5.1 Introduction

5.1.1 This section sets out more detail about WAM25, covering:

- the various options for a pilot service;
- the anticipated costs, benefits and risks;
- envisaged constraints and issues;
- plans for dissemination to the sector;
- and, possible future enhancements and extensions.

5.2 Options for a pilot service

Critical success factors

5.2.1 In order to validate the concept of providing walk-in access to electronic resources, the following factors need to be considered:

- upfront consideration of the means and measures to assess the success or failure of the pilot;
- sufficient new resources (*ie* not already obtainable through own institution or other access means) must be made available in users' locality;
- potential walk-in users must be aware of the offering;
- users must be able to do discover available resources in advance of visiting other institutions;
- resource entitlements must be known by users in advance of visiting other institutions;
- the visitor experience must be straightforward across institutions.

5.2.2 If these factors are not addressed then the pilot is unlikely to be an effective test of the concept.

Exemplar options

5.2.3 The options for a pilot service can be broken down into the three elements of the process whereby walk-in users gain access to e-resources at visited institutions, namely:

- **discovering resources:** how a user finds out what resources are available at institutions other than their own, if they are entitled to access the resources they want, and how they can access those resources;
- **visiting libraries:** encompasses the policy, administrative processes and systems in place which determine how a user can access an institution (*eg* registration of users, provision of credentials);
- **accessing resources:** the technical solutions by which a user gains access to the electronic resources.

5.2.4 For each of these elements, a number of exemplar options have been developed which are set out in the table overleaf.

Element	Option
1. Discovering resources ⁴⁴	1a. No assisted resource discovery
	1b. Provide simple means for users to discover resources to which they are entitled ⁴⁵
	1c. Develop a "one-stop-shop" for resource discovery ⁴⁶
2. Visiting libraries	2a. Retain existing, or implement independent, walk-in controls
	2b. Build on existing common reciprocal controls (eg SCOUNL Access)
	2c. Design and roll-out bespoke "WAM25" specific controls
3. Accessing resources	3a. Implement most straightforward technical solutions
	3b. Implement the most straightforward technical solutions, making use of common elements wherever possible
	3c. Single technical solution for all partners

Table 5-1: possible options for a pilot service

5.2.5 To decide on the preferred combination of options, the options must be assessed against their expected costs, benefits and risks to see which combination provides the optimum balance. The expected costs, benefits and risks of a pilot service are set out in the next section, and the options appraisal is set out at Annex E.

5.3 Anticipated costs, benefits and risks

5.3.1 The actual costs, benefits and risks of WAM25 will depend on the specific option chosen. However, the anticipated costs, benefits and risks can be considered. They are set out below based on information provided by the M25 Consortium and pilot partner institutions.

Costs and payback

5.3.2 The cost of WAM25 will depend on the option chosen for each element. The costs will include upfront and continuing costs, and can be broken down into:

- institutional effort, both Library and IT Services;
- institutional provision of IT hardware and software;
- central M25 effort, including project management and any other activities.

5.3.3 The options have not been costed in detail as there is not enough information available for each of the options; however they can be assigned relative costs (eg High, Medium or Low) (see Annex E).

⁴⁴ Option 1b and 1c assume that the pilot partner institutions will work out and record walk-in licence user entitlements as a minimum.

⁴⁵ Exemplar options which would enable this include: developing a simple webpage which gives links to the pilot partner library catalogues where the walk-in entitlements are recorded; or, developing a new InforM25 tool which allows users to search for those resources which allow walk-in access. Scoping at the beginning of the pilot project would provide a detailed plan.

⁴⁶ For example, where a user can visit a single central website and search for resources at other institutions which they are entitled to have access to, at the journal article level.

5.3.4 The value of a pilot service to the HE community can be assessed by considering counterfactual costs, *ie* the costs of alternative scenarios. These scenarios include:

- **No walk-in access to electronic resources is provided:** if no further walk-in access to electronic resources is provided than at the current time, the current spending on electronic resources will not be maximised. For example, a pilot service at an estimated cost of £130,000 will make ~£2M of electronic resources available to the wider M25 Consortium members.⁴⁷ Also money that has funded work in the wider community by JISC, UCISA and SCONUL will not be exploited.
- **Independent development and provision of walk-in access to electronic resources:** if services were developed independently by the 58 M25 Consortium institutions, there would be significant duplication of effort by institutions. For example, they would have to make a number of decisions in isolation (*eg* what technical and administrative options are available). Additionally, they would have to work out independent means for users to discover which resources were now available for them to access. This duplication of effort may cost each institution an additional £10,000 in effort (approximately £0.5M across the M25 Consortium).

Benefits

5.3.5 There are a range of anticipated financial and non-financial benefits that WAM25 would provide which are summarised below. Each option will not provide all of these benefits; those benefits that each option does provide are set out at Annex E, and the options for each element can be relatively assessed as providing, High, Medium or Low benefits.

5.3.6 Potential financial benefits:

- savings on storage space within institutions through rationalisation of an institution's print holdings;
- reduced spending on inter-library-loans;
- an increase in the number of paying walk-in users (*eg* particularly for specialist and high profile institutions);
- an increase in the VfM obtained from the investment in electronic-only resources across the M25 Consortium.

5.3.7 Potential non-financial benefits:

- improved collaboration in partnering institutions;
- user access to a broader range of resources, potentially quicker and cheaper;⁴⁸
- quicker access to resources;
- better cross-institution resource discovery services;
- less illicit resource use;
- kudos for the M25 Consortium;
- increased value of being an M25 Consortium member;
- increased exploitation of work in the wider community (*eg* by JISC, UCISA and SCONUL).

⁴⁷

Based on the figures set out in Annex C for expenditure on electronic only resources in 2005/2006 within the pilot partner institutions. Although not all resources allow walk-in access, institutions largely do not know which of their resources permit it. It is assumed, based on the work by JISC Collections and Eduserv CHEST, that the majority do.

⁴⁸

All the benefits assume that greater availability of resources leads to better learning and research outcomes. It is not for this study to challenge this assumption. However, it can be assumed that freeing up staff and student time in providing resources could lead to greater attention on teaching and research processes.

5.3.8 These benefits accumulate to offer a useful advantage for M25 institutions. Benefits would scale up as the number of institutions, and particularly the range of resource holdings and span of geographic locations, increases in any scaling up. If a majority of institutions to participate these benefits would certainly be real and significant.

Risks

5.3.9 The key risks to the success of WAM25 are set out below. Those risks, which are considered the primary risks and cannot easily be mitigated once the pilot project is underway, are in bold text.

Risk #	Description of risk	Mitigating actions
1	The pilot project is not well managed resulting in confusion, duplication of effort and an unsuccessful pilot service	Ensure that the governance and management of WAM25 is simple and transparent, and that the responsibilities of individuals are understood. Make certain that good communication and problem solving are key elements of the management of the service.
2	Pilot partner institutions pull out from the pilot project, which is detrimental to the use of WAM25 and its success.	Ensure that pilot institutions are committed and well informed, and ensure that there are strategies in place to deal with loss of pilot partner institutions.
3	Pilot partners do not work within the constraints of their licensing agreements leading to problems with publishers and bad press for WAM25.	Make sure that the pilot institutions know that keeping within licence conditions is a minimum requirement, and that institutions are aware of the risks of not doing so.
4	Pilot partners cannot contribute the required "effort in kind" to the project, particularly from the IT perspective for the duration of the project resulting in problems implementing and conducting the pilot.	Ensure that WAM25 is properly planned, and that buy-in from all relevant areas within institutions is achieved from the start.
5	Demand at some pilot institutions exceeds capacity and becomes problematic to support, affecting the service provided to an institution's own users.	Monitor the use of WAM25 throughout its duration, and be ready to implement solutions such as limiting usage time if demand gets too high.
6	The cost of WAM25 exceeds the budget leading to difficulty in completing the pilot.	Ensure that WAM25 is well planned and managed, and that there are plans in place to deal with any overspend. For example, a small contingency budget is made available from the M25 Consortium.
7	Inadequate resource discovery services and insufficient promotion of the service lead to the service not being used and do not allow the concept of WAM25 to be tested.	Ensure that resource discovery and marketing are addressed effectively, and that the M25 Consortium and partner institutions understand the user requirements.

Table 5-2: anticipated risks of a WAM25 pilot service (part 1 of 2)

Risk #	Description of risk	Mitigating actions
8	The M25 Systems Team cannot provide the effort required to support WAM25 as the demand from other M25 activities is too high, which leads to discord and a breakdown in relations with the partner institutions.	Make certain that the effort involved in WAM25 is properly planned and resourced, and is considered alongside other commitments.
9	A bad user experience discourages repeat use of the service, and impacts on the success of the pilot.	Ensure that the users are consulted at the development stage, and that WAM25 is developed in line with user requirements.

Table 5-2: anticipated risks of a WAM25 pilot service (part 2 of 2)

5.4 Envisaged constraints/issues

5.4.1 The envisaged constraints and issues of providing walk-in access to electronic resources have already been discussed at a high level at sub-section 3.5. Additional constraints and issues that directly relate to providing walk-in access throughout the proposed pilot partner institutions include:

- varied and often limited IT support will affect the technical solutions that are achievable;
- resource discovery is not the main focus of this pilot service;
- there may not be a critical mass of institutions taking part in the pilot to validate the concept of WAM25.

5.5 Plans for dissemination to the sector

5.5.1 WAM25 would support any future enhancements or extensions to service by disseminating the outcomes of the pilot. Activities may include:

- identification of usage trends by collection of statistics throughout the pilot;
- identification of lessons from the pilot;
- production of case studies and best practice guidance.

5.6 Future enhancements and extensions

5.6.1 It is envisaged by the M25 Consortium that if WAM25 is successful, there are a number of ways it can be enhanced and extended in the future, for example:

- **Scaling up:** it is anticipated that the WAM25 service could be rolled out across the M25 Consortium institutions within two-to-three years. Non-HE institutions will need to be considered separately.
- **Replication:** lessons and best practice that comes out of WAM25 can be used to replicate the scheme in other regions.
- **Opening up to a wider audience:** the WAM25 service and any extensions could be opened up to non-HE users (where licences permit), for example to members of the public.

- **Wider resource base:** as and when they are clarified or the licences allow, WAM25 could be broadened to include licences that are independently negotiated.

5.7 VAT

- 5.7.1 The current position within the M25 Consortium is that the subscriptions paid by institutions are not subject to VAT and the Consortium has recently obtained legal advice that, as an organisation dedicated to promoting education and research, it is VAT exempt. Its activities include provision of training and staff development, resource discovery services and reciprocal library access to students and researchers. The Consortium therefore believes that it is unlikely that, should it decide to fund an ongoing WAM25 service from the WAM25 project, via an increase in subscriptions, there would not be any VAT implications of doing so.

6 Assessment

6.1 Introduction

6.1.1 This section provides an assessment of the feasibility of WAM25, based on the information set out in the previous sections. It is presented within the key areas of a business case:

- the strategic case;
- the economic case;
- the financial case;
- the project management case.

6.1.2 As a whole, this assessment will help answer the two key questions: could and should WAM25 be done?

6.2 The strategic case

Introduction

6.2.1 This sub-section considers how WAM25 fits with the strategic issues and drivers set out in this document in order to answer questions such as: is WAM25 needed? if it is needed should it be done now? and, how well does WAM25 fit current priorities?

Is there fit with strategic drivers?

6.2.2 WAM25 is a good fit for the following strategic drivers:

- achieving VfM by maximising knowledge transfer;
- driving forward the Knowledge Economy;
- increased digitisation;
- increasingly multi-disciplinary nature of courses;
- work in the community addressing licence clarification, seamless resource discovery and the issues of providing walk-in access to electronic resources.

6.2.3 In contrast, WAM25 is not a good fit with the following strategic drivers:

- users progressively expecting information to be available at their fingertips;
- user expectations for remote working;
- user resource discovery strategies - finding resources in the quickest, most convenient manner.

6.2.4 There are important drivers which both support and oppose WAM25, making it difficult to assess if there is a good strategic fit with external drivers. However, licence conditions do not permit electronic resources to be accessed by non-members remote from the visited institution, and any change to this would require a major shift in the way resources are purchased across the HE sector which is not anticipated in the foreseeable future. Therefore, within these constraints, it is assessed that there is a good fit with the strategic drivers.

Is WAM25 needed?

- 6.2.5 Walk-in users who can legitimately gain access to print publications in HE libraries are frequently prevented from accessing an increasing proportion of an institutions' resources, which are purchased in electronic format. In previous sections, many issues have been identified which have prevented the majority of institutions providing access to their electronic resources, although some institutions have chosen to do so in isolation. Current work in the sector is seeking to address many of these issues; however, there is no definitive guidance available to support institutions.
- 6.2.6 As discussed on the previous page, walk-in access to electronic resources is likely to be the only permissible means of access for visitors in the foreseeable future, therefore, it is assessed that WAM25 is needed. However, consideration must be given to outreach and training activities, and how users conduct their studies and research to ensure that the service is understood and accessible.

Is it needed now?

- 6.2.7 There are reasons both for and against WAM25 being implemented now. Drivers for it being done now include:
- exploitation of other relevant work in the sector;
 - resources are increasingly unavailable to walk-in users as a result of the progressive switch to digital resources.
- 6.2.8 Arguments against WAM25 being implemented now include:
- the access management landscape is in a significant period of flux such that some of the more sophisticated technical solutions based on emerging technologies that may be possible in the near future are not achievable now;
 - the sector as a whole is faced with significant resource discovery challenges, with multiple centralised services available for cross-searching which are not comprehensive for resources or institutions, and are dependent on institutional OPAC catalogue information which is often incomplete.
- 6.2.9 Taking both arguments into account it is the project team's view that WAM25 should be done now, so that users are not prevented from gaining access to resources that they are entitled to access.
- 6.2.10 Should there be a significant change to the way resources are purchased across the sector in the future (*eg* one licence for all of University of London, or even HE, with pay-per-use), such that all electronic resources can be accessed by any HE user from anywhere, WAM25 would not be needed. Similarly, if all resources become publicly available, for example under the Open Access initiative, then WAM25 would not be needed. These major shifts in the way resources are produced and purchased across the HE sector are not anticipated in the next 5 years. The RDWG consider it likely that WAM25 will be an interim solution.

Is there fit with M25 Consortium's, institutional and other strategies?

- 6.2.11 This pilot service fits well with the M25 Consortium's collaborative culture and mission to improve library and information services. The M25 Consortium has been involved in a number of initiatives over the years to improve services and resources available for users of academic libraries, indeed the SCONUL Access scheme originated in the M25 Consortium.

- 6.2.12 The M25 Consortium is also an ideal base to conduct a pilot service. It has a large number of institutions within a small area, often with large or specialised collections of resources.
- 6.2.13 Dedicating resources to provide services to walk-in users may not always be high on an institution's priorities, but the pilot partners recognise the importance of providing access to walk-in users.
- 6.2.14 RIN and SCONUL activity on walk-in access to electronic resources indicate that enabling such access is a national issue, and NoWAL aspirations indicate that WAM25 outcomes will benefit other regions.

6.3 Options appraisal

Introduction

- 6.3.1 This sub-section considers the exemplar options that have been explored for WAM25, whether they are sufficient (*eg* are they broad enough, innovative enough, collaborative enough), and identification of preferred approaches and options.

Have a wide range of options been explored?

- 6.3.2 WAM25 has been broken down into the three elements of the process whereby walk-in users gain access to e-resources at visited institutions,⁴⁹ and a number of options have been explored for each element. The options ranged from do nothing, to highly collaborative, cutting edge solutions.

What are the key costs, benefits and risks?

- 6.3.3 In summary, the key costs are operational costs (upfront and continuing) for both the pilot partner institutions and the M25 Consortium. The only capital costs are for provision of IT hardware and software within each of the institutions.
- 6.3.4 The key benefits include financial benefits such as: savings on storage space from rationalisation of print resources; and increased VfM obtained from the investment in electronic resources in the pilot institutions. Non-financial benefits are focused on better education and research outcomes through being able to access more resources, more quickly and more cheaply, and increased collaboration.
- 6.3.5 The key impacts of the identified risks cover those which will be detrimental to the success of the implementation and operation of pilot service, including:
- poor uptake of WAM25;
 - pilot partners pulling out;
 - pilot partners and the M25 Consortium not being able to contribute the required effort;
 - the cost exceeding budget.

⁴⁹ Discovering resources, visiting libraries and accessing resources.

What is the optimum balance of costs, benefits and risks?

- 6.3.6 The optimum balance of costs, benefits and risks will naturally be: low cost, high benefits, low risk. However, it is unlikely that this combination is achievable within the constraints of the effort available within pilot partner institutions and the M25 Consortium, and the low impact an initiative to provide improved visitor access will have on institutional strategies.
- 6.3.7 Accordingly, some benefits will have to be traded off in favour of lower costs and lower risk to ensure that the preferred options are feasible within the constraints of the partner institutions and the M25 Consortium.

What is the preferred set of options?

- 6.3.8 The options were assessed in relation to each other against their envisaged costs, benefits and risks.⁵⁰ Of the available options (see sub-section 5.2), it is assessed by the project team that the preferred option is:
- **discovering resources:** provide simple means for users to discover resources to which they are entitled;⁵¹
 - **visiting libraries:** build on existing common reciprocal controls (eg SCONUL Access);
 - **accessing resources:** implement the most straightforward technical solutions, making use of common elements wherever possible.
- 6.3.9 This option trades off the increased benefits of some of the other options (eg a one-stop-shop for resource discovery and more sophisticated technical solutions) in favour of lower cost, and lower risk at an acceptable level of benefits.

6.4 Affordability*Introduction*

- 6.4.1 This sub-section assesses the cost of WAM25 and its affordability. It addresses how WAM25 might be funded, and whether it is a viable model.

What is the cost of the preferred choice?

- 6.4.2 The total cost of the WAM25 pilot project has been estimated by considering likely institutional and central WAM25 effort and capital costs for exemplar options 1b, 2b and 3a. The total cost is for an 18 month pilot project (6 months of development, 12 months of operation) with five partner institutions, assuming that the cost of 1 FTE is £40,000 and that there are 330 working days in eighteen months. The total cost does not include all indirect institutional costs as a Full Economic Costing (FEC) would require.
- 6.4.3 It is estimated that such a pilot service would cost in the region of £130,000, which includes operational (institutional effort, M25 Consortium effort) and capital costs. The only capital costs are £10,000 upfront institutional costs for purchase of IT hardware and software. The total cost is based on a large number of assumptions, and should therefore be used as guidance only. More detailed costings for the WAM25 pilot project will be provided in the outcome report.

⁵⁰ For further detail of the option assessment, please refer to Annex E.

⁵¹ This very likely to entail institutions working out and recording the walk-in user entitlements of their resources, and making this information available to users: this activity is a costed part of the pilot.

Is the funding model suitable and will it scale?

- 6.4.4 It is expected that the M25 Consortium would request money from HEFCE to cover the central development, and possibly provision of terminals. The pilot institutions will provide effort-in-kind to cover the roll-out and operation of the service at their institutions. It is likely that some M25 Consortium funding will be made available as a contingency fund. This funding model is considered to be suitable, and the pilot partner institutions are content with devoting an acceptable level of effort throughout the duration of WAM25.
- 6.4.5 It is anticipated that further external funding would be required to cover the set-up costs of the wider roll-out of the service across the M25 Consortium. Once established, it is expected that the operating costs of the service would be covered by the M25 Consortium and participating institutions. Suitable plans should be made early in the pilot project to obtain further external funding should the pilot be successful.

Are there cost savings from the preferred approach?

- 6.4.6 WAM25 will not be cost neutral: the development and roll-out of a new service will cost money, and the pilot will neither generate any income, nor make significant cost savings. It may generate some cost savings for institutions by allowing them to expand access to electronic resources for their users without an increase in subscription costs.
- 6.4.7 However, WAM25 has the potential to increase VfM by exploiting a wider range of resources; capitalising on the investment in relevant work in the community; and supporting better education and research outcomes through being able to access more resources, more quickly and more cheaply. It also has the potential to reduce the cost of implementation of similar services in the future. Should the project proceed to the next stage, the potential cost savings and efficiency gains will need to be analysed further.

Is WAM25 affordable?

- 6.4.8 With funding from HEFCE to cover the central development and support costs, it is considered that this pilot service is affordable.

6.5 Achievability*Introduction*

- 6.5.1 Certain aspects of achievability are difficult to assess. It was not explicitly part of the tasking for the feasibility study to assess the capability and capacity of WAM25 to conduct the pilot, nor is there much in the way of documented or statistical evidence on which to base judgment. Achievability is, however, part of Office of Government Commerce (OGC) guidelines on assessing proposed projects so a number of strengths and concerns are noted in this sub-section.

Is the proposed pilot achievable with the (planned) capability?

- 6.5.2 The central element of the pilot is based on the small M25 Consortium Systems Team being augmented by a project officer. Institutional effort comes from the allocation of library and computing staff; their commitment to providing the required effort is a planned part of developing and agreeing the business plan.

- 6.5.3 Overall the M25 Consortium does have a track record of managing projects. The success of initiating and encouraging reciprocal access to printed resources led to the widespread SCONUL Access scheme. It is this success, which they now hope to replicate with electronic resources.
- 6.5.4 The M25 Consortium has also launched and now runs a variety of online services. Continued funding by, and support for these services from the M25 Consortium over a number of years implies that they are seen as useful and valuable.⁵² It is understood that InforM25 is due to be reviewed in the Summer of 2008.
- 6.5.5 Clearly, library staff within the institutions also take part in institutional projects as well, and so should have a realistic picture of their institution's capability to contribute to the pilot. The fact that the pilot lead, the LSE, already provides walk-in access to electronic resources is a major advantage, even though there is a diversity of solutions in the preferred approach.
- 6.5.6 Strengths:
- **Coordination:** the feasibility study found a high degree of cooperation and organisation between the libraries and their staff. This is due to their collegiate nature and established relationships from M25 Consortium (and other group) membership. Their willingness to discuss problems and share lessons would be a strong positive for a pilot.
 - **Communication between stakeholders:** as well as coordination/communication between partners, the library staff have good communication with users and wider stakeholders. This is likely to be useful in marketing the pilot, and assists potential scaling up of the pilot.
- 6.5.7 Concern:
- **Lack of understanding of user behaviour for resource discovery:** students, researchers and academics are a diverse group and employ a variety of search techniques for accessing the resources needed for their activities. The focus groups and user interviews indicated that many do not go through formal or official routes: the study team is concerned that whilst frontline library staff are adept at servicing users through formal routes, the "self-service" behaviours are not understood as well by less "customer-facing" staff. An extreme version of this - the "build it and they will come" presumption - would be damaging for any pilot that has a "user driven" rationale, such as WAM25.

Can the risks be managed?

- 6.5.8 As the risk assessment concluded WAM25 is not without risks: there are four risks that after taking into account proposed mitigations offer some concern for the review team. However, if well managed they should not be fatal to the project. The other risks had effective mitigations proposed.
- 6.5.9 During the course of the feasibility study there are strong relationships between partnerships which when combined with the robust governance proposed, should be effective at handling any risks as they are realised.

⁵² It is not within the scope or remit of this feasibility study to assess such activities, nor is there any documented objective evidence to make such assessments.

Does the scope or timescale need to change?

- 6.5.10 It is assessed that an eighteen-month pilot project, with six months for development and WAM25 in operation for one calendar year, is a sufficient timescale over which to validate the concept of the service.
- 6.5.11 Although the pilot institutions cover a range of sizes, types of institution and resource holdings it is felt that the number and balance of institutions piloting WAM25 may not be sufficient to validate the concept of the service. In particular the pilot service would benefit from two or three more institutions (*eg* from wider geographical locations, physical science resource specialists and the Russell Group).

Technical feasibility

- 6.5.12 There is nothing to suggest that the preferred approach would present any grave technical difficulties. Indeed, since the LSE already provides such access there is an exemplar solution for visiting institutions and accessing resources.
- 6.5.13 Both of the exemplar options suggested at Annex E to provide simple means for users to discover resources to which they are entitled are considered to be feasible. This assessment is made on the basis that the M25 Systems Team is experienced at developing and managing web-based services, which allow cross-searching of OPACs.

Summary

- 6.5.14 It is judged that the pilot would most likely be achievable, with careful risk mitigation.

6.6 Impacts in terms of equality, diversity and sustainable development

- 6.6.1 The premise of WAM25 is to increase accessibility to and sharing of resources. This should support equality of opportunity for students and staff. Similarly, the pilot, especially if scaled up, should support better access to facilities for distance learners and students and staff who cannot afford to live close to their institution. This again should support equality of opportunity.
- 6.6.2 The pilot may well support the diversity of institutions: “centres of excellence” should be able to focus on their specialism without having to provide as many generalist or complementary resources since these would now be available elsewhere. The diversity of university and college populations is unlikely to be affected by the pilot.
- 6.6.3 There may be some environmental impact from increased travel between institutions. However, public transport is likely to be used, especially in central London, which would minimise any such impact. The use of printed resources (likely to be photocopied) and electronic resources (likely to be printed on institutional or personal printers) may be comparable.

7 Recommendations

7.1 Introduction

7.1.1 This section presents the conclusions and recommendations from the feasibility study. It recommends a preferred approach for WAM25, presenting caveats on the recommendation and possible changes to the pilot.

7.2 Preferred approach for WAM25

7.2.1 It is assessed by the project team that the preferred approach encompasses:

- **discovering resources:** provide simple means for users to discover resources to which they are entitled;
- **visiting libraries:** build on existing common reciprocal controls (*eg* SCONUL Access);
- **accessing resources:** implement the most straightforward technical solutions, making use of common elements wherever possible.

7.2.2 Further effort is required for WAM25 to put together a detailed plan, costing, *etc* under this broad approach. This feasibility study uses exemplar options under the broad approach to provide its detail.

7.3 Feasibility of WAM25 pilot project

7.3.1 Considering the strategic, economic, financial and project management cases for the pilot service, it is assessed that WAM25 is feasible, and can and should be done. In addition, there is good potential for scaling up the service in the M25 region and replicating it elsewhere. However, three caveats are applied to this recommendation:

- **Resource discovery:** the way in which users find out what resources are available, and that they are entitled to access them has been a key issue throughout the conduct of the feasibility study. It is clear that if resource discovery is not effectively enabled, WAM25 would be very unlikely to attract much of its core user population, and the walk-in concept could not be validated. The preferred resource discovery approach is likely to be the least cost, least risk option that is achievable and will deliver an acceptable level of functionality, building on existing services and using common standards where possible. A scoping study to identify the preferred approach to resource discovery should be conducted at the start of the pilot project.
- **User requirements:** it is critical to ensure that WAM25 is developed in line with user requirements and habits to assure ease of use. It is recommended that users are engaged during the development and evaluation of WAM25.
- **Validation:** it is essential that WAM25 gives sufficient thought to validating the demand and benefits of walk-in access for electronic services during the pilot period. This will entail establishing suitable performance measures, including some usage statistics. This also supports the identification of lessons and good practice for other institutions.

7.3.2 One desirable recommendation is also made:

- **Pilot partner institutions:** to enable sufficient use of the service, it is important that a sufficient number of institutions take part in the pilot project covering a range of geographical locations, institution types and sizes, and resource holdings. It is

recommended that the M25 Consortium considers adding two or three further institutions from wider geographical locations, physical science resource specialists and the Russell Group. This would, of course, increase the cost of WAM25.

A Interviews

A.1 Individual interviews

A.1.1 A number of stakeholders were interviewed as part of this phase of the work, largely conducted face-to-face. The interviewees are listed in the table below.

Date	Individual	Organisation
19 February 2008	Paul Salotti (telephone)	Independent consultant, HAERVI project officer
20 February 2008	Mary Hartley	London Metropolitan University
20 February 2008	David Archer	London School of Hygiene and Tropical Medicine
20 February 2008	Caroline Lloyd	London School of Hygiene and Tropical Medicine
20 February 2008	Fraser Nicolaides	University of Greenwich
21 February 2008	Peter Dennison	Institute of Education
21 February 2008	Mike Hallas	LSE
21 February 2008	Ruth Moore (and colleagues)	London South Bank University
22 February 2008	Peter Tinson (telephone)	UCISA
22 February 2008	Julie Howell (telephone)	London Metropolitan University
25 February 2008	Rhys Smith (telephone)	Cardiff University
25 February 2008	Claire Creaser (telephone)	LISU
26 February 2008	Frances Shipsey (telephone)	LSE
26 February 2008	Graham Stone (telephone)	Bolton University
26 February 2008	Celia Ayres (telephone)	Reading University
27 February 2008	Andrew Cormack (telephone)	JANET(UK)
4 March 2008	Helen Ward (telephone)	Kingston University
7 March 2008	Peter Wynne (telephone)	NoWAL Secretary
11 March 2008	Dermot McCann (telephone)	London Metropolitan University
14 March 2008	David Fletcher (telephone)	London Metropolitan University
17 March 2008	Chris West (telephone)	Swansea University
26 March 2008	Joanna Busza (telephone)	LSHTM

Table A-1: interviewees

A.2 Group interviews

A.2.1 A number of group interviews were also conducted, which are listed below.

Date	Meeting
4 March 2008	Student focus group 1: Institute of Education and London School of Hygiene and Tropical Medicine
5 March 2008	Student focus group 2: University of Greenwich
5 March 2008	Attendance at M25 Resource Discovery Working Group meeting
12 March 2008	Staff focus group 1
12 March 2008	Staff focus group 2

Table A-2: interviewees

B Mapping of HEFCE guidelines to this document

B.1.1 This document covers all the areas requested by HEFCE guidance⁵³. The table below provides a mapping between HEFCE guidance and sub-sections and paragraphs in this document.

HEFCE description	HEFCE reference	Location in this document
Project objectives	7a	Sub-section 2.2
Sector analysis	7b	Sub-sections 3.2, 3.3 and 3.4
Market assessment	7c	Paragraphs 3.3.3 to 3.3.5
Learning from existing provision	7d	Paragraphs 3.3.3 to 3.3.5, and 3.4.4
List of project partners	8e	Paragraph 2.6.2
Level and cost of current provision	8f	Sub-section 4.2 for M25 Consortium, and paragraphs 4.4.5 and 4.4.6 for pilot institutions
Structure of shared service	8g	Paragraph 2.8.2
Assessment of costs, benefits and payback	8h	Discussed in sub-section 5.3, summarised in Annex E
Analysis of scaling	8i	Sub-section 5.6
Non-financial benefits	8j	Paragraph 5.3.7
Constraints	8k	Sub-sections 3.5 and 5.4
Corporate structure	8l	Paragraphs 2.5.1
Funding model	8m	Sub-section 2.7
VAT implications	8n	Sub-section 5.7
Dissemination plan	8o	Sub-section 5.5
Potential beyond HE sector	8p	Sub-section 5.6
Success criteria	8q	Paragraphs 5.2.1 and 5.2.2
Risks	8r	Paragraph 5.3.9
Equality, diversity and sustainable development	8s	Sub-section 6.6

Table B-1: mapping to HEFCE guidelines

⁵³

Shared services: guidance for feasibility study and business plan, HEFCE.

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C Pilot partner institutions supporting information

C.1 Introduction

C.1.1 This annex sets out the information to support the discussion of the pilot partner institutions in sub-section 4.4.

C.2 Information

Area	IoE	Greenwich	LSE	LSHTM	LSBU
Number of students	7,000 (97% p/g; 73% part-time)	15,000 students (90% u/g; 10% p/g)	9,253 students (50% u/g; 50% p/g)	883 London-based p/g students (60% taught; 40% research) ⁵⁴	23,237 students (68% u/g, 25% p/g, 7% FE and 43% f/t)
Resources	Primarily specialist education resources. IoE lacks resources not relevant to mainstream education, for which it directs students elsewhere.	Greenwich is a generalist university with a broad range of resources. It has strong resources in the areas of business, humanities, law, architecture, health and education	Tailored to social sciences	Highly specialised resources relating to hygiene and tropical medicine. LSHTM does not provide as many social science resources as it would like.	A generalist university with strong collections for taught courses, not so good for research. Strongest areas are law; business; computing; teaching; engineering.
Current walk-in access to e-resources	No	No	Yes	No	No
Access management	Athens (Member of UK federation, but no IdPs or SPs, considering implementing Shibboleth over the next academic year)	AthensDA (Not a member of the UK federation, looking to implement Shibboleth over the next 2 academic years)	Athens and Shibboleth (member of UK federation with 2 IdPs, hoping to be fully federated access management enabled by Summer 2008)	Athens. Working with Salford Software to be Shibboleth-enabled by August 2008.	AthensDA Member, but no IdPs. Pushing to roll-out Shibboleth in time for next academic year.
JANET Roaming member	No (but have plans to implement)	No	Yes	Yes	No
Likely balance of visitor access	About 50:50	More outgoing than incoming	More incoming than outgoing	About 50:50	More outgoing than incoming

Table C-1: key information about pilot partner institutions (where u/g: undergraduate; p/g: postgraduate; p/t: part-time; f/t: full-time; IdPs: Identity Providers; SPs: Service Providers)

⁵⁴

The LSHTM also have a large number of distance learners, but these students are not directly relevant to this work.

Institution	Resources (05/06)				Expenditure on information provision (£, 05/06)			
	Periodical titles		Other e-resources		Serial subscriptions		Other e-resources	
	Electronic only	Print + electronic	Databases	Books	Electronic only	Print + electronic	Databases	E-books
IoE	2,193	523	36	743	39,233	108,900	23,495	4,500
Greenwich	4,558	141	32	420	303,706	38,196	125,280	58,022
LSE	15,000	478	115	4,000	n/k	n/k	356,607	7,500
LSHTM	142	292	15	12	152,636	94,710	35,519	135
LSBU	7,951	867	61	67	380,514	41,492	266,362	2,013

Table C-2: SCONUL resource statistics for the partner institutions for 2005/2006

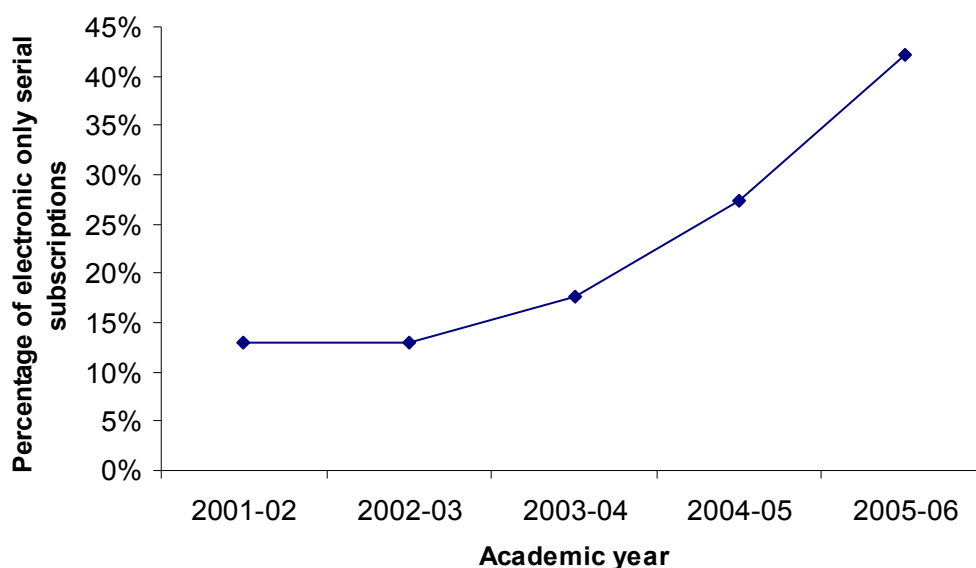


Figure C-1: average percentage of electronic-only serial subscriptions within the partner institutions

D Existing technical solutions

D.1 Introduction

D.1.1 This annex draws on the technical solutions from some of the institutions already provide walk-in access to electronic resources. It is intended to give an indication of the technical solutions available rather than provide a comprehensive review.

D.2 Solutions

D.2.1 Within the institutions that currently allow walk-in access to electronic resources a number of technical solutions have been implemented. They are largely based on locked-down PCs (eg where access is controlled using white or black lists) using established technical solutions. There are no current instances identified where institutions have implemented a solution based on federated access management or JANET Roaming, although the HAERVI work does touch on this. A summary of some of these solutions is given below.

D.3 Example 1: LSE

Registration of walk-in users

D.3.1 Registration for walk-in users to the LSE Library is via a web form. Walk-in users can either complete the form before they come into the Library or register at on of the three terminal units within the Library foyer.

D.3.2 Once a record has been submitted, walk-in users can then go to the reception desk, verify their details by producing relevant proof of identity, and receive their Library card. The Library Card contains credentials to allow access to the visitor PCs.

Technical implementation

D.3.3 Walk-in users can access electronic resources via dedicated locked-down PCs in the LSE library, with some additional functionality. The set-up is summarised below:

- Basic PC running: Windows XP, IE, WordPad, shortcuts to A drive (Floppy Drive) and D drive (CDROM), shortcuts to electronic library; anti-virus software (LSE standard) and set to automatically patch themselves.
- Admin rights given to all users who login, as CD-ROMs occasionally need to write data to the local disk.
- To prevent problems with the PCs, a software package is installed that stops users from removing files *etc.*
- Visitor PCs are set to go through a specific proxy address; this cannot be changed by the user.
- A proxy server (EZproxy) is used to define access to electronic resources based on licence terms (*ie* if only LSE staff/students can have access, users are required to log in; if it is IP-based then users will get immediate access).

Provision of PCs

- D.3.4 The LSE has fourteen dedicated visitor PCs:
- Two of the fourteen are designated for those who have forgotten their library card - referred to as "Paper Pass" PCs. These have a boot password so only staff on the Helpdesk can log them in.
 - Two of the fourteen PCs are dedicated to LSE Alumni but they are the same PCs as used by walk-in users with no extra software added.
 - There are 4 local printers connected to 8 visitor PCs. Printing is undertaken via a copy card which can be loaded with credit.

D.4 Example 2: Reading University

- D.4.1 Reading University have been providing walk-in access to electronic resources for 3-4 years, and do not get much demand for the service (this is thought to be largely due to their location). The original rationale was to free up space in the library to make room for PCs, but also to allow walk-in access to the e-resources they purchased. Walk-in users are primarily allowed access to the resources negotiated by JISC Collections. The service was set up by the library IT assistant, working in conjunction with IT services.
- D.4.2 Reading provides six dedicated locked-down PCs, where access is controlled using a white list. Library staff log users in with a guest account, and walk-in users sign a list to record when they have used it. Access is only permitted when library staff are there. Additional functionality is limited, with no MS Office access, no Internet access and no print facilities. Whilst some resources can be down-loaded, note taking is more common.

D.5 Example 3: Bolton University

- D.5.1 Bolton University offer walk-in access to electronic resources to all SCONUL Access participants, and a number of other local agreements. Demand for the service is not high. It primarily offers access to the electronic resources negotiated by JISC Collections and Eduserv CHEST.
- D.5.2 Users can gain access from any PC in the library. The set-up is summarised below:
- users sign a copyright agreement and are given a local username and password;
 - users log into any PC and are directed straight to a specific website where access to resources is controlled via a white list;
 - access is based on IP authentication;
 - MS Office, Internet access and printing are not permitted, although users can email resources to themselves where resources permit it.
- D.5.3 Bolton used to give access via dedicated terminals, but these often sat empty so the policy was changed to allow walk-in users access via any terminal.

D.6 HAERVI vision

- D.6.1 The HAERVI best practice guidance outlined a number of possible solutions which are feasible in a federated access management environment. Two levels of solution were proposed:
- **Straightforward and least flexible solution:** locked-down terminal facility designed for a federated access management environment.
 - **Roaming solution:** a solution for use on visitors' own laptops connected via JANET Roaming, with development of a visitor portal providing similar functionality to the terminal facility (above).
- D.6.2 For further information, refer to the HAERVI best practice guidance.² These solutions are outlined only, and the technical detail for implementing the "straightforward least flexible" solution is not available on the HAERVI website as stated in the guidance.

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E Appraisal of options for a pilot service

E.1 Introduction

E.1.1 This annex provides an assessment of various exemplar options based on their perceived costs, benefits and risks, to provide a preferred approach. The approach builds on the best attributes of a range of exemplar options. The assertions and assessment are based on the skill and judgement of the project team.

E.2 Assessment

E.2.1 The benefits, costs and risks for each of the options are assessed below. At this stage, the options appraisal can only be conducted at a high-level to simply allow a comparison of the options. The assessment is based on the benefits and risks set out at sub-section 5.3.

E.2.2 The options for each element have been assigned a relative assessment of Low (L), Medium (M) or High (H). This results in three assigned levels for each option, where Low cost, High benefits and Low risk is the optimum combination, although this is unlikely to be achievable. It is likely that some benefits will have to be traded off against cost and risks to ensure that the preferred options are feasible within the constraints of the partner institutions and M25 Consortium. The options for each element can then be ranked in order of preference, where 1 is the most favourable option.

1. *Discovering resources*

E.2.3 Out of the exemplar options, the preferred option is to provide simple means for users to discover resources to which they are entitled. This option should be further addressed at the start of the pilot project to develop a more detailed plan. The eventual plan will likely build on options 1b and existing services (*eg* InforM25), to provide a least cost, least risk option that delivers useful functionality. The service should be developed in-line with user requirements, and be scalable across the M25 Consortium.

Option	Costs	Benefits	Risks	Rank
1a. No assisted resource discovery	L There would be no activities or cost associated with this option.	L It is likely that the majority of anticipated benefits will not be achieved as users will find it very difficult to discover resources to which they are entitled.	M This option would be relatively high risk as there is a high likelihood that WAM25 would not get used.	3
1b. Provide simple means for users to discover resources to which they are entitled ⁵⁵	M This option would be low cost as there should be a low level of development and programming effort required.	M This option should enable users to quickly and conveniently see which institutions are taking part and the resources available.	L This option is the lowest risk because it should combine a simple resource discovery solution with low effort.	1
1c. Develop a "one-stop shop" for M25 resource discovery ⁵⁶	H This option would be the highest cost as it would require extensive development work, and may form another project entirely.	H This option would be yield the best user experience, and be the most effective and efficient way of enabling resource discovery in a comprehensive manner.	H The key risks for this option would be that the M25 Systems Team could not provide the effort required to support WAM25 as the demand from other M25 activities is too high.	2

Table F-1: assessment of the options for resource discovery

⁵⁵ Exemplar options which would enable this include: developing a simple webpage which gives links to the pilot partner library catalogues where the walk-in entitlements are recorded; or, developing a new InforM25 tool which allows users to search for those resources which allow walk-in access.

⁵⁶ For example, where a user can visit a single central website and search for resources at other institutions which they are entitled to have access to at the journal article level.

2. Visiting libraries

E.2.4 The preferred option, based on an assessment of the costs, benefits and risks is to build on existing common reciprocal controls such as SCONUL Access. It is likely that the actual solutions implemented will have an element of independent controls as well, for example the LSE already issue each visitor with a library card and have no plans to change this. However, the risks of implementing independent solutions at each institution should be kept in mind when implementing a pilot service. This could result in a very disagreeable user experience where users are put off by hurdles to gaining access, and do not wish to carry multiple cards around.

Option	Costs	Benefits	Risks	Rank
2a. Retain existing, or implement independent, walk-in controls	M Implementing independent controls will be relatively expensive for the partner institutions, but will not require any central development effort.	L Different controls for each institution will not aid the user experience and may put too many barriers in the way for use of the service for all of the benefits to be realised.	M This option does carry some risk as institutions would have to dedicate more effort than may be desired to implementing a solution.	2
2b. Build on existing common reciprocal controls (eg SCONUL Access)	L This will be the most cost effective solution, as it builds on controls already in place.	H The SCONUL scheme is widely used across the M25 Consortium and the WAM25 scheme would benefit from using a well recognised scheme to gain further access	L This option is low risk because it is low effort, and builds on a scheme that is widely used.	1
2c. Design and roll-out bespoke "WAM25" specific controls	H This will be the most expensive option as it would require significant development effort.	M This has the benefits of being a single access card for all participating institutions which aids the user experience. However another access card for a slightly different purpose may lead to confusion for users.	H This option is high risk because it is unlikely that the central effort required could be met, and that it would not realise all of the benefits meaning that the service did not get as much use as anticipated.	3

Table F-2: assessment of the visiting institution options

3. Accessing resources

E.2.5 It is assessed that the preferred option is to implement the most straightforward technical solutions, making use of common elements wherever possible. There is likely some scope for common elements from well established solutions, such as re-use of elements of the LSE’s current provision. This option is relatively low cost and low risk, and has the benefits of efficiently building on good practice solutions.

Option	Costs	Benefits	Risks	Rank
3a. Implement most straightforward technical solutions	L This is the least cost, least technical solution, where institutions work within their own access management infrastructures and priorities.	L This option gives the least benefits as it will mean that different solutions are implemented at each institution which may be confusing to the user.	L This option is the lowest risk option because it allows institutions to implement whichever solutions fit in with their available resources, infrastructure and requirements.	2
3b. Implement most straightforward technical solutions, making use of common elements wherever possible	M This option would be low cost for the majority of institutions, but have costs for the M25 Systems Team to manage the appropriate common elements to take forward.	M This option will give some benefits to the sector, as common elements could be efficiently replicated elsewhere.	M This option is medium risk because it will require more coordination between institutions to implement.	1
3c. Single technical solution for all partners	H This option would be very costly for the institutions who would have to change their access management infrastructures, and for the M25 Consortium who would have to develop common technical elements.	H This option would have the potential to provide seamless user access to resources, based on their own institutional credentials. It would deliver the most benefits of the range of options, as the user would experience a simple and convenient service.	H This option would not be achievable, nor desirable for institutions making it very high risk.	3

Table F-3: assessment of the accessing resources options

E.3 Preferred approach for WAM25

E.3.1 The preferred approach for WAM25, based on this appraisal by the project team, is:

- **discovering resources:** provide simple means for users to discover resources to which they are entitled;
- **visiting libraries:** build on existing common reciprocal controls (*eg* SCONUL Access);
- **accessing resources:** implement the most straightforward technical solutions but making use of common elements wherever possible.