Open Access and Books
Applying an International Lens

Dr Frances Pinter
Founder, Knowledge Unlatched
& Knowledge Unlatched Research
Looking at Monographs
What is a Monograph?

A long, academic and peer reviewed work on a single topic normally written by a single author, and extended to also include peer reviewed edited collections by multiple authors.
‘The writing of the long-form publication (the monograph) is the research process.’

Professor Geoffrey Crossick
*Monographs and Open Access* - Report to HEFCE
The Monograph is Big Data
Monographs are Important

Monographs play a unique role in knowledge creation and scholarly communications

Monographs are not just ‘long articles’

• Different function in the research process
• Different Business Models
• Additional formats for sale
Why Such a Mess?

- Open Access Policies
- Funding
- OA Books
- Publishing Models
- Libraries
- Content & Services
- Authors & Readers
- Metrics
- Infrastructure
Systemic Challenges

• Why are policies so vague?
• Where is funding coming from?
• Why are publishing costs so hard to pin down?

How does OA for books fit in with

1. the new digital landscape
2. changes in knowledge generation
3. changes in scholarly communications
OA Policies

Open Access Policies
What’s happening in Europe and the UK
A landscape study on open access and monographs

Policies, funding and publishing in eight European countries

Publication date October 2017

Austria, Denmark, Finland, France, Germany, Netherlands, Norway and UK

knowledge-exchange.info/event/open-access-monographs
Policy, Encouragement, Mandating

- Policies are not the same as mandates
- Mandates are not always enforced
- Compliancy issues abound
- Standards not there yet
- Supporting infrastructure still incomplete
Therefore ...

- No single *source* of funding is likely to cover all monographs
- The future will be a mix and match approach, and no single funding or publishing *model* will cover all monographs
Mix and Match

- Publishing models that accommodate OA monographs vary and can be used in conjunction with one another
- Infrastructure is improving
## Mandates for Monographs

<table>
<thead>
<tr>
<th>Country</th>
<th>Mandates and encouragement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Austria</td>
<td>FWF has a mandate and a specific programme to fund stand-alone publications</td>
</tr>
<tr>
<td>Denmark</td>
<td>No mandate, no encouragement</td>
</tr>
<tr>
<td>Finland</td>
<td>No mandate, but general encouragement to include all scholarly outputs, including monographs</td>
</tr>
<tr>
<td>France</td>
<td>No mandate, encouragement from some quarters</td>
</tr>
<tr>
<td>Germany</td>
<td>No mandate, no encouragement</td>
</tr>
<tr>
<td>Netherlands</td>
<td>NWO has a mandate</td>
</tr>
<tr>
<td>Norway</td>
<td>No mandate, no encouragement but new guidelines that are in the making recommend considering the inclusion of monographs in future policies</td>
</tr>
<tr>
<td>UK</td>
<td>Encourages OA and considering mandates for the next but one REF (expected mid 2020s)</td>
</tr>
</tbody>
</table>
UK Developments

HEFCE and the REF
Money in the System

• Simba Information Report
• US initiatives - Mellon, AAUP
• Institutions and Libraries
Simba Information Report

- 10,000+ scholarly books on OA (at end 2015, but not complete)
- Expects growth of 30% per annum
- $21 Million – already available
- HSS OA will depend on mixed models, not just BPCs
- Does not take into account step changes – but thinks it will happen
Out of America

• Mellon Infrastructure Projects
• ARL/AAU/AAUP – ECA support
• 2.5% Library budget commitment to OA
• Lever
• Luminos
Luminos Model

Baseline Title Publication Costs = $15,000

AUTHOR’S INSTITUTIONAL CONTRIBUTION (BASELINE $7,500)

LIBRARY SUBSIDY

UC PRESS SUBSIDY

REVENUE FROM PRINT SALES

FREE GLOBAL DIGITAL ACCESS
Institutions and Libraries

• Links between impact and research funding mean dissemination crucial

Therefore...

• New interest in experimentation with new publishing

• New University Presses & Coalitions
Publishing
talking about...

- Types of Publishers
- Funding Models
- Costs of Publishing
- Getting to OA
Types of Book Publishers

- Traditional University Presses
- Traditional Commercial Presses
- New University Presses (often library based)
- Academic Led Presses
Funding Models

Follow the Money
Model One

BPC paid for by research funder
Model Two

BPC paid for by author’s institution
Model Three

Membership funding
Model Four

Crowdfunding
Model Five

Embedded institutional support
Model Six

Full Institutional funding
BPC vs APC
What’s in a BPC?

• Partial or full publishing costs
• Partial income substitution
• Other formats (e.g. print) contributing to full cost recovery
• Too little experience yet of whether print will contribute enough to cover all costs
• Does a BPC include a profit/surplus?
What is the ‘C’ in a BPC?

Charge ≠ Cost
What does a Publisher Do?

Some of the 99+ tasks

- Selection Process
- Peer Review and QA
- Author support
- Copyediting and proofing
- Project managements
- Permissions management
- File pre-processing
- Design
- Digital file preparation
- File conversion/distribution/preservation
- Marketing
- Website, e-marketing
- Sales Representation & Servicing sales channels
- Creation & Maintenance of metadata
- Sales and Distribution
Costs of Publishing

- Pre-Press - fixed
- Post Press - variable
- Ongoing over life of book - fixed and variable
- Overheads
- Profits/surplus
Range of BP Charges

Services of publishers vary greatly

€ 500 (just hosting)
€18,000 (full service CC BY licence)
Transitioning to OA

- Some university presses are already a cost centre and do not expect to recover costs.
- This makes it easier to build OA transitioning into the mission without adding to costs.
Publishers in many continental countries continue to rely on ‘print’ subsidies and/or buy backs from public and private funds - these could easily be rechanneled to pay for OA publishing
New initiatives and OA

- Successful pure OA monograph initiatives are demonstrating clear benefits but scalability will require further support
- OA books contribute to experimentation with different forms of publishing and are drivers of change
Where we are now with OA

- Leading book publishers now understand and are happy with BPCs
- Funding for new publishers is emerging
- Traditional systems of publishing will co-exist even as more goes OA
- Cost savings with OA are viable
- Higher return on investment
Infrastructure
talking about...

- Discovery Challenges
- Discovery and Metadata
- Dissemination & Metadata
- Hosting & Preservation
- Guidelines for Good Infrastructure
- Value Added Services
Discovery: Challenges

Goal of OA:
- take away access barriers, increase reach, usage, and impact of content

Dependent on discovery:
- Users access content through various sources:
  - retailers; e-book aggregators; library vendors; library catalogues; publishers website
  - Third party suppliers struggle with free content:
    - zero pricing, no DRM, no commission?
- When a title is discovered:
  - is it clear that there is a free version?
- When the OA version is discovered:
  - is it clear what rights are attached?
Using the right metadata is first part of the solution:

1. **Conventional metadata for books:**
   - bibliographic information, isbn, classification codes, keywords, abstract, etc

2. **Metadata for digital content:**
   - DOI; ORCID; chapter level metadata

3. **Metadata for OA content:**
   - license information (Creative Commons), open access flag, funder information (FundRef), links to OA collections
   - for green OA: embargo, version, link to version of record
The purpose of metadata is to support dissemination:

- **Formats to supply metadata:**
  - ONIX 3.0 (book industry)
  - MARC21 (library community)

- **Provide metadata feeds for various channels:**
  - Library discovery systems: OCLC WorldCat; ExLibris Primo; ProQuest’s Summon; EBSCO Discovery
  - OA channels: harvesting through OAI-PMH; BASE
  - Web resources: Europeana; DPLA

- **Hosting & discovery platforms:**
  - OAPEN; JSTOR; Ingenta Open
  - Discovery service for OA books: DOAB
Hosting & Preservation

• **Hosting & discovery platforms:**
  – OAPEN; JSTOR; Ingenta Open
  – Discovery service for OA books: DOAB
  – Some Publishers’ websites

• **Preservation**
  – Portico, CLOCKSS, HathiTrust & others
Good practice guidelines for metadata:

- ONIX for books: Editeur FAQ on OA monographs
- CrossRef Best Practises for books
- Jisc/OAPEN metadata model for OA monographs

CrossRef guidelines include:

- Add outbound DOI links from references in books
- Establish editorial practices to ensure DOI linking
- Deposit references with CrossRef
Value Added Services

- Identifiers: DOI (Crossref), ORCID, named entities (NERD)
- Entity recognition, with NERD
- Certification of publications, with DOAB
- Open annotation, eg - with Hypothesis
- Usage metrics
Building Infrastructure

- Hirmeos and OPERAS - EU based
- Mellon Projects
Authors & Readers
talking about...

• What do authors think about OA?
• Licencing
• What to keep/what to improve
Author Interest in OA
However...

Attitudes vary greatly both between countries, between disciplines and even among researchers within a discipline, depending on their career stage and other factors.
Furthermore...

‘The most vocal voices against OA have been those who see the challenges such as third party rights permissions as insurmountable obstacles. As we see from this and other studies a more nuanced approach to OA can alleviate some of the concerns.’

*Landscaoe Study* knowledge-exchange.info/event/open-access-monographs
‘Some studies (such as the Book of the Future report, RCUK & BL) provide evidence that in some subjects there is still limited understanding of the benefits or appetite for OA.’
Author Benefits

- For the increasingly mobile academic increased usage figures are a definite plus
- Increased exposure and impact
Interviews with KU Authors

- **Anke Timmermann**, KU Pilot author of *Verse and*
- **Eugene D. Coyle and Richard A. Simmons**, KU Pilot authors of *Understanding the Global Energy Crisis* (Purdue University Press)
- **James P. Wilper**, author of *Reconsidering the Emergence of the Gay Novel in English and German* (Purdue University Press)
- **Kristin V. Monroe**, author of *The Insecure City: Space, Power, and Mobility in Beirut* (Rutgers University Press)
- **Jason Pierce**, author of *Making the White Man’s West: Whiteness and the Creation of the American West* (University Press of Colorado)
Licencing & Author Choice

Per Country (from DOAB)

<table>
<thead>
<tr>
<th>Country</th>
<th>CC BY</th>
<th>CC BY-NC</th>
<th>CC BY-NC-ND</th>
<th>CC BY-NC-SA</th>
<th>CC BY-ND</th>
<th>CC BY-SA</th>
<th>Other/No data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Austria</td>
<td>8%</td>
<td>17%</td>
<td>74%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Denmark</td>
<td>15%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>85%</td>
</tr>
<tr>
<td>Finland</td>
<td>5%</td>
<td>0%</td>
<td>10%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>85%</td>
</tr>
<tr>
<td>France</td>
<td>0%</td>
<td>6%</td>
<td>7%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>87%</td>
</tr>
<tr>
<td>Germany</td>
<td>5%</td>
<td>0%</td>
<td>52%</td>
<td>0%</td>
<td>32%</td>
<td>11%</td>
<td>0%</td>
</tr>
<tr>
<td>Great Britain</td>
<td>23%</td>
<td>2%</td>
<td>67%</td>
<td>1%</td>
<td>0%</td>
<td>6%</td>
<td>0%</td>
</tr>
<tr>
<td>Netherlands</td>
<td>6%</td>
<td>71%</td>
<td>23%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Norway</td>
<td>87%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>13%</td>
</tr>
</tbody>
</table>
For both Authors and Readers

• Quality Assurance
• Peer Review
• Editorial Processes
• New Software
• Easier to use Platforms
Content & Services
talking about...

Big and new issues
The Big Issues

• Who owns the content?
• Who decides on licensing policy?
The New Issues

• Data analytics
• Workflow processes and tools
• Who is developing the new services?
• What does that mean for the future?
New Studies and Reports

• Springer Report
• KU Research - 4 University Presses and JSTOR
• KU Research - UCL
• Geolocational data
Open Research
THE OA EFFECT: HOW DOES OPEN ACCESS AFFECT THE USAGE OF SCHOLARLY BOOKS?
White paper
Chart 1: Average downloads over time per book

- **1st month**: 3,683
- **6 months**: 17,799
- **1st year**: 29,376
- **2nd year**: 21,332
- **3rd year**: 18,368
- **4th year**: 10,507
- **Cumulative**: 79,583

- **OA books**
  - Average per book: 1,000
  - Cumulative downloads: 8,000
- **Non-OA books**
  - Average per book: 1,000
  - Cumulative downloads: 8,000
SpringerNature Study

Cumulative average chapter downloads per book over time since publication date.

- 2.284 downloads in the first month (99th day)
- 9,980 downloads after 6 months
- 17,145 downloads at the end of the first year
- 31,104 downloads at the end of the second year
- 41,074 downloads at the end of the third year
- 55,414 downloads after 4 years

Graph shows an increasing trend in downloads over time.
SpringerNature Study

Cumulative average chapter downloads per book over time since publication date.
SpringerNature Study
Chart 6: Average number of citations

All subject areas

<table>
<thead>
<tr>
<th>Time since publication date</th>
<th>OA books</th>
<th>Non-OA Books</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st year</td>
<td>0.5</td>
<td>0.4</td>
</tr>
<tr>
<td>2nd year</td>
<td>2.7</td>
<td>1.5</td>
</tr>
<tr>
<td>3rd year</td>
<td>3.2</td>
<td>2.5</td>
</tr>
<tr>
<td>4th year</td>
<td>5.7</td>
<td>3.6</td>
</tr>
</tbody>
</table>

Average citations per book, per year

OA books
Non-OA Books
SpringerNature Study

All subject areas

- 1st year: 22
- 2nd year: 5
- 3rd year: 3
- 4th year: 2

Average mentions per book, per year

OA books
Chart 8: Downloads and citations

All subject areas

Time since publication date

- **Citations: OA books**
- **Downloads: OA books**
- **Citations: Non-OA books**
- **Downloads: Non-OA books**
Springer Nature Summary

• *Downloaded* - *seven times* more than closed books
• *Cited* *50%* more
• *Mentioned* online *ten times* more
EXPLORING USAGE OF OPEN ACCESS BOOKS VIA THE JSTOR PLATFORM

Lucy Montgomery, Neil Saunders, Frances Pinter & Alkim Ozaygen


Knowledge Unlatched Research C.I.C | www.kuresearch.org
Where do Readers Come From?

Are they already on JSTOR or do they come from other sites such as Google Scholar? What are the percentages?

Top 10 referrers by session - OA books
Where do Readers Come From?

Top 10 referrers by session and publisher: OA books
What is the reader’s behavior re: the proportion who download chapters and those who just view?

Event type as percentage of events by publisher
OA Books

What is the reader’s behavior re the proportion who download chapters and those who just view?

Event type by user
Across the JSTOR Platform

Most Popular Subjects

Non-OA

OA

Comparison cloud - top 100 BISAC terms found in OA and non-OA titles
MIT - 2016Q4 Usage

Including Geo-location (Cambridge & Boston)

Only 3.9-13.5% of all usage in the C/B area is recorded in COUNTER!
talking about...
Libraries

- Supporting authors and readers
- Facilitating discoverability
- Fostering New University Presses
- Participating and supporting new initiatives
- Contributing to the debate
- Supporting change
Libraries made this happen

The KU Model

1. Publishers submit titles to KU
2. KU’s Librarian Task Force selects titles
3. KU sends out information to Member Libraries
4. Member Libraries pledge and send orders to KU
5. KU aggregates orders, collects money from Libraries
6. KU pays Publishers
7. Books are Unlatched

Publishers

Knowledge Unlatched

Libraries
KU Progress 2014 - 2018

- 2014: 28 Books from 13 publishers (MARC Records)
- 2015: 78 Books from 26 publishers
- 2016: 343 Books from 54 publishers (Usage reports on IP range)
- 2018: Coming in 2018 (STEM Collection and more...)

kuresearch.org      @kuresearchorg
Thank You