Project Transfer: Five Years Later

ER&L 2012

Nancy Beals (Wayne State University Libraries)
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Overview

*Context*
- Journal Transfers and Consequences

*What and How*
- What is Transfer?
- Who Endorses Transfer?
- Spreading the Word

*Feedback*
- Publisher Survey
- Librarian Survey

*Putting It Together*
- What Librarians Can Do
- Transfer Alerting Service: Before and After the Upgrade

*Looking Ahead*
- What’s Next?
- Getting Involved
Journal Transfers

http://www.flickr.com/photos/girliemac/6519540231/in/set-72157628409467125
By GirliMac
Transfers and Consequences

• Why journals migrate between publishers
• The “vulnerability” of e-resource access during transfers
• Problems:
  – Interrupted access
  – Delayed access
  – Disappearing back files
  – Wrangling over entitlements
  – Changed login or authentication procedures
  – Admin load in fixing new or altered setups
• Causes:
  – Poor communication
  – Different infrastructure
  – Missing or scrambled data
  – Lack of coordination or time
  – Competing or contrary motivations
Another Standard?

But it’s not an acronym!

http://xkcd.com/927/
By Randall Monroe
What is Transfer?

• Voluntary Code containing best practice guidelines for both Transferring and Receiving publishers
• Supported (to date) by 36 publishers who publicly endorse the Code
• An alerting service, communicating details of journals “on the move” to almost 400 registered recipients – mainly librarians
• An ongoing, if informal, program of education and presentation to help different constituencies in the library supply chain better understand each others’ problems and priorities
• Supported and championed by a small working group – 8 publishers, 5 librarians and 6 others – meeting once every two months
Transfer Online

http://www.uksg.org/Transfer/Code

The Transfer Code of Practice responds to the expressed needs of the scholarly journal community for consistent guidelines to help publishers ensure that journal content remains easily accessible by librarians and readers when there is a transfer between parties, and to ensure that the transfer process occurs with minimum disruption. Publishers are being asked to publicly endorse and follow the Code of Practice which is a set of voluntary "best practices" for the industry. The Code and any policies and procedures developed around the Code will be guided by openness and fairness and will be to the benefit of libraries, readers, users and other consumers.

Publishers that currently endorse the Code are listed on the Publisher Endorsement page and any new Publishers that wish to endorse the Code can do so by contacting one of the co-Chairs of the Transfer Working Group, listed below.

- UKSG Transfer Code of Practice, Version 2.0
- Sign up to be notified of journal transfers - Transfer notification list
- Follow the journal transfer notifications on the Transfer notification blog
- Publishers can notify of journal transfers by using the Journal Transfer Submission Form
- Information on Press relations
- Transfer Papers and presentations
- List of endorsing publishers

If you have any questions please email the co-Chairs of the Working Group, Alison Mitchell, a.mitchell@nature.com, and Elizabeth Winter, elizabeth.winter@library.gatech.edu
Transfer Code of Practice

The Code is now in a revised Version 2.0 and covers six main areas:

• Access to the transferred title:
  – Includes ensuring continued access to customers where the Transferring publisher has granted perpetual access entitlements.

• Provisions around digital content files:
  – Covers the transfer of digital files and spans both current (born digital) and archival (digitized from print) content, where available.

• Subscription lists:
  – Covers early transfer of subscription lists and an outline of subscriber data types.

• Journal URLs:
  – Covers transfer of journal-related domain name(s) and provision of a link or redirect to the new journal home page.

• DOI name ownership:
  – Covers changes to Digital Object Identifier (DOI) name ownership.

• Communication:
  – Covers communication to customers and relevant intermediaries. Customers here include recipients of electronic ToC alerts.
How Does It Work?

• By registering as Transfer compliant, publishers agree to abide – where commercially possible – by the terms of the Transfer Code of Practice
  – Remember: this endorsement is entirely voluntary
• Librarians and societies are increasingly requesting Transfer compliance in their licensing and contractual agreements with publishers
• Other reports and initiatives (from JISC Collections and others) are citing Transfer and recommending compliance
• Transfer’s recommendations provide a useful framework for overhauling internal procedures and encouraging a degree of “self regulation” on the part of publishers
• But it’s hard to give the Code more “teeth” as we have to be careful to avoid any anti-competitive practices
• And a recent informal listserv poll alerted us to several ongoing issues, some involving Transfer-compliant publishers
Basic Alerting Service

• Publishers provide a simple set of information items about the title transferred
  – Names of Transferring and Receiving Publishers & contact persons at both
  – Title and ISSN of journal being transferred
  – Effective transfer date
  – And some other information: see examples later

• Wherever possible, contact points for both Transferring and Receiving publishers are included

• Email alerts are generated and sent to subscribing recipients
  – Most recipients to date are librarians, but other players such as subscription agencies also interested on behalf of their customers

• More than 200 journal transfers have been notified using this mechanism

• Simple but effective. Doesn’t itself solve problems, but gives a pretty good heads-up that “this might be a title to watch!”
Spreading the Word

• Transfer can only be effective if its recommendations are known and understood within the supply chain
• So we like to take opportunities like this to brief diverse audiences and argue for wider uptake
• We recognize that different players in the transfer process have different concerns and motivations
• And try to tailor information accordingly for Publishers, Societies, and Librarians
• Central control or coordination within the publishing house helps avoid problems and encourages prompt and effective communication to the market
• Publishers need to be aware of the downstream effects of transfer operations, so that they can avoid or mitigate any problems that could arise
• Societies are encouraged to support Transfer compliance, whether they self-publish or partner with commercial publishers
### Publishers Endorsing Transfer

<table>
<thead>
<tr>
<th>ALPSP</th>
<th>Nature Publishing Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Institute of Physics</td>
<td>Oxford University Press</td>
</tr>
<tr>
<td>American Psychological Association</td>
<td>Palgrave Macmillan</td>
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<tr>
<td>BioMed Central</td>
<td>Royal Society of Chemistry</td>
</tr>
<tr>
<td>Brill</td>
<td>Sage Publications</td>
</tr>
<tr>
<td>Cambridge University Press</td>
<td>Society for General Microbiology</td>
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<td>Elsevier</td>
<td>Springer</td>
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<td>Emerald</td>
<td>Taylor &amp; Francis</td>
</tr>
<tr>
<td>IOP</td>
<td>Walter de Gruyter</td>
</tr>
<tr>
<td>IOS Press</td>
<td>Wiley Blackwell</td>
</tr>
</tbody>
</table>

Complete list of publishers: [http://www.uksg.org/transfer/transfer_publishers](http://www.uksg.org/transfer/transfer_publishers)
Publisher Survey

• June 2010
• Emailed 1,824 pubs in 40 countries
• Response rate 8.3%
• 151 respondents: 34 commercial publishers; 8 nonprofits; 16 societies; 7 university presses
Issues Relating to *Transferring* Journals

As a ‘Transferring’ publisher or society, have you ever experienced any problems in the following areas:

- Transferring current subscriber content
- Transferring online usage information
- Getting consent for change in DOI name ownership
- Transferring subscriber information
- Transferring digitized archive
- Transferring e-mail alert subscriber lists
- Transferring information from a manuscript-tracking system

Legend:
- Often
- Sometimes
- Never
- Don’t know
- N/A
Issues Relating to *Transferring* Journals

As a Transferring Publisher/Society, for how long after the effective date of transfer do you usually set up a redirect to the Receiving Publisher’s content delivery platform?

- **More than 12 months**: 18.4%
- **6-12 months**: 21.1%
- **1-6 months**: 15.8%
- **Up to 1 month**: 18.4%
- **We do not set up a redirect**: 10.5%
- **It varies depending on the terms of the publishing contract**: 10.5%
- **I don’t know**: 5.3%
Issues Relating to *Receiving* Journals

As a ‘Receiving’ publisher or society, have you ever experienced any problems in the following areas:

- Receiving content
- Receiving content from alert subscriber lists
- Receiving information from a manuscript-tracking system
- Receiving subscriber information
- Receiving online usage information

Legend:
- Orange: Often
- Blue: Sometimes
- Purple: Never
- Red: Not applicable
- Green: Don’t know
Managing the Communication Process

As a Receiving Publisher/Society, which organisations have you informed about the transfer of the journal and when has this communication been made in relation to the effective date of transfer?
Librarian Survey

• May 2011. The survey was sent out in collaboration with the International Coalition of Library Consortia (ICOLC).
• 164 respondents: 65% North America, 14% Europe, 14.5% Asia-Pacific
Managing Access to Journals

In terms of managing your journals collection and ensuring continuing access to content, please indicate the extent that the transfer of titles causes problems for your organisation.

- 54.3%: A: Very significant
- 37.2%: B: Fairly significant
- 8.5%: C: Not significant
Subscription information (e.g., delays in subs data being transferred to the new publisher; subscription agents and other intermediaries like knowledgebase vendors not informed):

- I have often experienced problems: 54.9%
- I have sometime experienced problems: 38.4%
- I have never experienced problems: 6.7%
Time spent amending serials management system and internal records:

- A lot of time is spent: 46.3%
- A reasonable amount of time is spent: 43.9%
- Very little time spent on this: 9.8%
Librarian Transfer Awareness

• “The initiative is helping. The transfer notification list and archive is becoming a useful knowledgebase of information. The transfer listserv and the website have both been very useful to me—please continue to develop them further!”

• “I have noticed that many publishers are getting better at communicating—more specific emails, easier-to-find lists on their websites, improved access icons.”

• “Certainly the issues around transfer titles have reduced since Project Transfer started.”
What Librarians Can Do

Tell your (librarian) friends about Transfer

Encourage publishers that you buy from to endorse Transfer (if they don’t already)

Use the new Enhanced Transfer Alerting Service

http://etas.jusp.mimas.ac.uk/

Search here

http://etas.jusp.mimas.ac.uk/search/

Subscribe to the RSS feed here

http://etas.jusp.mimas.ac.uk/rss/
Before: Original Transfer Alerting Service

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<td>Rochelle Belanger</td>
<td>Reading Research Quarterly transfers to Wiley-Blackwell from Sep...</td>
<td>Fri 10/7/2011 3:26 AM</td>
<td>11 KB</td>
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<td>The Reading Teacher transfers to Wiley-Blackwell from Sep...</td>
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<td></td>
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<td>Rochelle Belanger</td>
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<td>12 KB</td>
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<tr>
<td>James Philpotts</td>
<td>Journal of Analytical Toxicology</td>
<td>Tue 10/4/2011 7:05 AM</td>
<td>12 KB</td>
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<table>
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<th>Received</th>
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<tbody>
<tr>
<td>EDWARDS Sarah</td>
<td>Nottingham French Studies</td>
<td>Thu 9/29/2011 5:46 AM</td>
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<td>O’Loughlin, Mark</td>
<td>2011 and 2012 Transfer titles from SAGE</td>
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<td>Thu 7/28/2011 3:19 PM</td>
<td>14 KB</td>
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<td>Rochelle Belanger</td>
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<td>13 KB</td>
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<td>Sun 6/12/2011 3:30 PM</td>
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<td>Clinical Proteomics</td>
<td>Tue 5/31/2011 11:21 AM</td>
<td>12 KB</td>
<td></td>
</tr>
<tr>
<td>Joshua Doane</td>
<td>American Journal of Business</td>
<td>Tue 2/8/2011 10:26 AM</td>
<td>12 KB</td>
<td></td>
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<tr>
<td>Ed Pentz</td>
<td>Problems With Transmitting Journals and the case with DPS</td>
<td>Tue 1/4/2011 5:26 AM</td>
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<td>JISCmail Data Protection policy</td>
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<td>JISCMAIL LISTSERV Server...</td>
<td>You are now subscribed to the TRANSFER list</td>
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<td>Tue 1/19/2010 2:52 PM</td>
<td>8 KB</td>
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</table>
- Transferring Publisher: TESOL International Association
- Transferring Publisher contact name: Carol Edwards
- Transferring Publisher contact email: cedwards@tesol.org
- Society (if applicable): TESOL International Association
- Journal Title: TESOL Quarterly
- ISSN: 0039-8322
- Receiving Publisher: Wiley-Blackwell
- Receiving Publisher contact name: Rochelle Belanger
- Receiving Publisher contact email: rbelange@wiley.com
- Effective Transfer Date: Jan 2012
- Notes on any special circumstances: subscriptions include TESOL Journal.

- Journal Title: TESOL Journal
- Online ISSN: 1949-3533
- Receiving Publisher:
- Effective Transfer Date: Jan 2012
- Notes on any special circumstances: not available for separate purchase. A subscription to TESOL Quarterly must be made in order to receive this journal which will be available online only.
Before: Using the Original Alerting Service

<table>
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</table>

New open access journal...
After: Upgrading the Alerting Service
After: Upgrading the Alerting Service

• The basic alerting service “does a job” and is in daily use
  – Drop in some numbers
  – Put in a couple of very recent postings
• Somewhat restrictive and not very scalable
• Enhancements proposed by the Transfer team to UKSG
• JISC funding approved for an ETAS (Enhanced Transfer Alerting Service)
• Encompassing improvements in the alerting service itself and putting in place a proper, searchable database to underpin and complement the service
• MIMAS (based at the University of Manchester, UK) will host and run the service as part of JUSP (Journal Usage Statistics Portal)
• ETAS has been designed, built, and released
• Historical information still being loaded
ETAS Home

Welcome

The UKSG Transfer Code of Practice (http://www.uksg.org/transfer) is a set of voluntary best practices for scholarly publishers to ensure that when journals transfer between parties the process occurs with minimum disruption and that the content remains accessible. The Code was developed under the auspices of UKSG by a Working Group composed of librarians, publishers and subscription agents. The UKSG Transfer Code calls for Endorsing Publishers (http://www.uksg.org/transfer/transfers-library) to provide alerts about journal transfers.

To help publishers and to make it easy for librarians and readers to be notified of journal transfers and search previous alerts, UKSG has collaborated with JASP, JISC and Cranfield University to create this Enhanced Transfer Alerting Service.

For complete information about the UKSG Transfer Code of Practice please visit the UKSG website (http://www.uksg.org/transfer).

ETAS Latest Transfer Notifications

ETAS RSS 2.0 Feed

International Journal of Circumpolar Health
Print ISSN: 12399736 Online ISSN: 22423982
Effective transfer date: 2012-03-19
To: Co-Action Publishing
From: International Association of Circumpolar Health Publishers
Sat, 24 Mar 2012 09:37:38 +0000

Journal of the Institute of Brewing
Print ISSN: 00469750
Effective transfer date: 2012-05-01
To: Wiley Blackwell
From: Scientific Societies
Fri, 23 Mar 2012 16:04:29 +0000

Journal of Radiation Research
Print ISSN: 04493060 Online ISSN: 13491157
Effective transfer date: 2012-07-01
To: Oxford University Press
From: previously self-published, online through J-Stage
Wed, 29 Feb 2012 15:50:08 +0000
## Transfer details

<table>
<thead>
<tr>
<th>Receiving Publisher</th>
<th>Transferring Publisher</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name</strong></td>
<td>Co-Action Publishing</td>
</tr>
<tr>
<td><strong>Contact name</strong></td>
<td>Anne Bindlev</td>
</tr>
<tr>
<td><strong>Contact email</strong></td>
<td><a href="mailto:anne.bindlev@co-action.net">anne.bindlev@co-action.net</a></td>
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<tr>
<td><strong>Transfer compliant</strong></td>
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</table>

<table>
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<tr>
<th>Journal</th>
</tr>
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<tbody>
<tr>
<td><strong>Title</strong></td>
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<tr>
<td><strong>Society</strong></td>
</tr>
<tr>
<td><strong>Print ISSN</strong></td>
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<tr>
<td><strong>Online ISSN</strong></td>
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<tr>
<td><strong>DOI</strong></td>
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<td><strong>Frequency</strong></td>
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<tr>
<td>Transferring Publisher</td>
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<tr>
<td>------------------------</td>
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<tr>
<td>Name</td>
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<tr>
<td>Title</td>
<td>International Journal of Circumpolar Health</td>
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<tr>
<td>Society</td>
<td>International Association of Circumpolar Health Publishers</td>
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<tr>
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<td>1239-9736</td>
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<td>Online ISSN</td>
<td>2242-3982</td>
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<tr>
<td>DOI</td>
<td></td>
</tr>
<tr>
<td>Frequency</td>
<td>No issues as from 2012 - articles published as they become accepted</td>
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<table>
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<tbody>
<tr>
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<td>2012-03-19</td>
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<tr>
<td>First vol, issue, date</td>
<td>71,</td>
</tr>
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<td>Special circumstances</td>
<td>Open Access. No longer published with issues. No longer printed. No longer subscription sales.</td>
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<table>
<thead>
<tr>
<th>Perpetual access</th>
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<tbody>
<tr>
<td>Digital preservation agreements</td>
<td>CLOCKSS; LOCKSS; Portico;</td>
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<td>Perpetual access policies</td>
<td>Journal history <a href="http://www.circumpolarhealthjournal.net/index.php/iach/about/history1972">http://www.circumpolarhealthjournal.net/index.php/iach/about/history1972</a></td>
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Exporting Records

Enhanced Transfer Alerting Service

Transfer details

Export record

Receiving Publisher

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<th>Name</th>
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<tr>
<td>Contact name</td>
<td>Anne Bindslev</td>
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<tr>
<td>Contact email</td>
<td><a href="mailto:anne.bindslev@co-action.net">anne.bindslev@co-action.net</a></td>
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<td>Transfer compliant</td>
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</table>
ETAS for Publishers

Fields in **bold** are required.

**Receiving Publisher**

- **Publisher name:**
  - Receiving Publisher name
  - If Other - please specify:
    - Contact name:
    - Contact email:

- **Transfer compliant:**
  - Yes
  - No

**Transferring Publisher**

- **Publisher name:**
  - Transferring Publisher name
  - If Other - please specify:
    - Contact name:
    - Contact email:

- **Transfer compliant:**
  - Yes
  - No

**Journal**

- **Journal Title:**
- **Society (if applicable):**

- **Print and/or Online ISSN:**
  - Print ISSN
  - Online ISSN

- **Journal Title DOI:**
- **Journal frequency:**
ETAS for Publishers

### Transfer details

- **Receiving Publisher**
  - Journal URL:
  - Effective Transfer Date: [Day] [Mon] [Year]

- **Receiving Publisher First issue**
  - Volume:
  - Issue:
  - Date:

- Notes on any special circumstances:

### Archive & perpetual access

- **Digital Preservation Agreements**: [Select options]
  - British Library
  - CLOCKSS
  - LOCKSS
  - Koninklijke Bibliotheek
  - Portico

- **Perpetual access policies**: [Select options]
  - Receiving Publisher only will have archive
  - Transferring Publisher only will have archive
  - Both Publishers will have archive
  - Transferring Publisher will have archive up to
  - Receiving Publisher will have archive from
  - Other

- If Other, please specify: ____________________________
What’s Next?

• Version 3.0
  – Preservation
  – Discovery Services and Link Resolvers
  – Search Engine Discoverability
  – Social Media and Apps
  – Transfer of Administrator Contact Information
  – Formal Recommendation?
Getting Involved

Everyone:
Learn more about Transfer:
http://www.uksg.org/transfer

Librarians:
Learn about the Enhanced Transfer Alerting Service:
http://etas.jusp.mimas.ac.uk/

Publishers:
Talk to us about endorsing the Code of Practice:
http://www.uksg.org/Transfer/Code
Thank you!

Nancy Beals (Wayne State University Libraries)
Nancy.Beals@wayne.edu

Jennifer Bazeley (Miami University Library)
bazelejw@muohio.edu