

Open Access and Books

Applying an International Lens



Dr Frances Pinter
Founder, Knowledge Unlatched
& Knowledge Unlatched Research

Looking at Monographs



What is a Monograph?

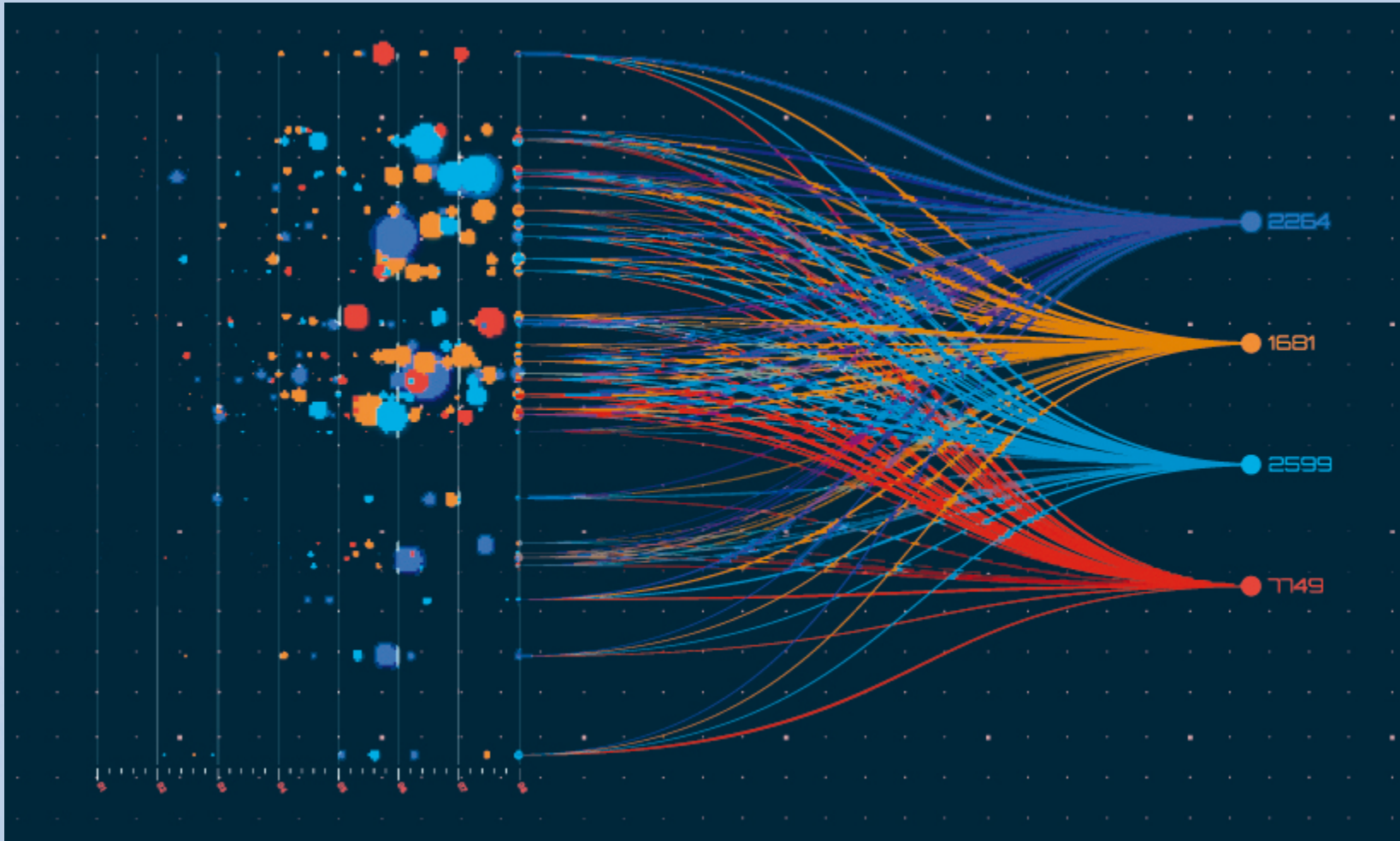
A long, academic and peer reviewed work on a single topic normally written by a single author, and extended to also include peer reviewed edited collections by multiple authors.

Monographs & Research

‘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

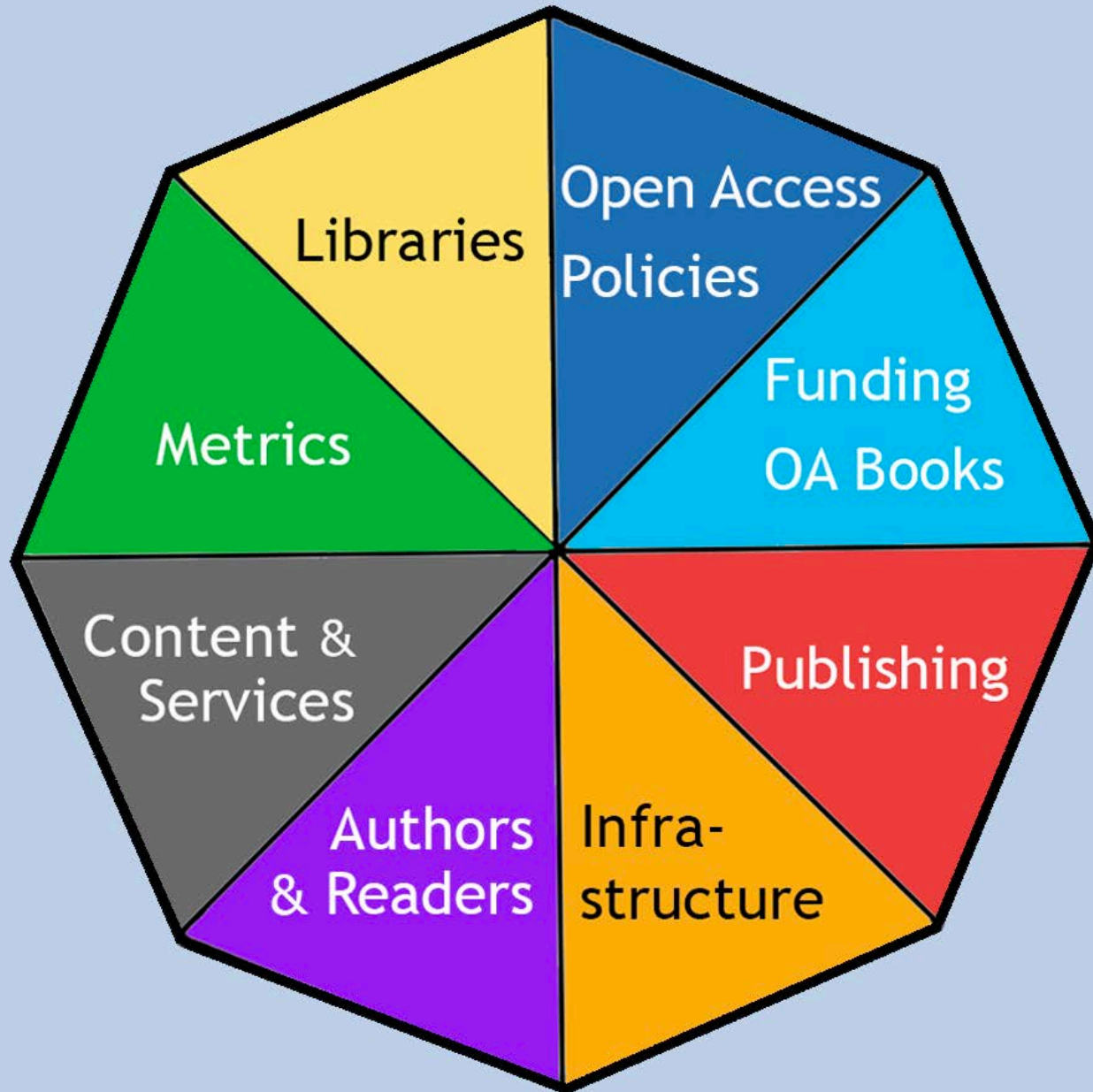


Monographs are Important

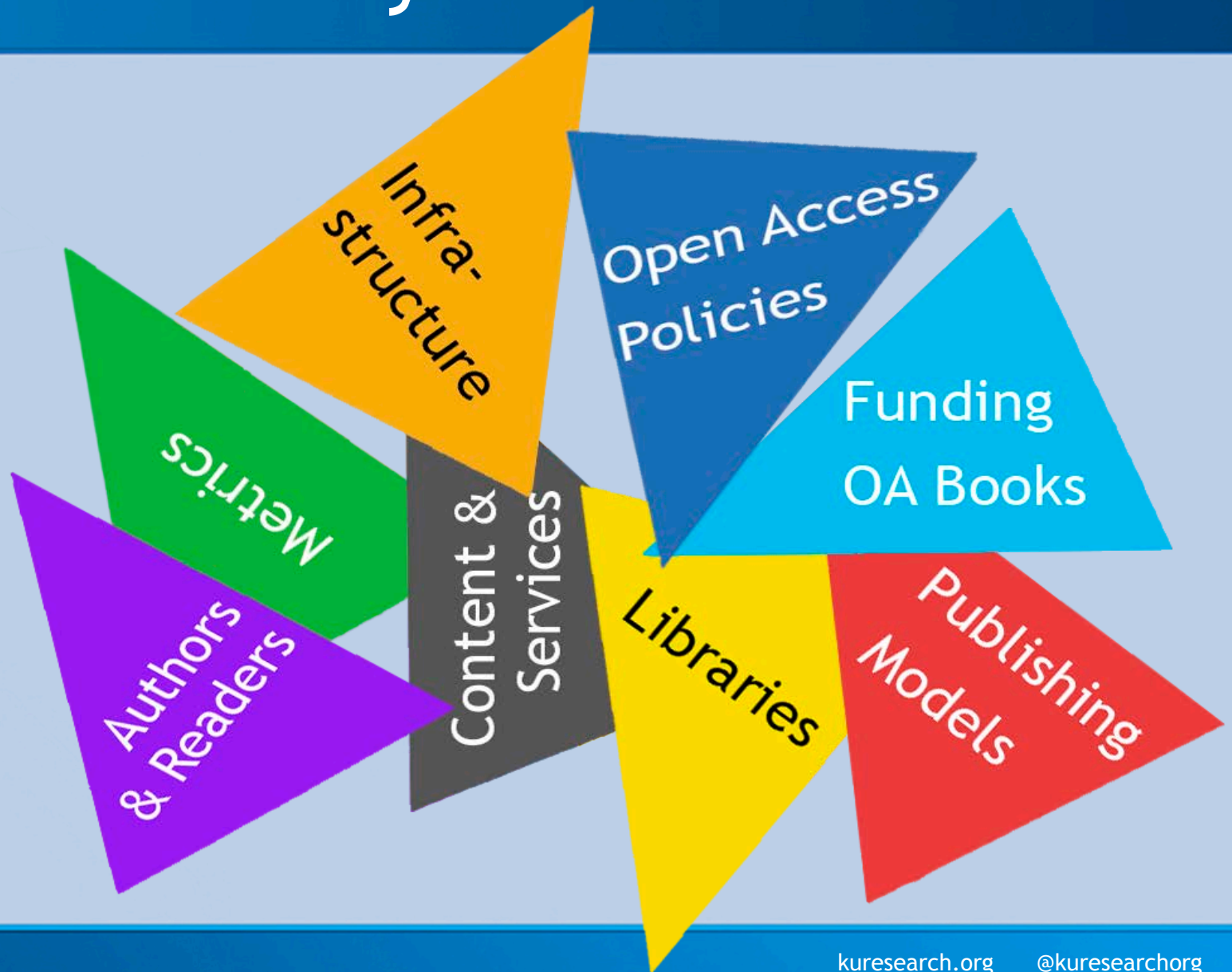
Monographs play a unique role in knowledge creation and scholarly communications

Monographs are not just ‘long articles’

- Different function in the research process
- Different Business Models
- Additional formats for sale



Why Such a Mess?



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

talking about...

What's happening in Europe *and* the UK



EUROPE



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

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

UK Developments



HEFCE and the REF

Funding OA Books



Funding
OA Books

talking about...

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

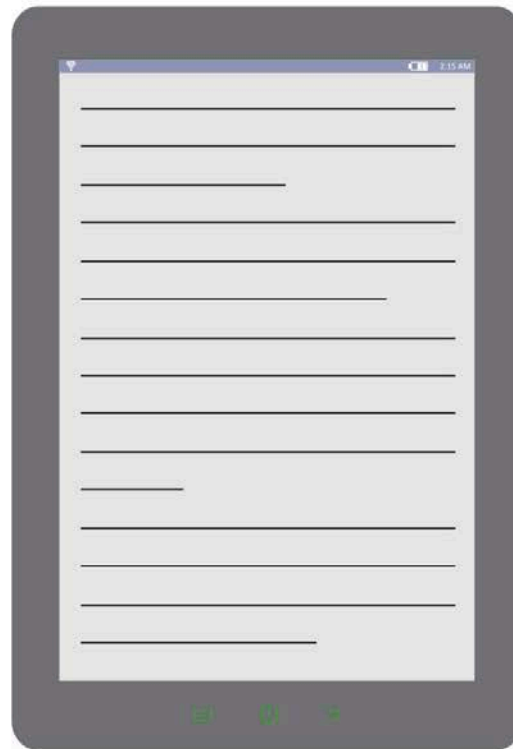
Baseline Title Publication Costs = \$15,000

**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



Publishing

talking about...

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



Publishing

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 \neq 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

Transitioning to OA

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



Infra-
structure

talking about...

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



Infra-
structure

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?

Discovery & Metadata

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



Dissemination & Metadata

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 Infrastructure Guidelines

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



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.’

Landscape Study knowledge-exchange.info/event/open-access-monographs

And...

‘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.’

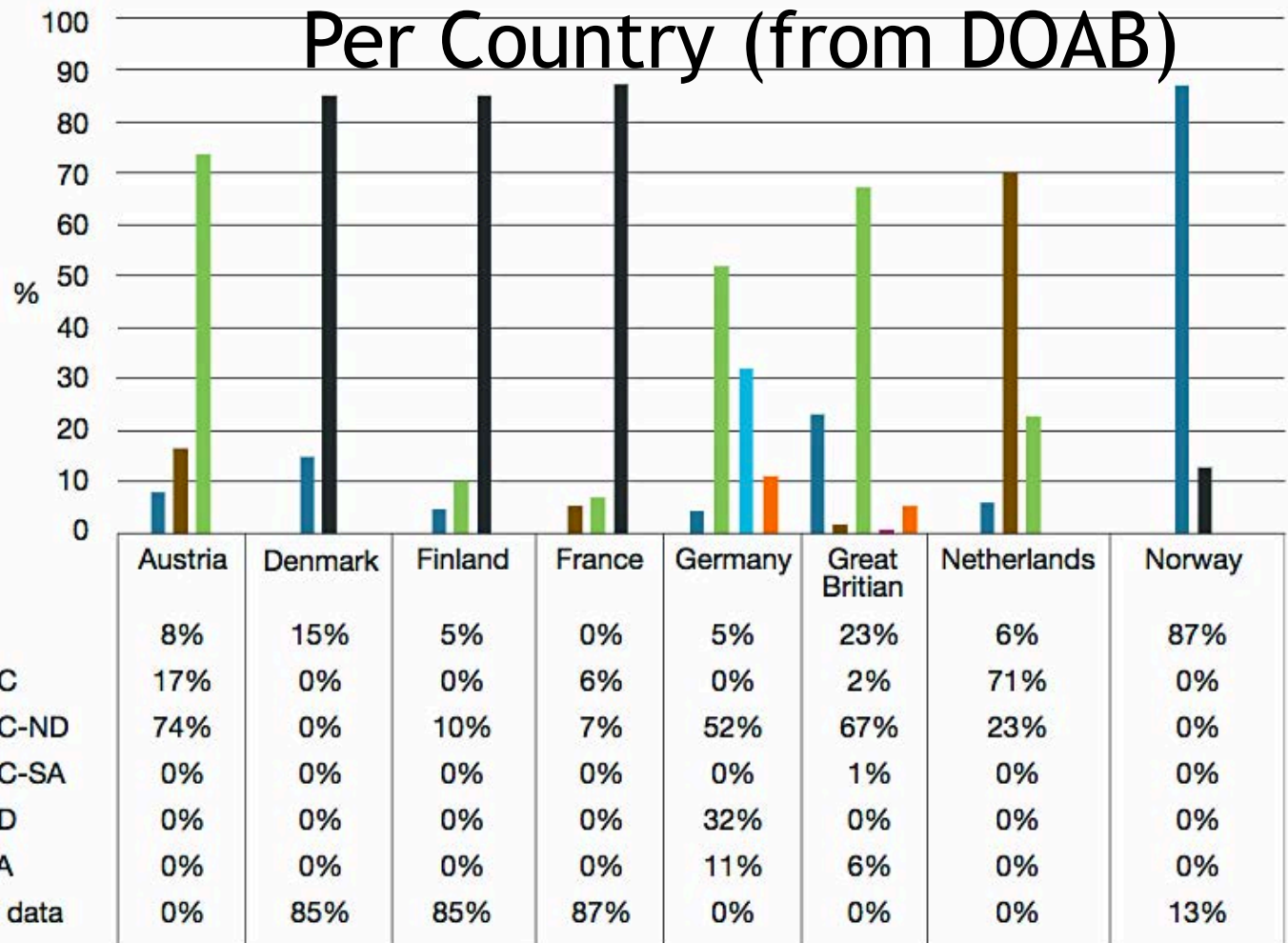
Author Benefits

- 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*
- [Cynthia Skenazi](#), KU Pilot author of *Aging Gracefully in the Renaissance. Stories of Later Life from Petrarch to Montaigne* [Jennifer Fredette](#), KU Pilot author of *Constructing Muslims in France* (Temple University Press)
- [Eugene D. Coyle and Richard A. Simmons](#), KU Pilot authors of *Understanding the Global Energy Crisis* (Purdue University Press)
- [Steven Pierce](#), author of *Moral Economies of Corruption: State Formation and Political Culture in Nigeria* (Duke 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)
- [Marc D. Perry](#), author of *Negro Soy Yo: Hip Hop and Raced Citizenship in Neoliberal Cuba* (Duke 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



What to Keep and Improve

For both Authors and Readers

- Quality Assurance
- Peer Review
- Editorial Processes
- New Software
- Easier to use Platforms

Content & Services



Content &
Services

talking about...

Big and new issues

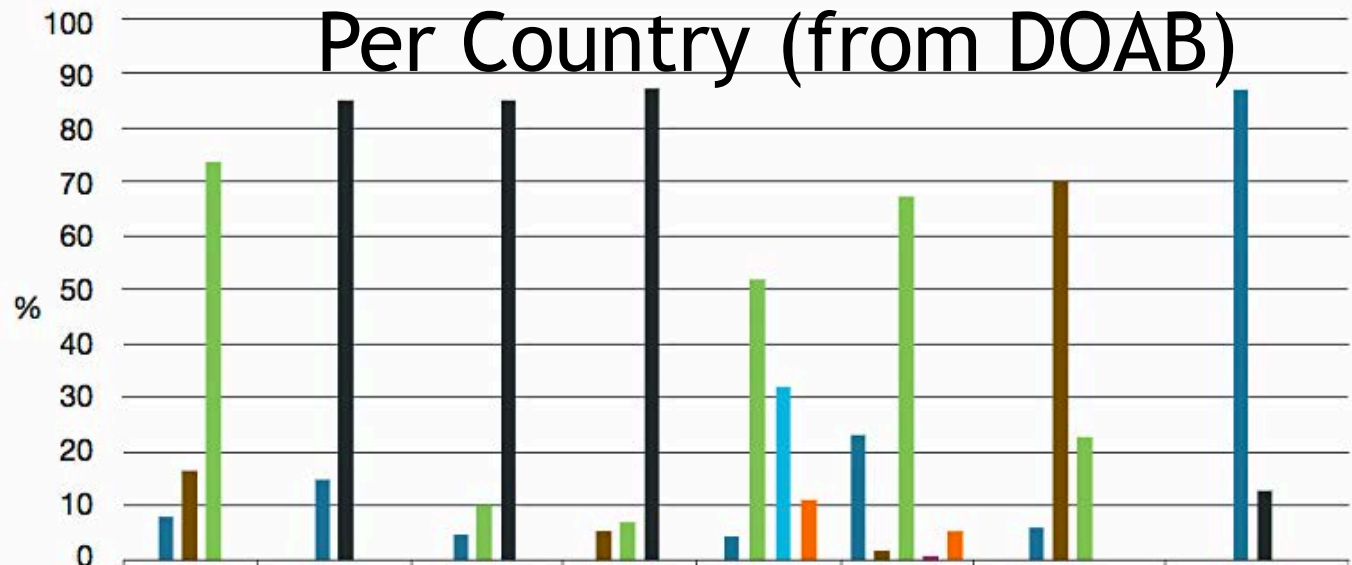


Content &
Services

The Big Issues

- Who owns the content?
- Who decides on licensing policy?

Distribution of Licences



- CC BY
- CC BY-NC
- CC BY-NC-ND
- CC BY-NC-SA
- CC BY-ND
- CC BY-SA
- Other/No data

	Austria	Denmark	Finland	France	Germany	Great Britian	Netherlands	Norway
CC BY	8%	15%	5%	0%	5%	23%	6%	87%
CC BY-NC	17%	0%	0%	6%	0%	2%	71%	0%
CC BY-NC-ND	74%	0%	10%	7%	52%	67%	23%	0%
CC BY-NC-SA	0%	0%	0%	0%	0%	1%	0%	0%
CC BY-ND	0%	0%	0%	0%	32%	0%	0%	0%
CC BY-SA	0%	0%	0%	0%	11%	6%	0%	0%
Other/No data	0%	85%	85%	87%	0%	0%	0%	13%

The New Issues

- Data analytics
- Workflow processes and tools
- Who is developing the new services?
- What does that mean for the future?

Metrics



talking about...

New Studies and Reports


- Springer Report
- KU Research - 4 University Presses and JSTOR
- KU Research - UCL
- Geolocational data



SpringerNature Study

SPRINGER NATURE springernature.com

Illustration inspired by the work of Jean-Claude Bradley







Open Research

THE OA EFFECT: HOW DOES OPEN ACCESS AFFECT THE USAGE OF SCHOLARLY BOOKS?

White paper

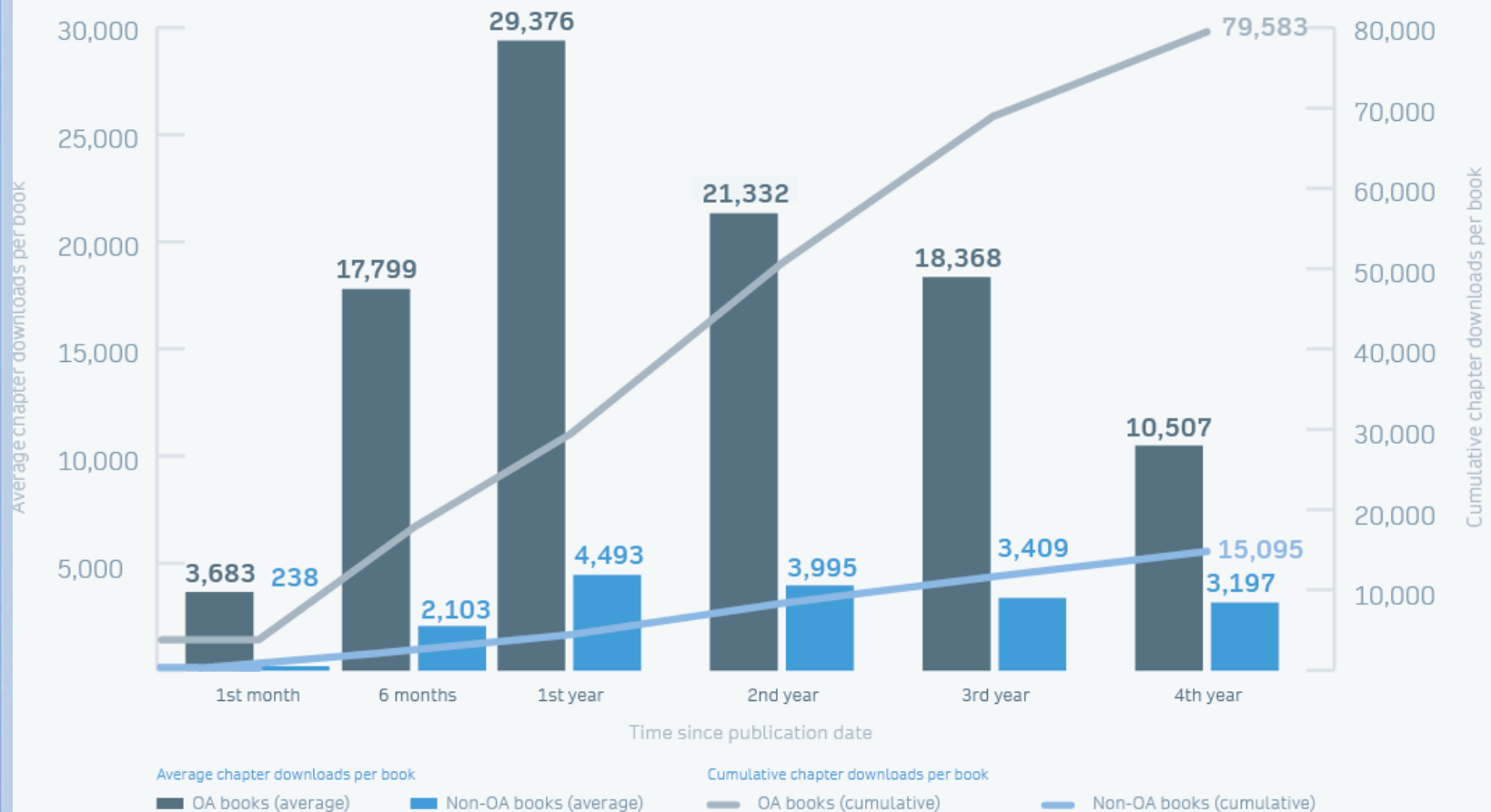
ADVANCING
DISCOVERY

Open Research: Journals, books, data and tools from:

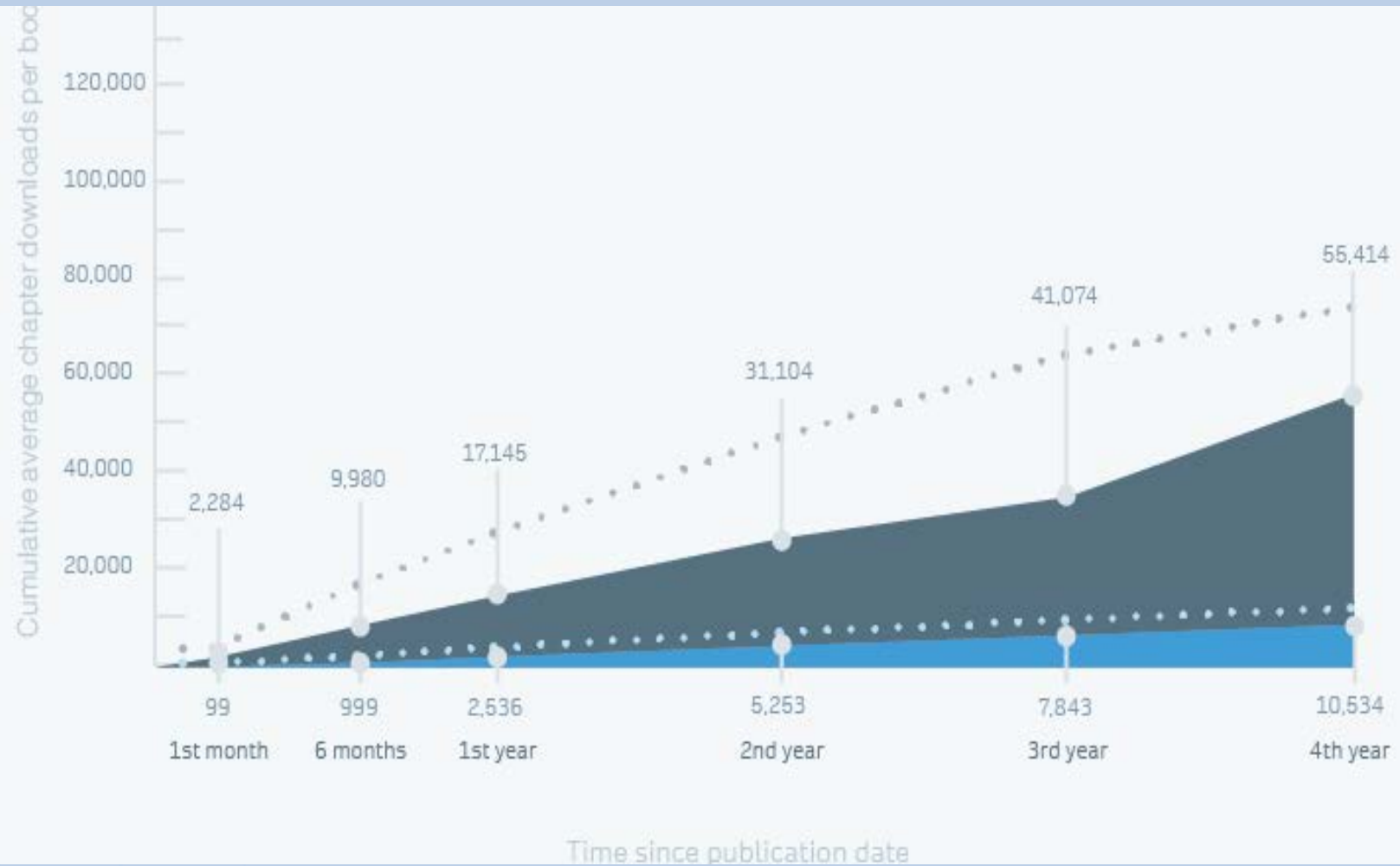
   

SpringerNature Study

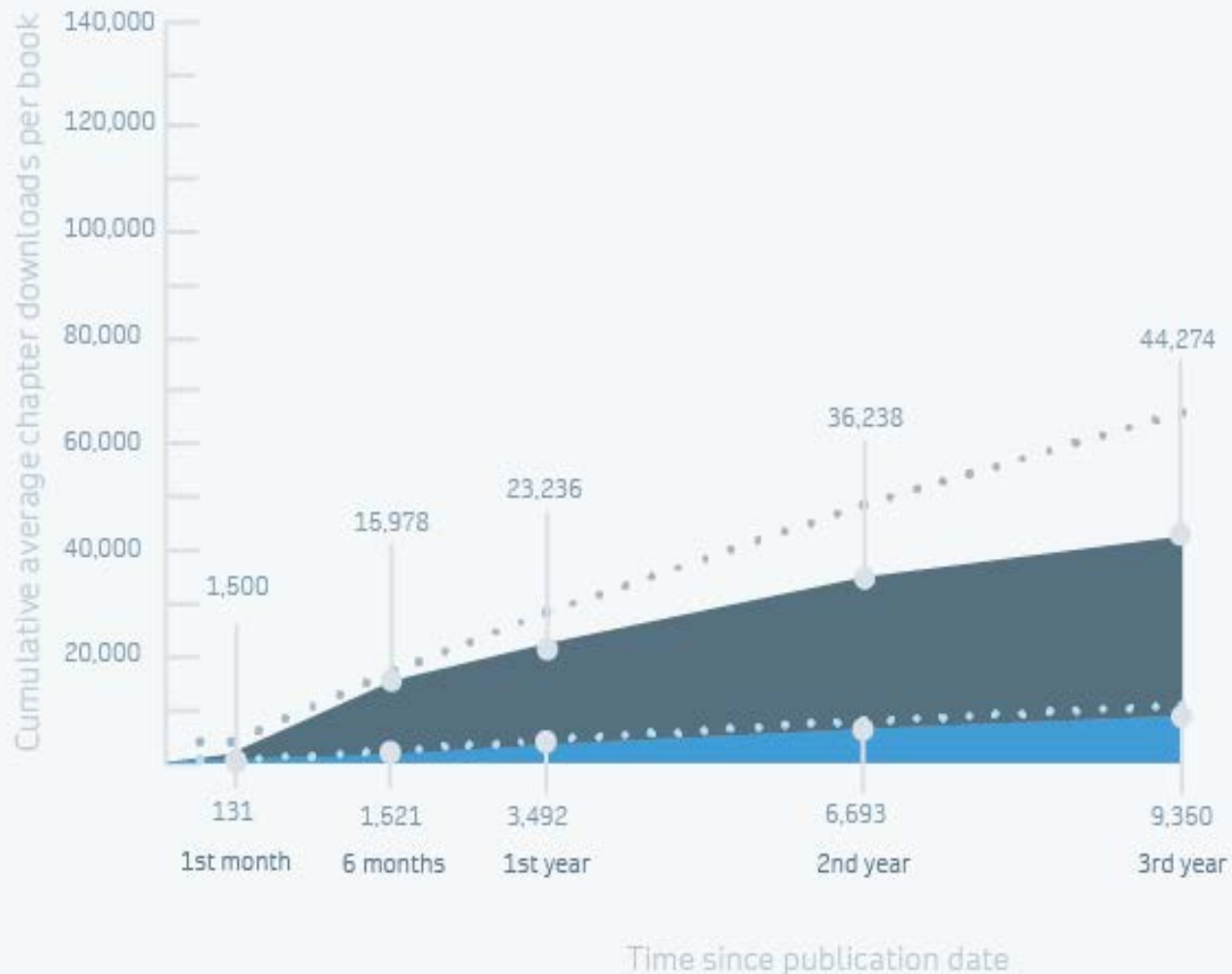
Chart 1: Average downloads over time per book



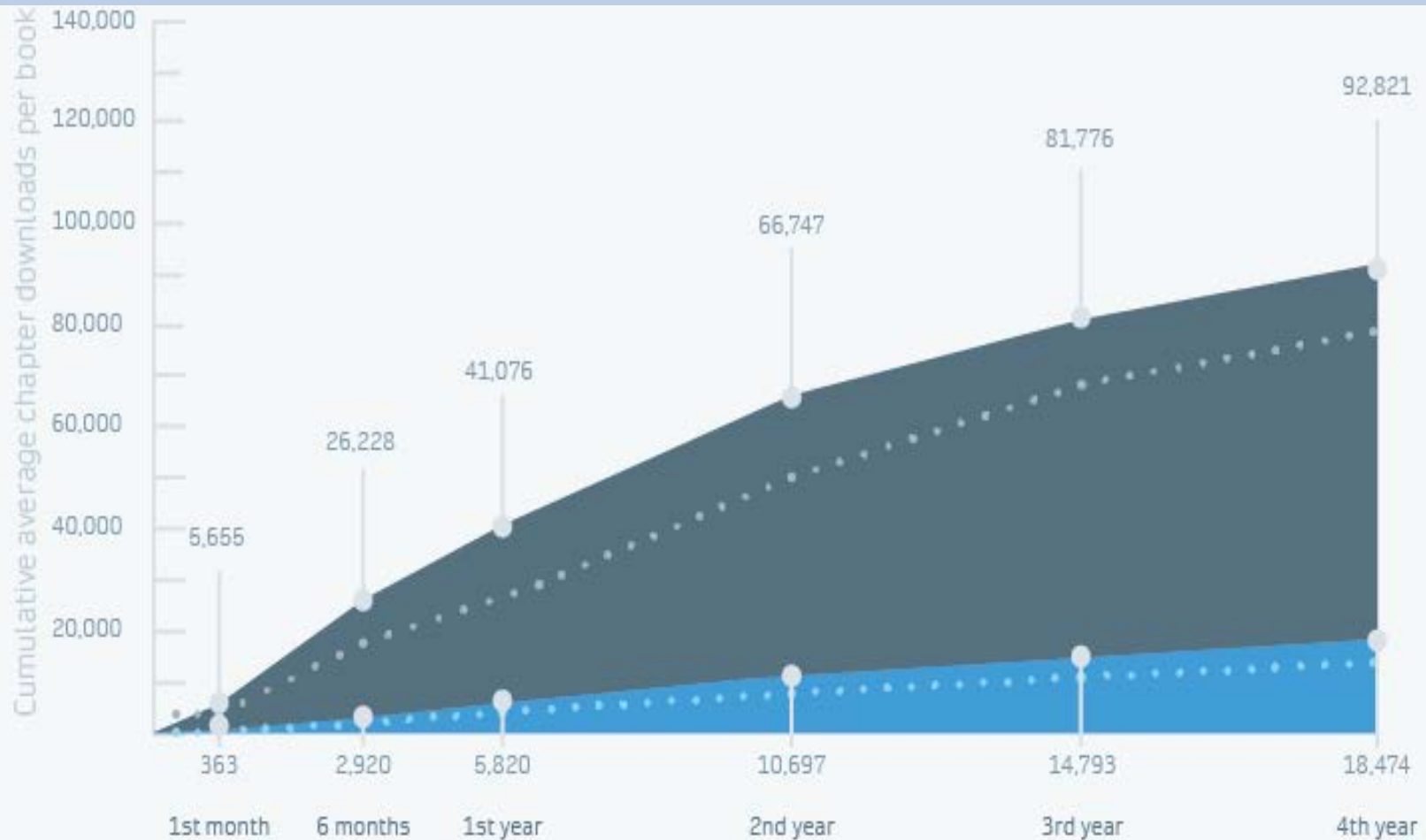
SpringerNature Study



SpringerNature Study



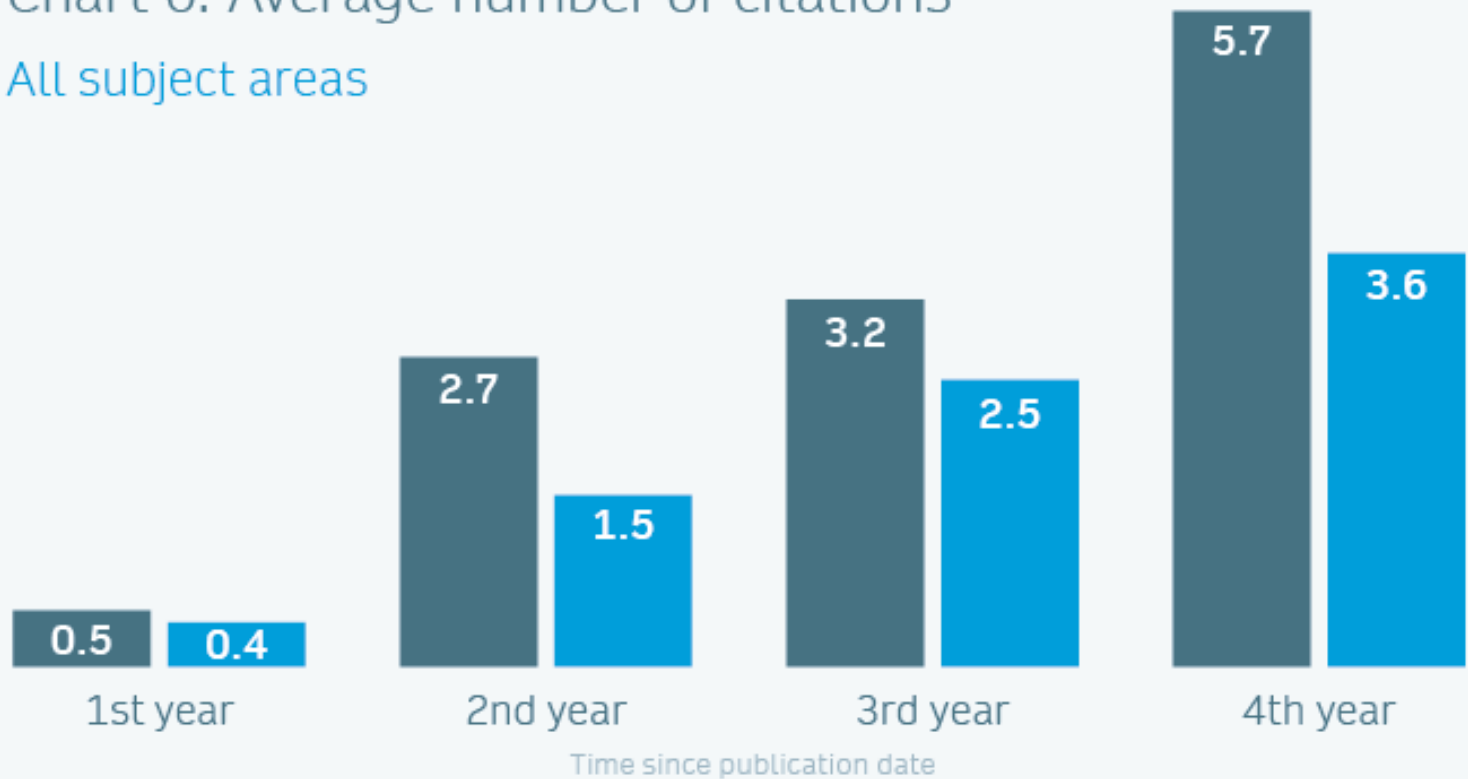
SpringerNature Study



SpringerNature Study

Chart 6: Average number of citations

All subject areas

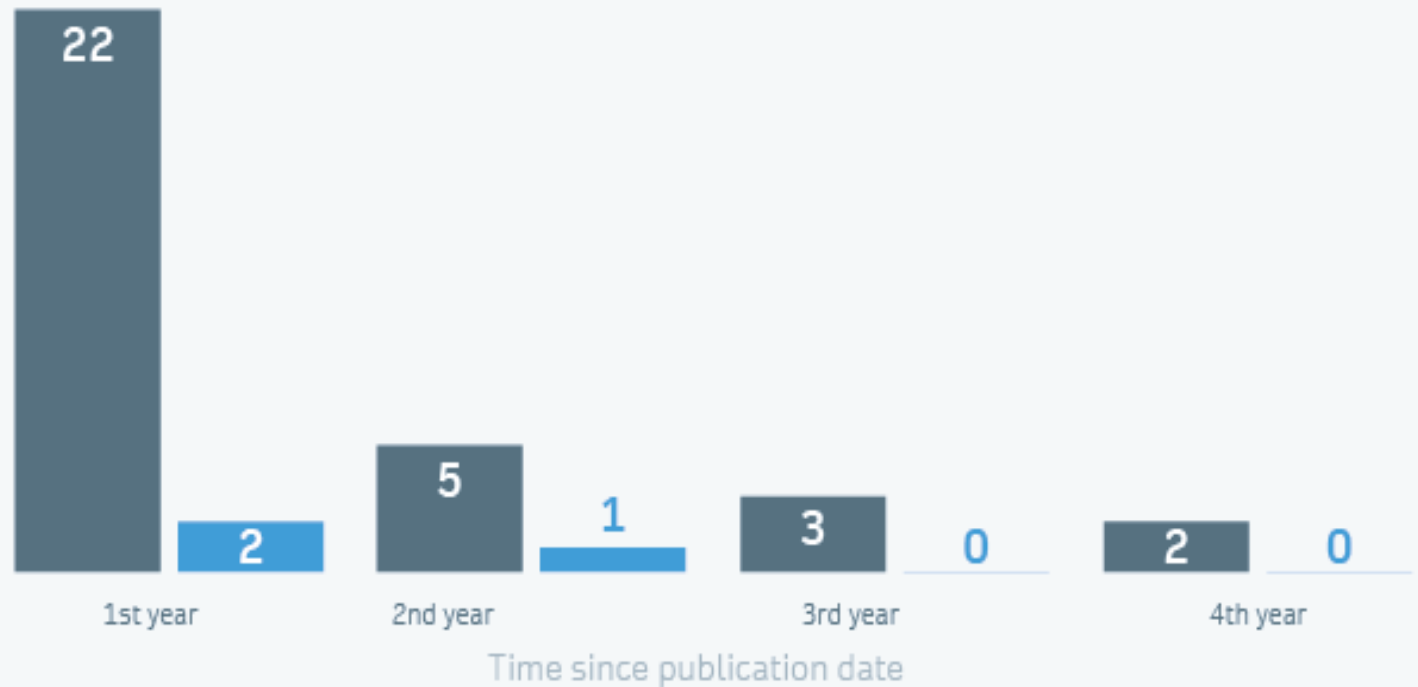


Average citations per book, per year

- OA books
- Non-OA Books

SpringerNature Study

All subject areas



Average mentions per book, per year

■ OA books

SpringerNature Study

Chart 8: Downloads and citations

All subject areas



Springer Nature Summary

- *Downloaded* - **seven times** more than closed books
- *Cited* **50%** more
- *Mentioned* online **ten times** more

JSTOR Report



EXPLORING USAGE OF OPEN ACCESS BOOKS VIA THE JSTOR PLATFORM



Lucy Montgomery, Neil Saunders, Frances Pinter & Alkim Ozaygen

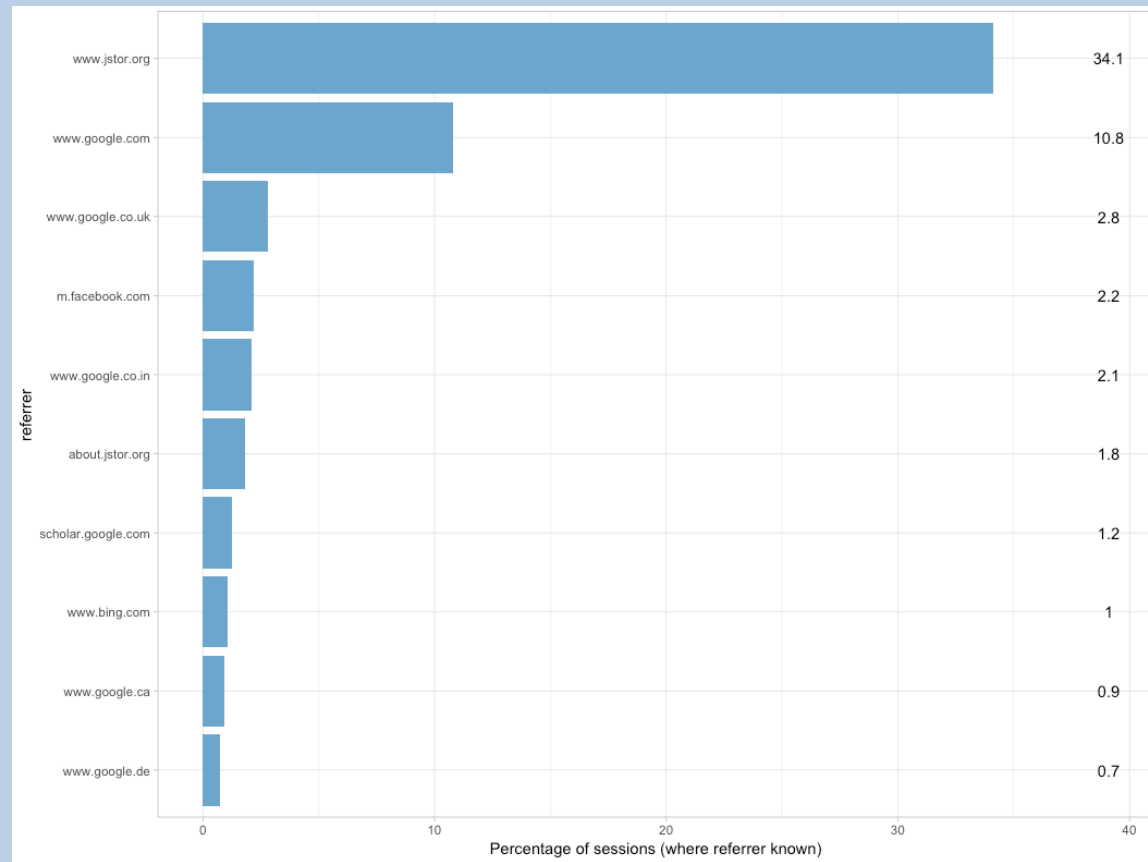
Report Sponsors: UCL Press, University of Michigan Press, Cornell University Press, University of California Press

Knowledge Unlatched Research C.I.C | www.kuresearch.org



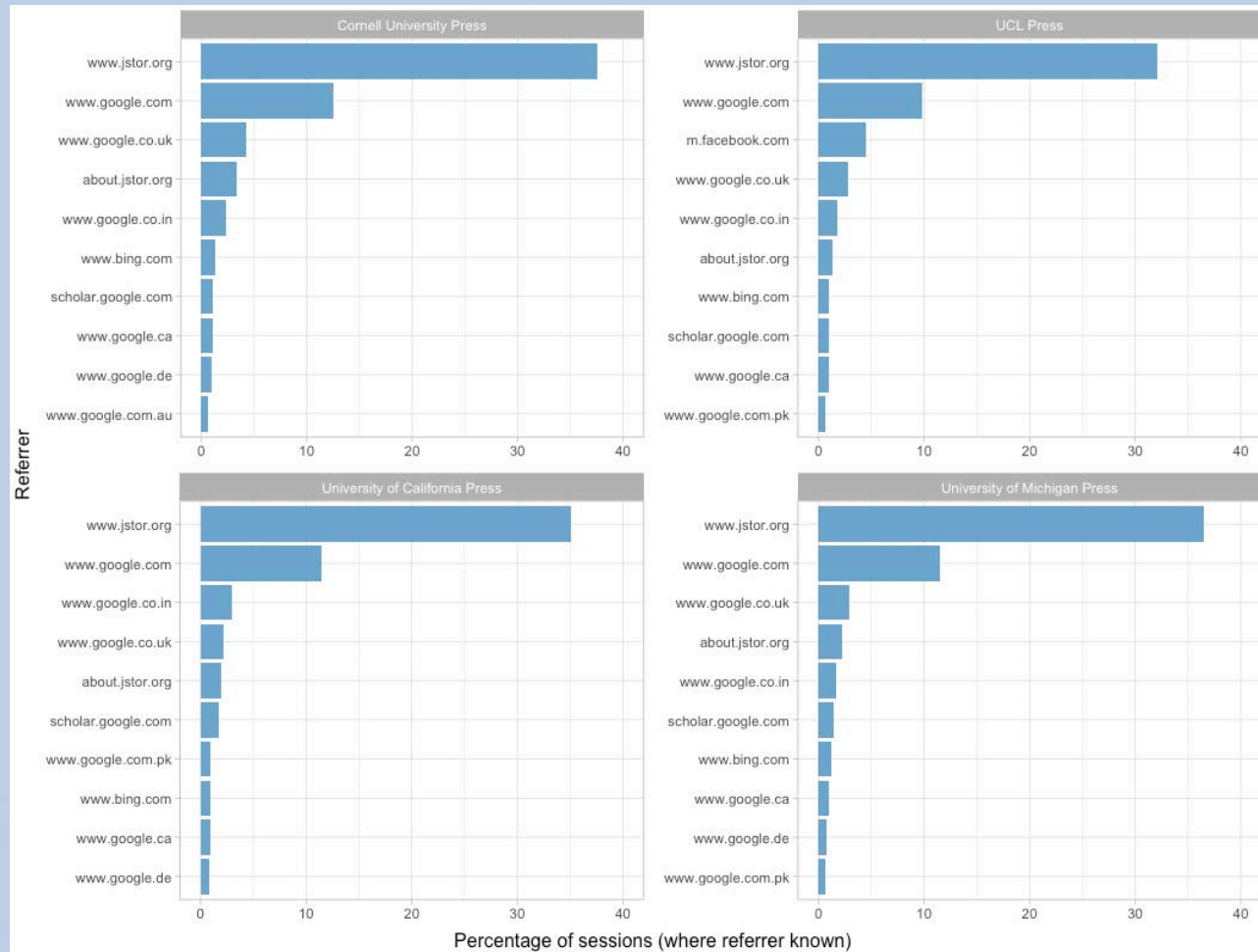
Where do Readers Come From?

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

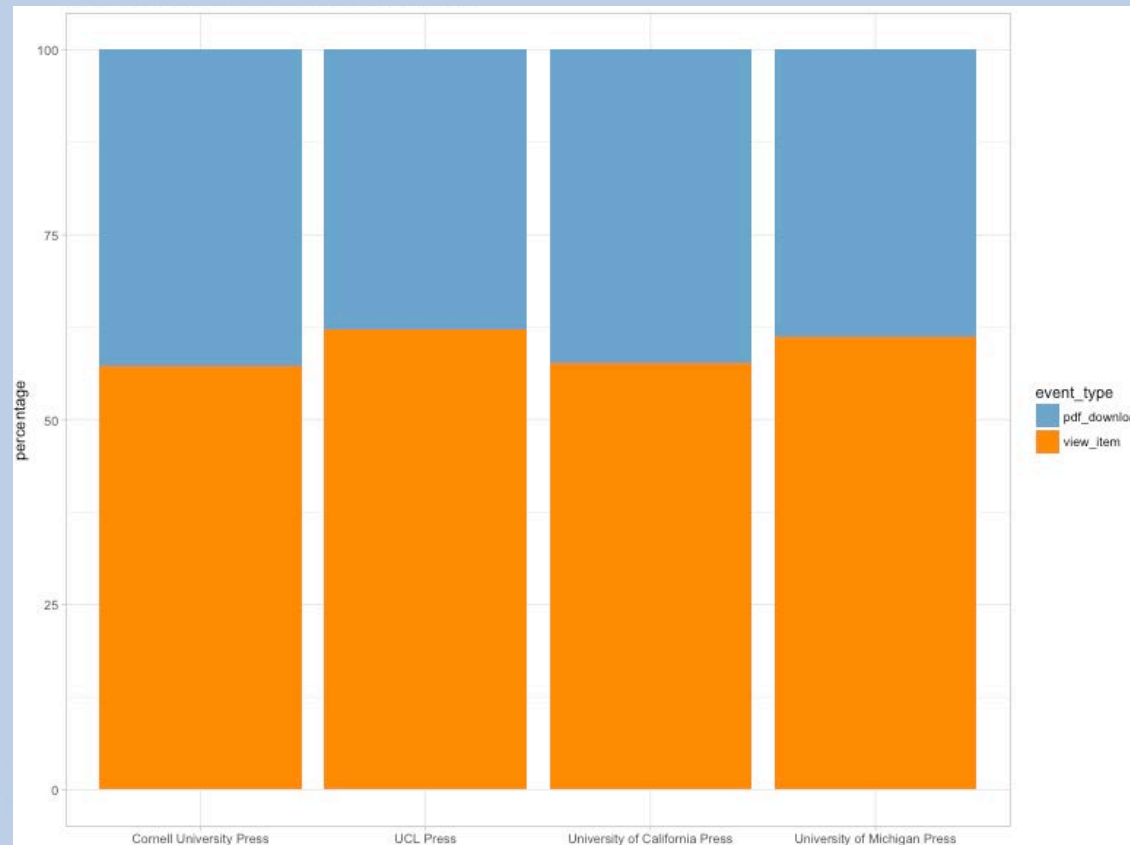
Where do Readers Come From?



Top 10 referrers by session and publisher: OA books

OA Books

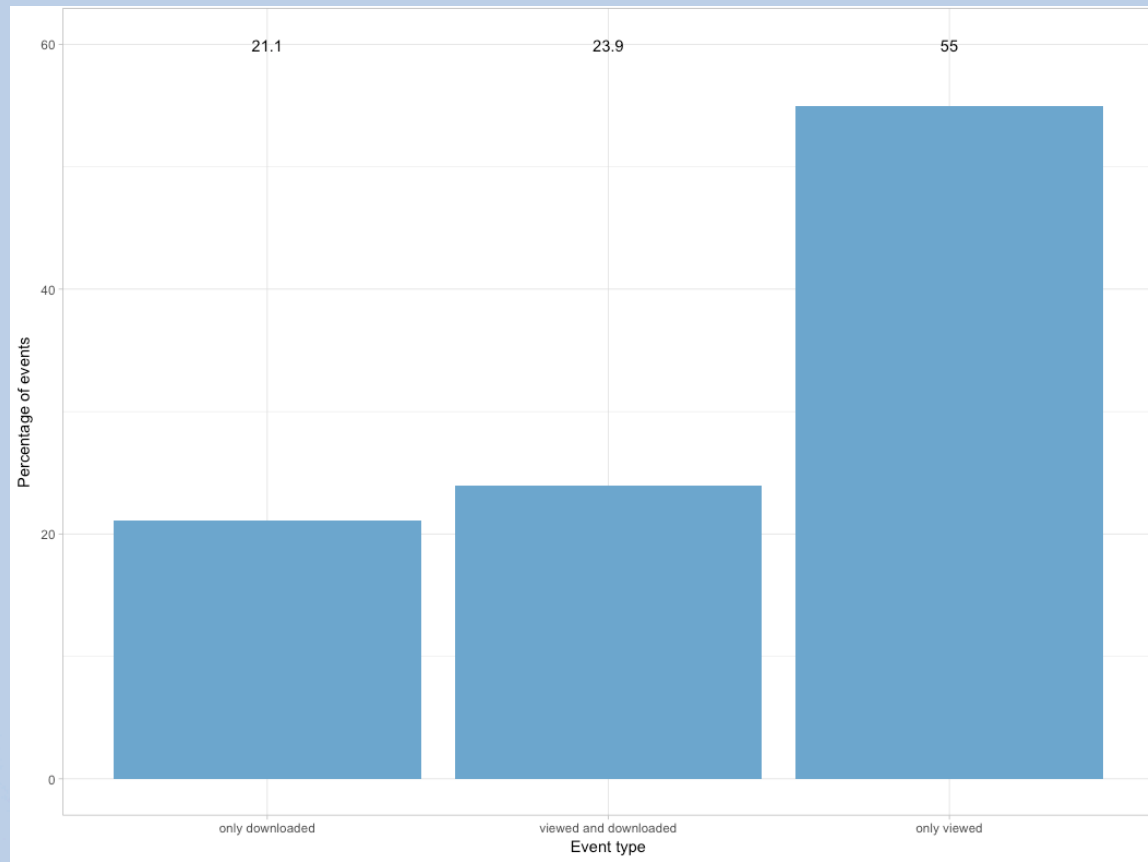
What is the reader's behavior re: the proportion who download chapters and those who just view?



Event type as percentage of events by publisher

OA Books

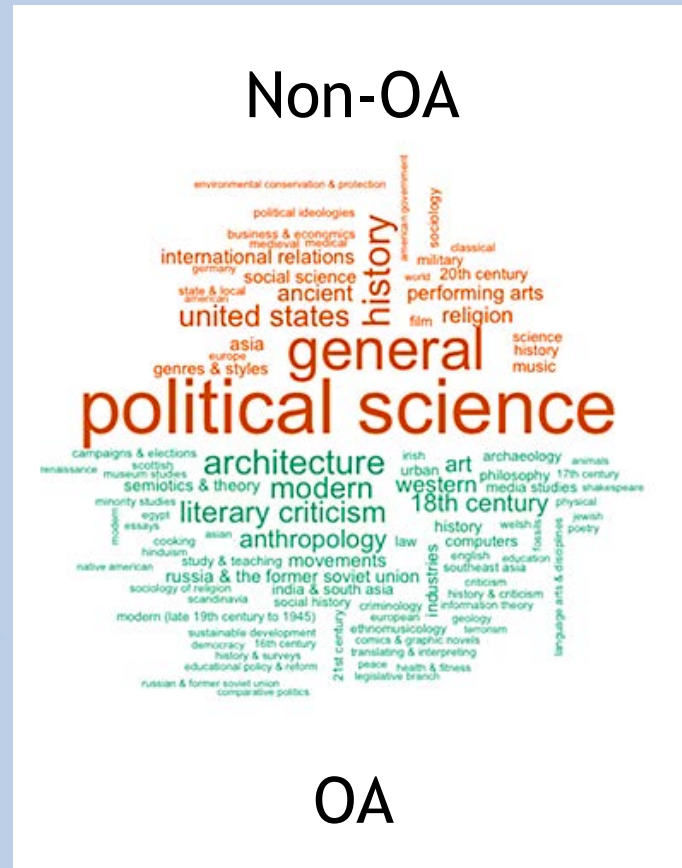
What is the reader's behavior re the proportion who download chapters and those who just view?



Event type by user

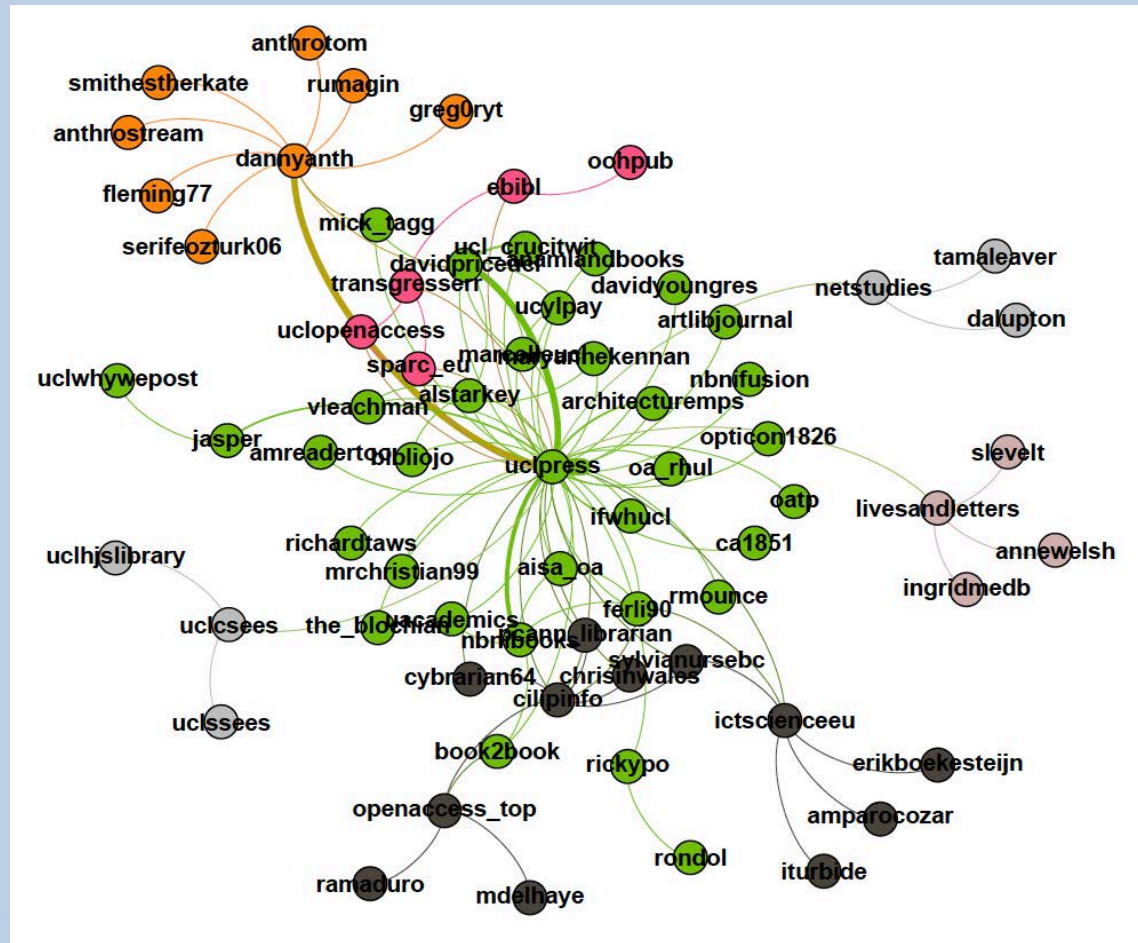
Across the JSTOR Platform

Most Popular Subjects



Comparison cloud - top 100 BISAC terms found in OA and non-OA titles

UCL Press - Social Media Tracking



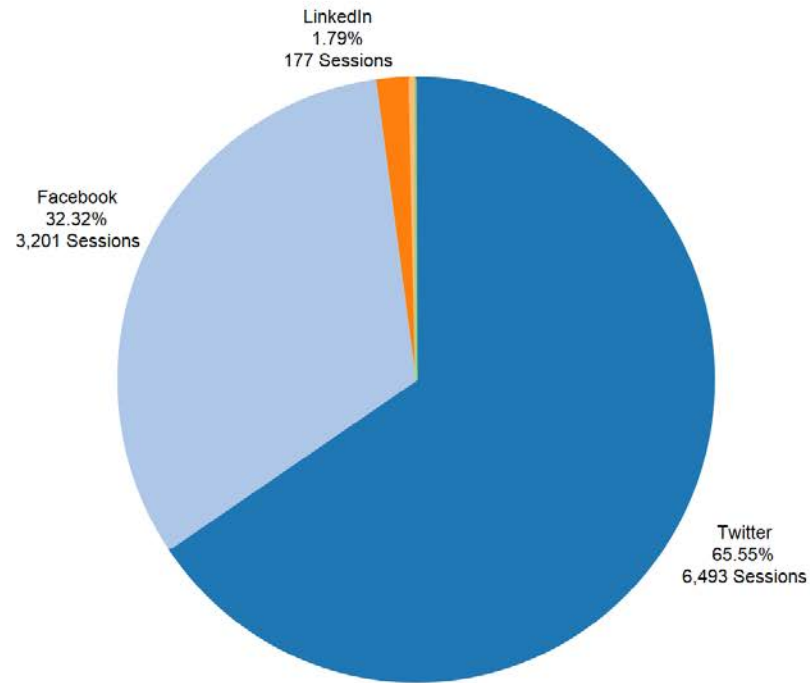
A/Prof Lucy Montgomery

Boston - June 2017

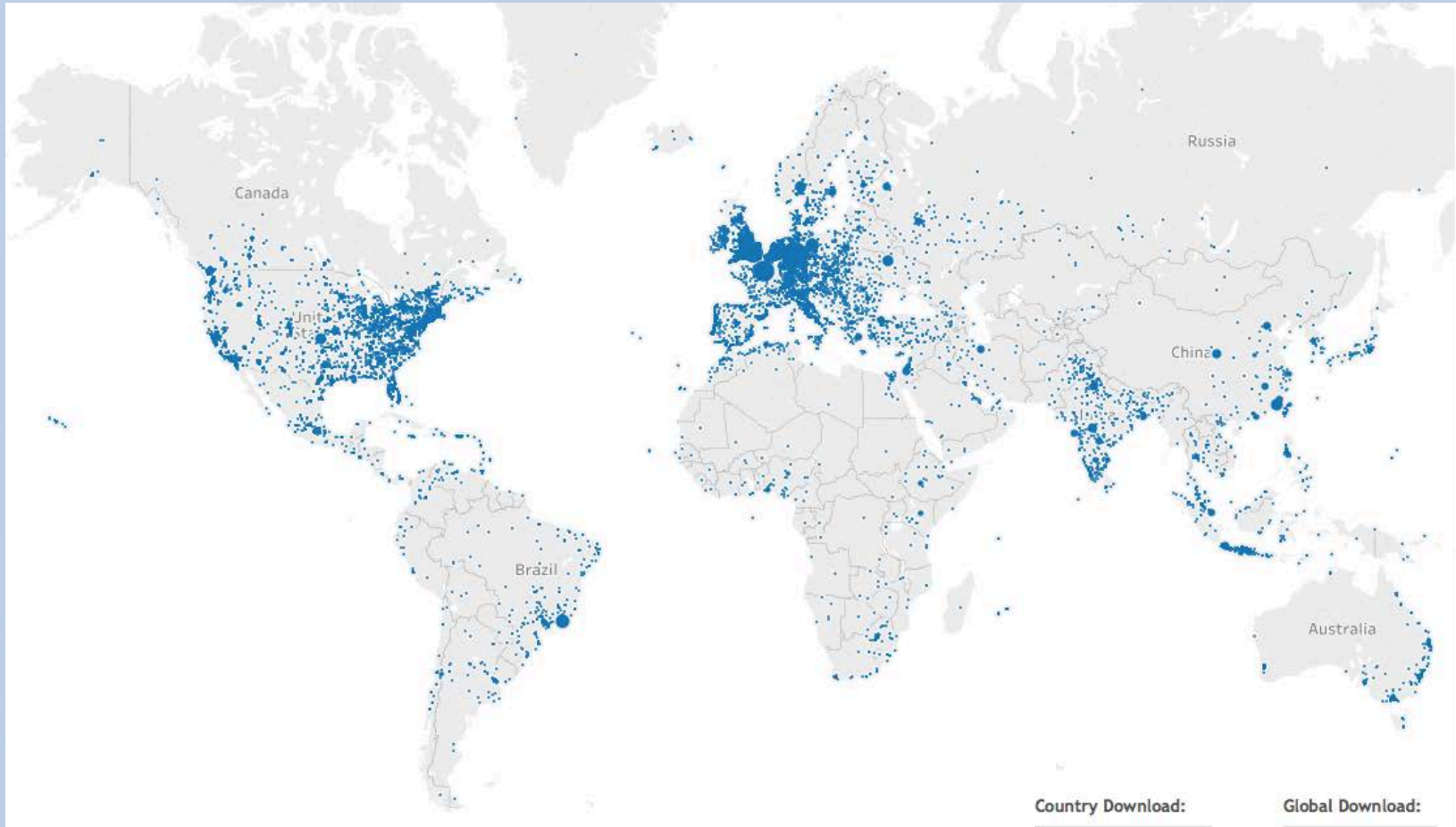
kuresearch.org

@kuresearchorg

Social Media Referrals

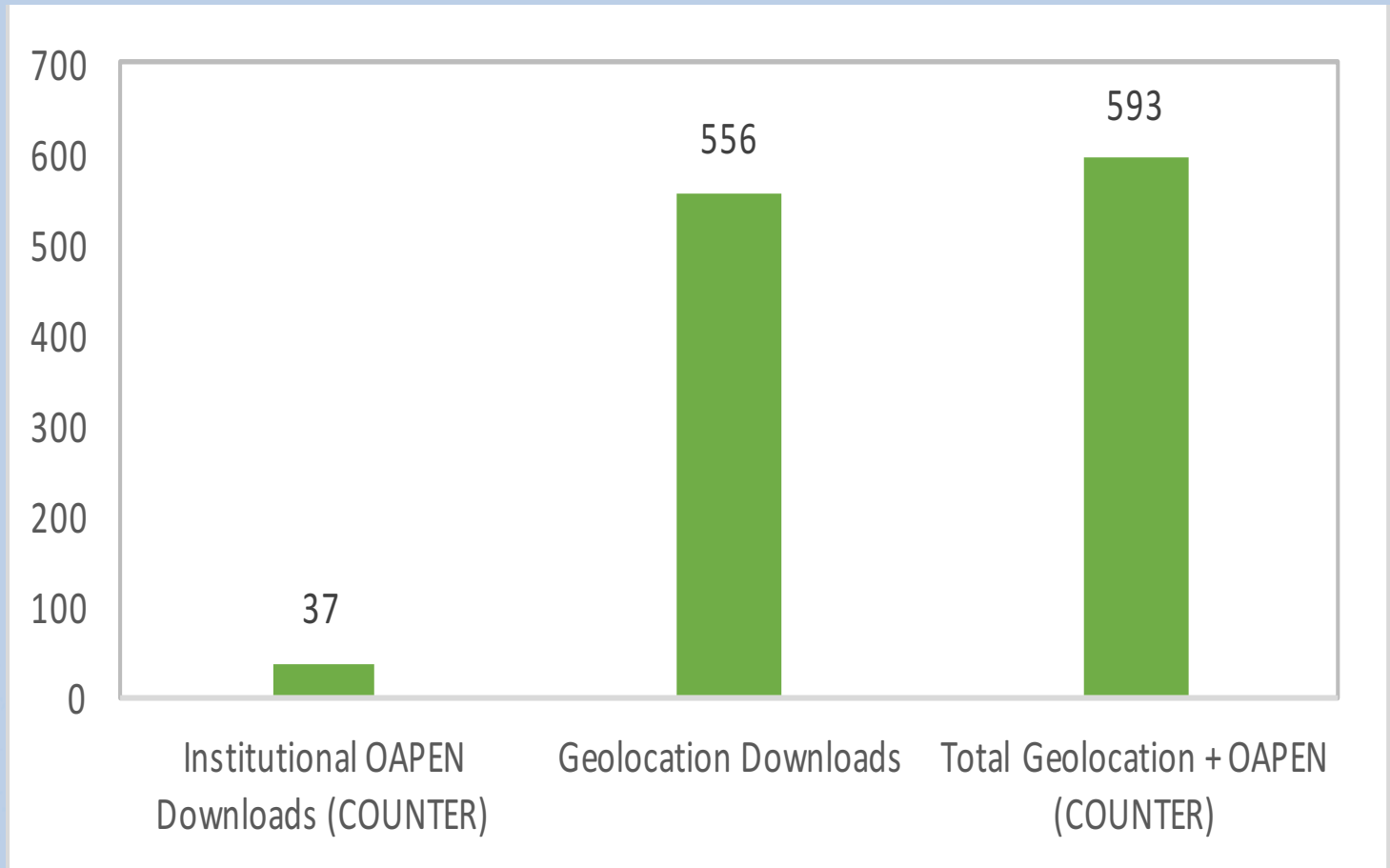


Geo-location - KU titles



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!

Libraries



Libraries

talking about...



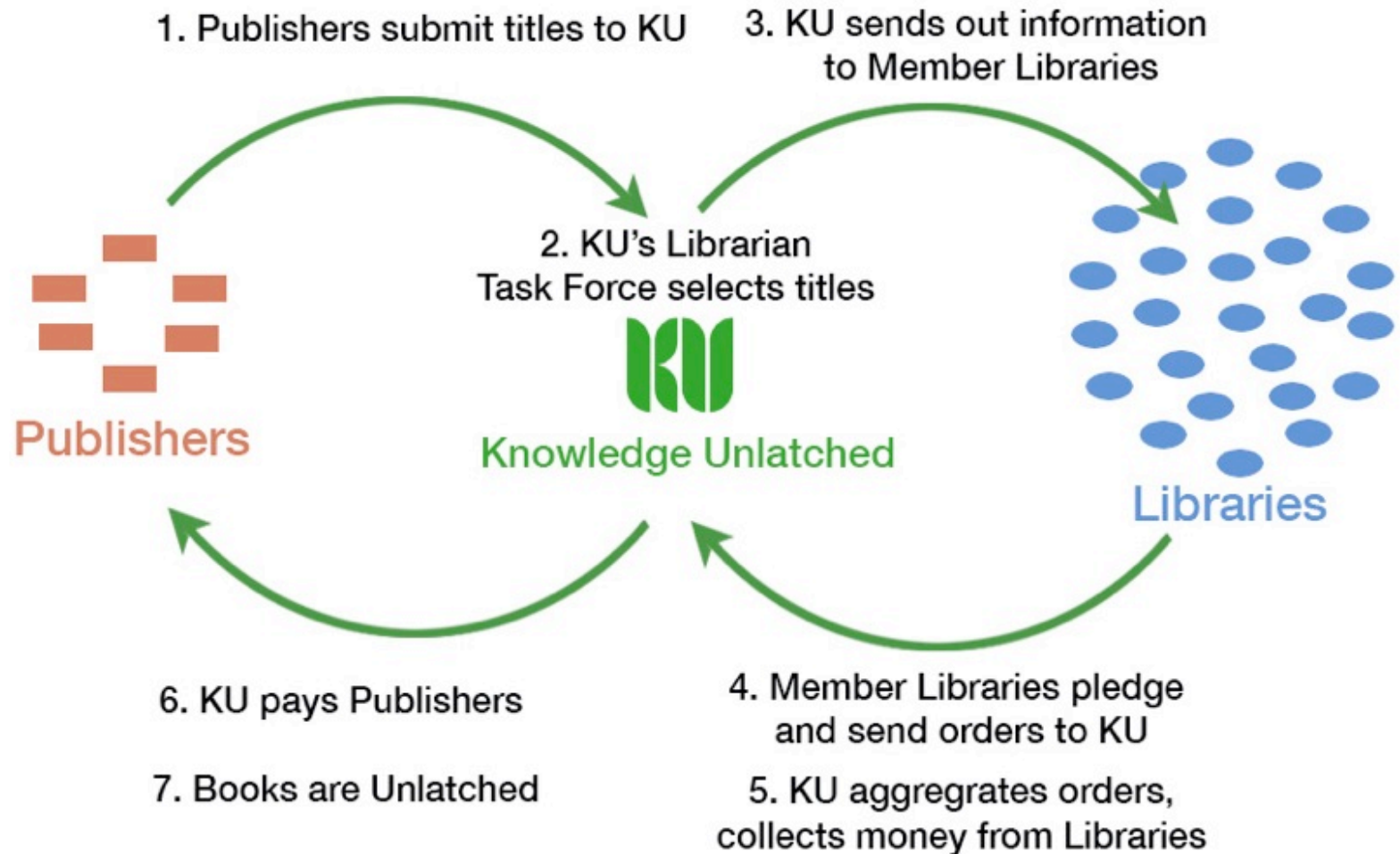
Libraries

Libraries

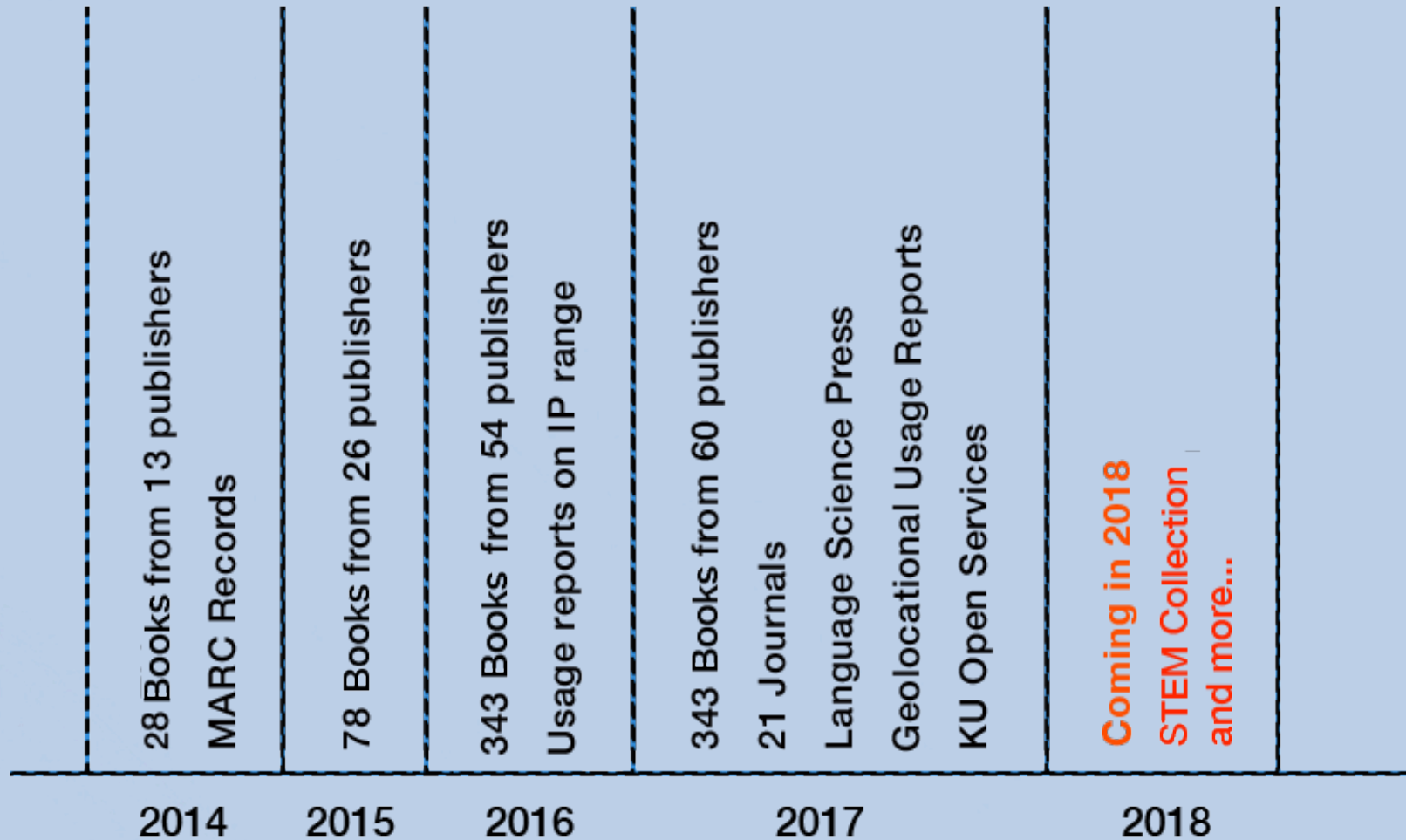
- Supporting authors and readers
- Facilitating discoverability
- Fostering New University Presses
- Participating and supporting new initiatives
- Contributing to the debate
- Supporting change

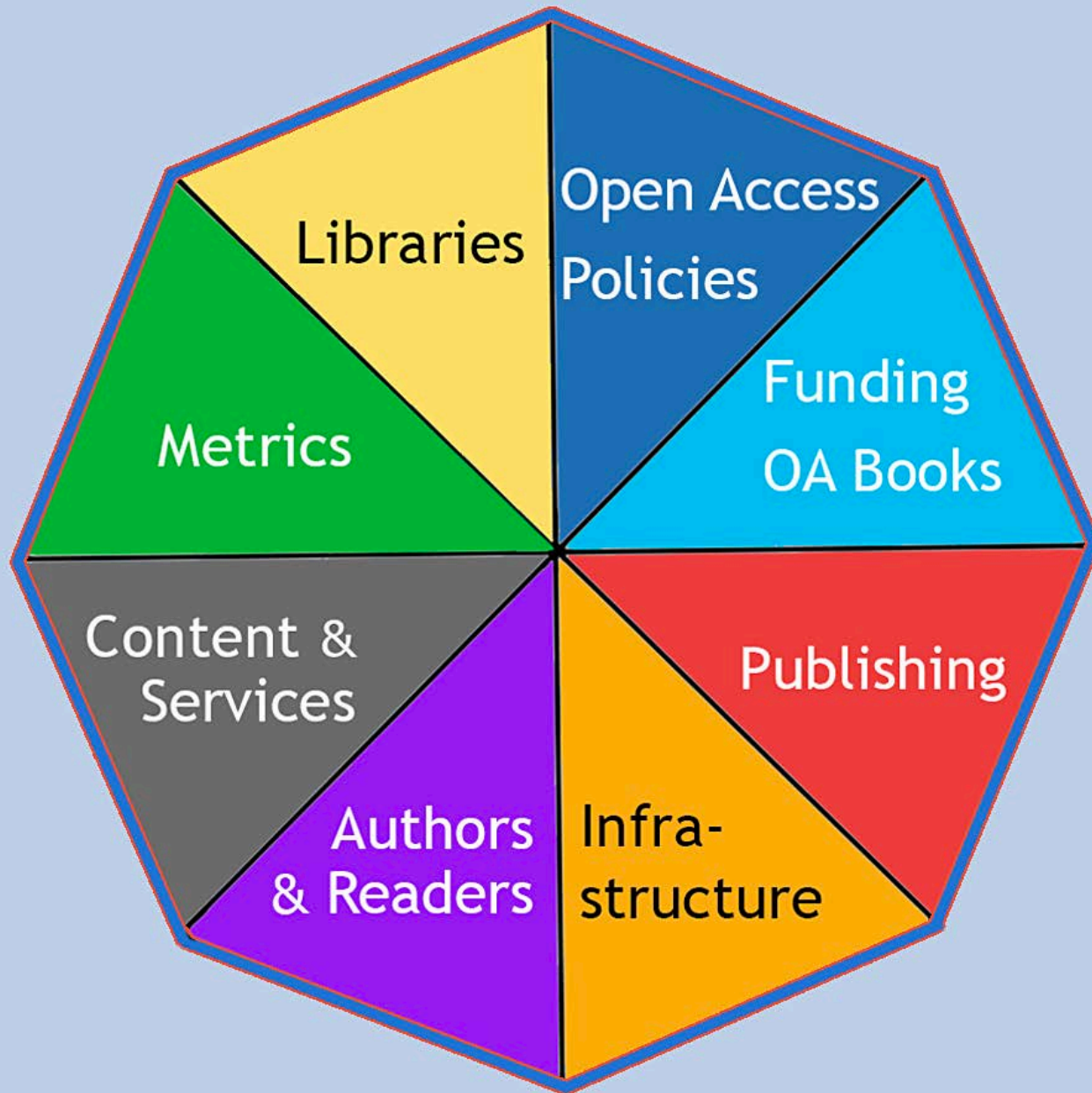
Libraries made this happen

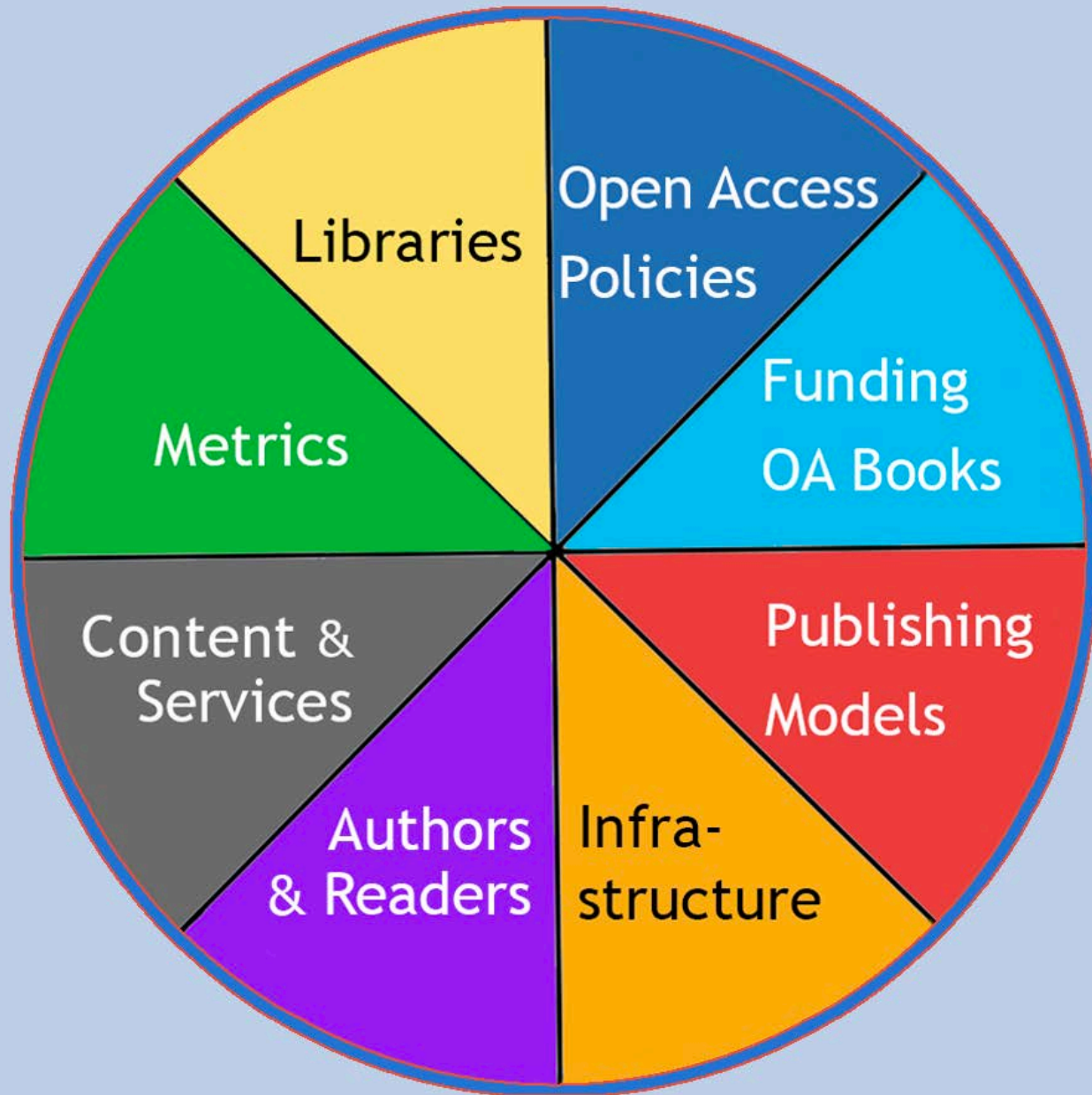
The KU Model

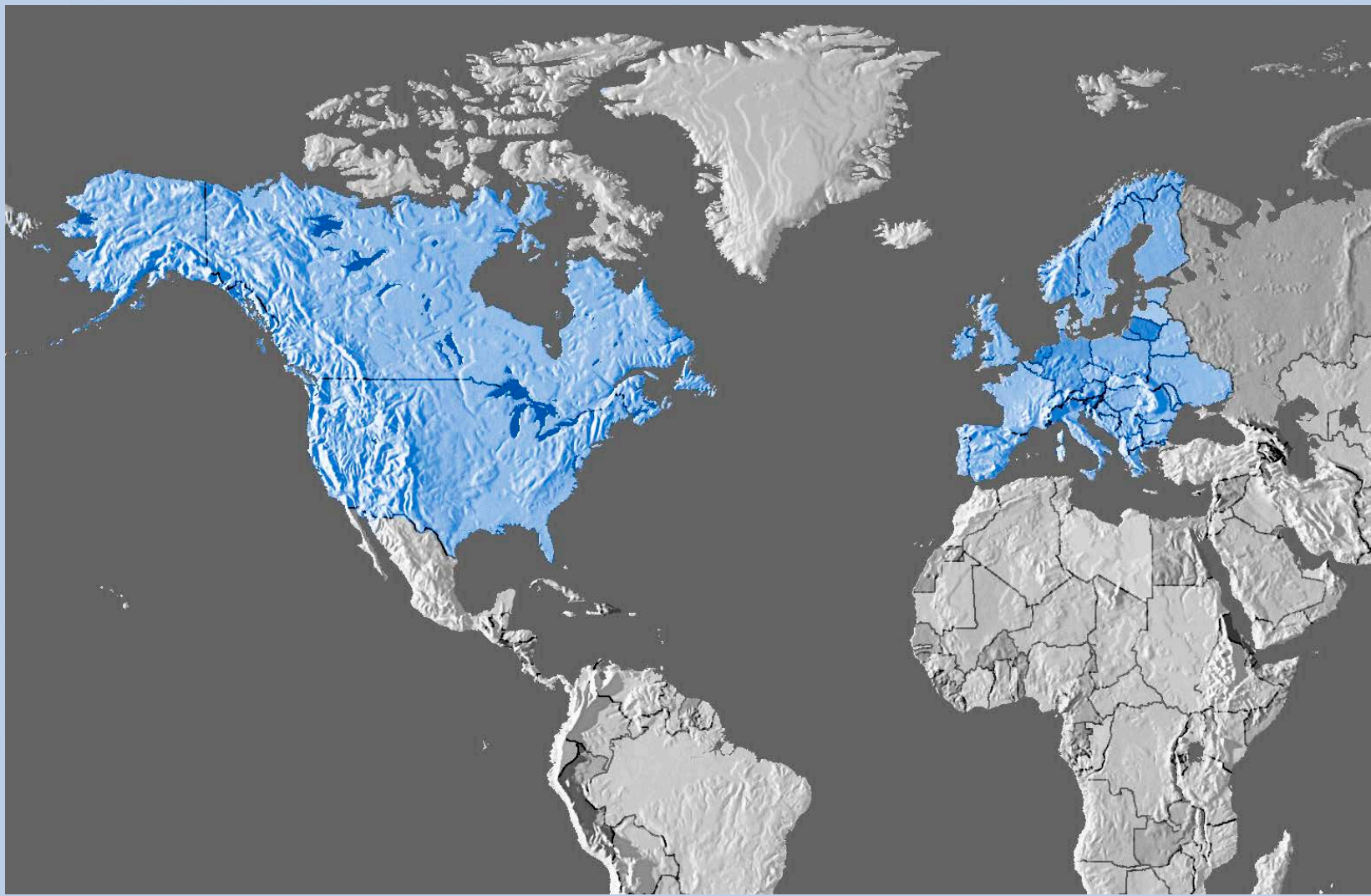


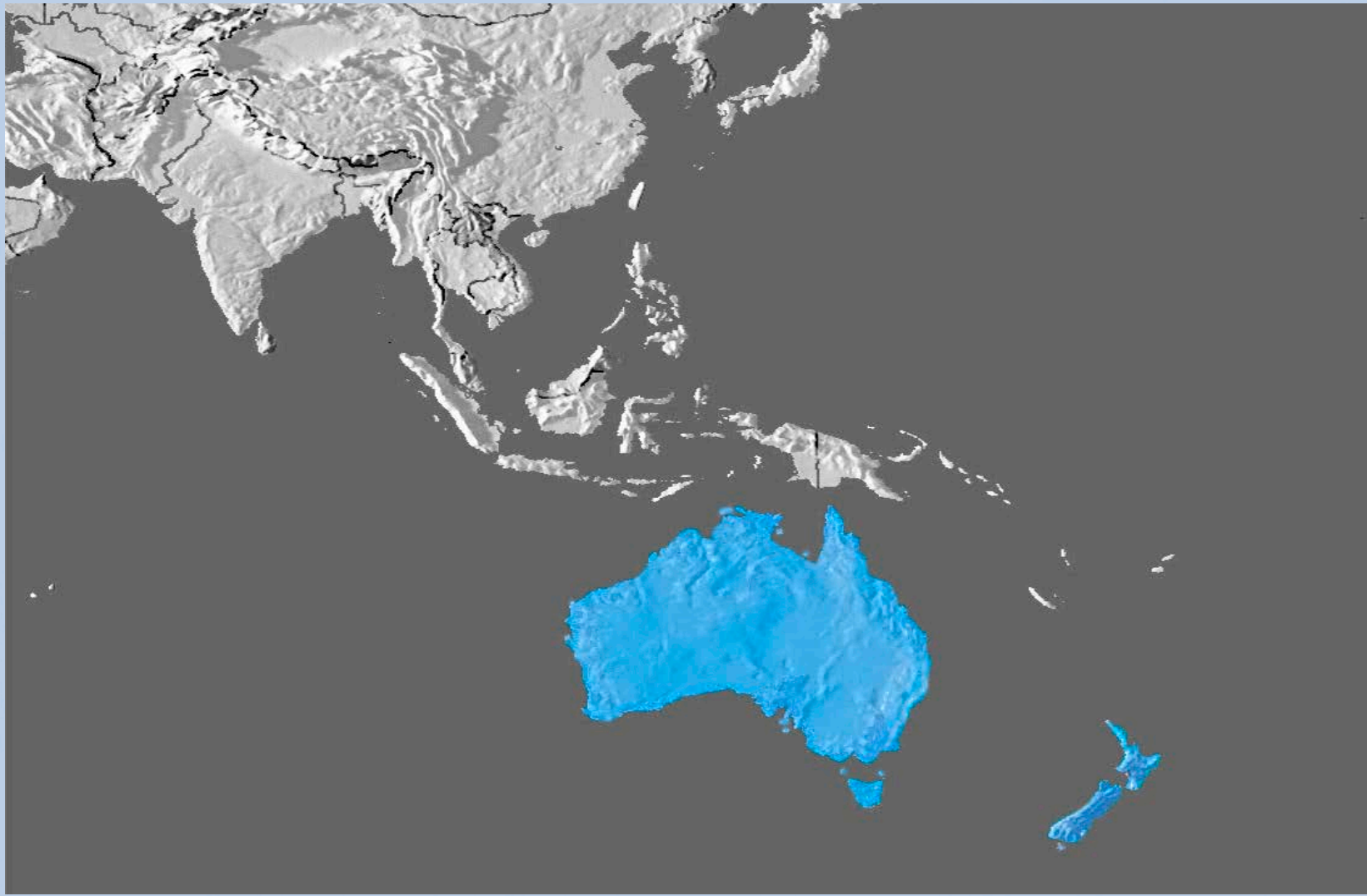
KU Progress 2014 - 2018











Thank You

