Open Access in Humanities and Social Sciences

8th Munin Conference on Scholarly Publishing
26 November 2013, Tromsø (updated)

Eelco Ferwerda
OAPEN Foundation
Contents

– Why OA?
– Where are we with HSS?
– Tensions in HSS
– Books
– OA models
– Conclusions
– Recommendations
Welcome to OAPEN

online library and publication platform

OAPEN (Open Access Publishing in European Networks) is a collaborative initiative to develop and implement a sustainable Open Access publication model for academic books in the Humanities and Social Sciences. The OAPEN Library aims to improve the visibility and usability of high quality academic research by aggregating peer reviewed Open Access publications from across Europe.

Search the library

advanced search options

Featured titles

New Germans, New Dutch : Literary Interventions
Amsterdam University Press

Sex and Gender in Biomedicine
Universitätsverlag Göttingen

Partiti e gruppi parlamentari nell'ordinamento spagnolo
Firenze University Press

Changing anarchism: Anarchist theory and practice in a global age
Manchester University Press

Smag for etik (Vol. 4): På sporet efter fødevareetikken
Museum Tusculanum Press
Why Open Access?

• A STM thing?

• The qualities of Open Access:
  – inclusion
  – interaction
  – transparency
  – innovation
OA benefits all research

‘Whether a given line of research serves wellness or wisdom, energy or enlightenment, protein synthesis or public safety, OA helps it serve those purposes faster, better, and more universally.’

Where are we with HSS?

- DOAJ
- EU study of proportion of OA papers
- Publication profiles
- Research output in humanities
- OAPEN-UK survey of reading habits
Where are we with HSS?

DOAJ
Where are we with HSS?

DOAJ:

– Journals:
  » 59 % STM – 41 % HSS
Where are we with HSS?

DOAJ:

- Journals:
  » 59 % STM – 41 % HSS
- Articles:
  » 77 % STM – 23 % HSS
Where are we with HSS?

**DOAJ:**

- **Journals:**
  - 59 % STM – 41 % HSS
- **Articles:**
  - 77 % STM – 23 % HSS
- **APC’s:** (32% of all journals)
  - 86 % STM – 14 % HSS
Where are we with HSS?

**DOAJ:**

- Journals:
  » 59 % STM – 41 % HSS
- Articles:
  » 77 % STM – 23 % HSS
- APC’s: (32% of all journals)
  » 86 % STM – 14 % HSS
- Research output:
  » 100 % STM – 60-30 % HSS
**Where are we with HSS?**

**EU study:** proportion of OA articles

<table>
<thead>
<tr>
<th></th>
<th>STM</th>
<th>HSS</th>
</tr>
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<tbody>
<tr>
<td><strong>Range of Gold</strong></td>
<td>5-38%</td>
<td>2-9%</td>
</tr>
<tr>
<td><strong>Range of Green</strong></td>
<td>21-50%</td>
<td>9-40%</td>
</tr>
<tr>
<td>+ hybrid</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>23-61%</td>
<td>13-45%</td>
</tr>
</tbody>
</table>
Publication profiles

**RAE 2008: 3 classes of disciplines**

<table>
<thead>
<tr>
<th></th>
<th>articles</th>
<th>chapters</th>
<th>books</th>
</tr>
</thead>
<tbody>
<tr>
<td>sciences</td>
<td>~100%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>parts of HSS</td>
<td>~66%</td>
<td>~15%</td>
<td>~15%</td>
</tr>
<tr>
<td>parts of humanities</td>
<td>~35%</td>
<td>~25%</td>
<td>~40%</td>
</tr>
</tbody>
</table>
Research output in Humanities

- AHRC estimates just a third of research output is in the form of articles, two-thirds is in books
- Monographs are the preferred genre
- Print is the preferred format
- E is growing for discovery and reading
- Print remains the primary edition
Reading habits

Last book: how acquired, by discipline

- I bought it for myself
- My university library or archives collection (main and branch)
- Interlibrary loan or document delivery service
- School or department collection
- A colleague, author or other person provided it to me
- A free, advance or purchased copy from the publisher
- Missing

Percentage

Social sciences
- I bought it for myself: 34.0%
- My university library or archives collection (main and branch): 29.9%
- Interlibrary loan or document delivery service: 5.6%
- School or department collection: 2.2%
- A colleague, author or other person provided it to me: 2.2%
- A free, advance or purchased copy from the publisher: 6.3%
- Missing: 14.6%

Humanities
- I bought it for myself: 36.5%
- My university library or archives collection (main and branch): 36.7%
- Interlibrary loan or document delivery service: 2.9%
- School or department collection: 0.5%
- A colleague, author or other person provided it to me: 5.3%
- A free, advance or purchased copy from the publisher: 6.0%
- Missing: 12.1%
Reading habits

Last book: how acquired against how accessed

<table>
<thead>
<tr>
<th>How acquired</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I bought it for myself</td>
<td>92.6%</td>
</tr>
<tr>
<td>My university library or archives collection (main and branch)</td>
<td>88.9%</td>
</tr>
<tr>
<td>Interlibrary loan or document delivery service</td>
<td>85.7%</td>
</tr>
<tr>
<td>School or department collection</td>
<td>62.5%</td>
</tr>
<tr>
<td>A colleague, author or other person provided it to me</td>
<td>76.9%</td>
</tr>
<tr>
<td>A free, advance or purchased copy from the publisher</td>
<td>71.1%</td>
</tr>
</tbody>
</table>

- **Published print copy**
- **Online, in a web browser**
- **Downloaded a copy to a computer or other device**
Tensions in HSS

- Authors and their work
- The problem with CC
- Credibility
- Reputation and reward
- Funding OA in HSS
- Language based research
- Research involving images
Authors and their work

• Less about presenting a result
• More about developing an argument
• Expression is integral to the work
• Work is inseparable from the author
• Deeply personal and often years of work
• All this leads to a protective attitude:
  > A preference for print
  > A distrust of free and online
  > A problem with CC
Anxiety

Our institutional case studies, workshops and focus groups show that there is an anxiety in HSS:

- worried about getting published
- worried about access to funding if goes gold
- worried about new licensing models (even though they now retain copyright – makes them nervous)
CC-BY in Humanities and Social Sciences

- Infringement of academic freedom
- Re-use rights amount to plagiarism
- Loss of permissions revenue
- Derivative works and loss of control
- Third party permissions
- Suited to STM not HSS

• Wellcome Trust Workshop 24th April 2013
Authors’ Views on Re-use

It is acceptable for my work to be re-used in any way, without my prior knowledge or permission, provided I receive credit as the original author.

It is acceptable for my work to be re-used for non-commercial gain, without my prior knowledge or permission, provided I receive credit as the original author.

It is acceptable for others to use my work for commercial gain, without my prior knowledge or permission, provided I receive credit as the original author.
The problem with CC

• Re-use is fundamental for Open Access
• CC-BY works fine in STM
• Beyond CC-BY?
• A need for something else than NC and ND
• CC license for re-use in research and education?
• License explicitly allowing textmining? (T&F LTP)
• CC specifying the type of scholarly re-use?
Credibility

• Printed book is gold standard
• Online: less valuable and less credible
• Open Access: less rigorous peer review
• Paying to get published: vanity publishing

Encourages to a conservative attitude among book publishers
Reputation and reward

• The reputation and reward system is flawed, especially in HSS
• Being accepted by a prestigious press or journal is vital for career advancement
• Books and chapters aren’t measured well, and authors don’t receive fair credit
• System of Impact Factors puts OA journals at a disadvantage
Funding OA in HSS

- HSS has less access to research funding
- Research funding is less centralized
- Gold is a small percentage of OA in HSS (less than 15%, even in STM less than 50%)
- Gold not sufficient for transition in HSS
- Gold and green are complementary models
HSS funding

Source of funding for research which underpinned book

<table>
<thead>
<tr>
<th>Funding type</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>Research council grant</td>
<td>22.7</td>
</tr>
<tr>
<td>Grant from another funder</td>
<td>19.6</td>
</tr>
<tr>
<td>Core university funds</td>
<td>45.6</td>
</tr>
<tr>
<td>Self-funded</td>
<td>9.3</td>
</tr>
<tr>
<td>No funding</td>
<td>7.6</td>
</tr>
<tr>
<td>Publisher</td>
<td>1.5</td>
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What APC in HSS?

$695 List Price

SAGE Open survey: Over 70% constituted personal payments
Other tensions

• Peer review: variety of practises in HSS
• Embargo periods
• Learned societies and associations
• Images: third party permissions when moving OA
• Language-based research: languages other than English are at a disadvantage when moving OA
Books

– Where are we with books?
– Momentum for OA book publishing
– Conventional monographs
– OA books are different
– OA book publishers
– Findings of OAPEN-NL
– OA business models for books
– The role of libraries
Where are we with books?

- DOAB: 54 publishers, 1589 OA books
- Many more OA book publishers
- Institutional publishers moving OA:
  - OECD
  - World Bank
OA books gaining momentum

- Worldwide attention for OA monographs.
- OA monograph conference at the British Library, workshops and seminars everywhere
- Platforms and services supporting OA books:
  - OMP, OpenEdition, OAPEN, DOAB, SciELO
- Established book publishers adopting OA:
  - Palgrave Macmillan, Springer, OUP, De Gruyter, Brill
- New OA start ups: Amherst Press, Anvill Academic
- OA publication funds supporting books: WT, FWF, NWO
- OA mandates including books: H2020, ERC, ARC
- KU launch first pilot for OA books
Conventional monographs are losing sustainability:
• Libraries acquisition budgets under pressure
• Sales to libraries in steady decline
• Costs of monographs rising

Need for new models:
• OA can increase discovery and usage
• OA may increase impact
• OA may contribute to sustainable models
OA books are different

Online does not substitute print:

> Publishers choose a hybrid approach to OA books: OA + print
> Most publishers prefer CC-BY-NC licences, to recover costs of printed edition
> Green OA is less feasible, may well require longer embargo periods than usual 12 months in HSS
OA monograph publishers

Commercial and non-profit
Established and start-ups
Institutional and professional
Professional and ‘scholar led’
University and Library presses
Different approaches

Frontlist publishing
Backlist / long tail approach
Dedicated Open Access Service / Part of portfolio
Promotional / attracting readers
Selective / specific project or series
OAPEN-NL

A project exploring OA monograph publishing in the Netherlands

Key findings:

> OA edition costs around € 6000, roughly 50% of printed edition

> In this pilot, OA didn’t have an effect on sales

> OA clearly increases discovery and usage

> So far, no increase of citations (average 17 months after publication)

> OA increases readership: OAPEN downloads versus sales 20 : 1
Business models for OA books

- Hybrid or dual edition publishing
- Institutional support
- Author side publication fee
- Library side models
Business models for OA books

- Hybrid or dual edition publishing
  

  All publishers
  
  Primary model for some: OECD \textit{Freemium}
Business models for OA books

- Hybrid or dual edition publishing

- Institutional support
  Grants, subsidies, press embedded in library, press sharing university infrastructure

Mpublishing, Athabasca UP, ANU E press, Göttingen UP, Leiden UP
Business models for OA books

- Hybrid or dual edition publishing
- Institutional support
- Author side publication fee

‘APC for books’

Palgrave Macmillan, Brill, De Gruyter, Springer
Funders: FWF, NWO, WT
Universities: UCL, Lund, California
Business models for OA books

- Hybrid or dual edition publishing
- Institutional support
- Author side publication fee

- Library side models
  
  Based on Library acquisition budget

  Knowledge Unlatched, OpenEdition
  Open Library of Humanities
OA business models in HSS

• HSS has less access to research funding
• Less central funding for ‘Gold OA’, through OA publication funds

> HSS needs new models to achieve Gold OA

• Importance of Library side models
  – Based on libraries’ existing acquisitions budget
  – Three examples
Pilot project

The first stage of the Knowledge Unlatched global pilot is currently under way, involving publishers and libraries located in the United States, the United Kingdom, Europe and Australia. It is expected that the first collection of newly published titles will be ‘unlatched’ in late 2013.

Full details of the 2013 Knowledge Unlatched pilot offering will be announced soon.

The second stage of the pilot will begin in early 2014. It will be focused on scaling-up the Knowledge Unlatched model and involve a larger number of publishers.
Knowledge Unlatched

*Libraries purchase OA books:*

- Libraries form a global consortium
- Use their existing acquisitions budget
- Select individually, purchase collectively
- Price based on fixed or ‘first digital copy’ costs
- Libraries receive value-added edition
- Monographs are then published Open Access
  - First pilot underway
  - 13 publishers, 28 books

http://www.knowledgeunlatched.org/
OpenEdition is the umbrella portal for OpenEdition Books, Revues.org, Hypotheses and Calenda, four platforms dedicated to electronic resources in the humanities and social sciences. If you wish your university to subscribe to this service and give you access to articles in downloadable formats (PDF, ePub), please visit OpenEdition Freemium presentation page.

CATALOGUES
836 BOOKS
22991 EVENTS
395 JOURNALS
698 BLOGS

SEARCH

REVUES.ORG NEWS
CALENDA NEWS
HYPOTHESES NEWS

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LIBRARIES
To librarians, OpenEdition Freemium program provides a full range of services to assist them in managing their OpenEdition subscriptions and enhancing their research experience.
OpenEdition

Libraries license OA content:

– OpenEdition *Freemium*
– Free content online (HTML)
– Premium content (PDF, e-reader formats) and services for libraries
– Revenues split 1/3-2/3 between OpenEdition and publishers

• Intended to:
  – make OA content discoverable
  – provide a business model for OA content
  – help sustain platform

http://www.openedition.org
Funded MSc Working on OLH Tech

We're very pleased to be able to announce, in affiliation with the Public Knowledge Project, that there is a funded MSc Computer Science place to work on the typesetting mechanism...
Open Library of Humanities

Libraries ‘subscribe’ to OA journal:

- OLH: megajournal for HSS
  - Inspired by PLOS ONE
  - Initiative of Martin Eve & Caroline Edwards
  - different business model:
    
    **Library Partnership Subsidy**
    
    - ‘subscription’ model:
      - Many libraries > low subsidies!

https://www.openlibhums.org/
Opportunity for Libraries

Libraries can make a difference for OA, especially in HSS:

– Libraries have been the driving force of the OA movement
– Opportunity to support the transition to OA
– Start shifting acquisitions budget from closed to open models
– Working together would have huge impact!
Opportunity for Libraries

Worldwide growth of library publishing:

– Launch of Library Publishing Coalition
– A library led, two-year initiative to advance the field of library publishing
– First activity: Library Publishing Directory
  > publishing activities of 115 libraries
  > 95% focus on Open Access
  > 90% are funded by their library
  > on average almost 90% of budget
Conclusions

– Engage
– Bridging the credibility gap
– The promise of scholar led publishing
– The reputation economy
– A special role for libraries
– Our western bias
– Making a move
Engage

• Don’t try to force HSS into Open Access
• Involve the research communities to find solutions that will work for HSS
• Acknowledge the differences between disciplines
The credibility gap

We need:

• Prestigious OA journals and book publishers
• Robust peer review
• Transparency (pricing models, quality assurance, licensing)
• To demonstrate the impact of OA
The promise of scholar led publishing

The best way to convince the HSS community is by example
The reputation economy

Change the reputation and reward system to facilitate the transition to OA

> Change the currency: impact metrics
> Introduce new ranking systems: open availability of research output
> Be fair to HSS achievements
A special role for libraries

• The promise of library side models for Gold
• The opportunity to take the lead in the transition by working together:
  > Strategic library alliance for Open Access? (#SLOA)
Our western bias

• Commercial academic publishing
• Academic book publishing
• Global access or dominance?
• Current system is exclusive, restricted to the richest countries, doesn’t serve HSS

> Look elsewhere of great examples of OA:

• South America: SciELO and Redalyc
• Australia: ANU E press and other OA presses
• Canada: ASPP of the Federation for HSS
Making a move

“The relationship between the zombie status of the scholarly book and the perilous state of the profession isn’t causal, but nor is it unrelated, and until we develop the individual and institutional will to transform our ways of communicating, we’re unlikely to be able to transform our broader ways of working”.

- Kathleen Fitzpatrick, “Planned Obsolescence” (NYUP, 2011)
Making a move

• Easy to want the new, difficult to let go of the old

• All stakeholders need to make a move:
  – Funders
  – Universities
  – Libraries
  – Publishers
  – Authors
Recommendations

– Funders
– Universities
– Libraries
– Publishers
– Authors
Funders

• Demand transparency
• Include books in OA policies
• Funders already supporting books:
  > promote OA as the preferred model
• Support HSS infrastructures:
  > PKP, DOAJ, OAPEN, DOAB
Universities

“Open Access is at the heart of the scholarly process”
– David Sweeney (HEFCE, UK)

• Universities should review the way they give credit, hire, promote and fund
  > Address the specific issues for HSS
  > Give fair credit to OA publications, to monographs and book chapters, to reviewers and editors
Libraries

- Find ways to gradually shift acquisition budgets from closed to open publications
- Support OA initiatives for HSS: >KU, OLH, OpenEdition
- Consider working together (#SLOA)
Publishers

• Open up!
  > Support green deposit of publications
  > Provide OA publishing as a service to authors and funders
  > Develop transparent models for OA charges and quality assurance
  > Open up backlist titles
Authors

We still need to win the argument!

• Authors need to become aware of the benefits of OA:
  > OA is about inclusion, interaction, transparency, innovation
  > OA can increase usage and impact, improve metrics and quality assurance

• Authors need to understand that:
  > OA is compatible with peer review
  > CC is compatible with copyright
  > CC BY does not endorse plagiarism
  > Academic freedom isn’t endangered by OA
Further reading

- HowOpenIsIt?
- Debating Open Access
- Open Access monographs Conference report
- Guide to Creative Commons
- Open Access Perspectives in the Humanities and Social Sciences
- OAPEN-NL: A project exploring Open Access monograph publishing in the Netherlands
DEBATING OPEN ACCESS

Edited by Nigel Vincent and Chris Wickham

http://www.britac.ac.uk/openaccess/debatingopenaccess.cfm
Open Access monographs in the humanities and social sciences conference
1 and 2 July 2013, The British Library, London

Organised by:

Hosted by:

Sponsored by:

https://www.jisc-collections.ac.uk/Reports/oabooksreport/
Guide to Creative Commons for Humanities and Social Science Monograph Authors

Developed by the OAPEN-UK team: Ellen Collins, Caren Milloy and Graham Stone
Edited by: James Baker, Martin Paul Eve and Ernesto Priego

http://oapen-uk.jiscebooks.org/ccguide/
Open Access Perspectives in the Humanities and Social Sciences.

A collection compiled and edited by the LSE Impact of Social Sciences blog.

#HSSOA

http://blogs.lse.ac.uk/impactofsocialsciences/open-access-ecollection/
OAPEN-NL

A project exploring Open Access monograph publishing in the Netherlands

Final Report

Eelco Ferwerda | Ronald Snijder | Janneke Adema

Thank you!

Eelco Ferwerda

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www.oapen.org - @oapenbooks
www.doabooks.org - @doabooks
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
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<tbody>
<tr>
<td>AHRC</td>
<td>Arts and Humanities Research Council</td>
</tr>
<tr>
<td>ANU</td>
<td>Australian National Universities</td>
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<tr>
<td>APC</td>
<td>Article Processing Charge</td>
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<tr>
<td>ARC</td>
<td>Australian Research Council</td>
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<tr>
<td>ASPP</td>
<td>Awards for Scholarly Publications Program</td>
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<tr>
<td>CC</td>
<td>Creative Commons</td>
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<tr>
<td>CC BY</td>
<td>Creative Commons attribution license</td>
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<td>Directory of Open Access Books</td>
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<td>DOAJ</td>
<td>Directory of Open Access Journals</td>
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<tr>
<td>ERC</td>
<td>European Research Council</td>
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<td>FWF</td>
<td>Austrian Research Council</td>
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<tr>
<td>Gold</td>
<td>OA publications: Journals or books that don’t charge for online access. Instead, they look for other sources to fund peer-review and publication.</td>
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<tr>
<td>Green</td>
<td>Self-archiving: Scholars deposit their refereed publication in open electronic archives which confirm to Open Archives Initiative standards</td>
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<td>H2020</td>
<td>Horizon 2020 (EU funding program)</td>
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<td>HEFCE</td>
<td>Higher Education Funding Counsel for England</td>
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<td>HSS</td>
<td>Humanities and Social Sciences</td>
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<td>KU</td>
<td>Knowledge Unlatched</td>
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<tr>
<td>LTP</td>
<td>License to publish</td>
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<tr>
<td>NC</td>
<td>Non commercial (CC BY-NC)</td>
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<td>ND</td>
<td>No derivatives (CC BY-ND)</td>
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<td>NWO</td>
<td>Netherlands Organization for Scientific Research</td>
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<td>University Press</td>
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<td>Wellcome Trust</td>
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Acknowledgements

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- SAGE/LSE Open Access Futures in the Humanities and Social Sciences

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