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

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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.

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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

doab

directory of open access books

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Springer

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.'

- Peter Suber, *"Open Access"* (MIT Press, 2012)

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

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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

	STM	HSS
Range of Gold	5-38%	2-9%
Range of Green + hybrid	21-50%	9-40%
Total	23-61%	13-45%

Publication profiles

RAE 2008: 3 classes of disciplines

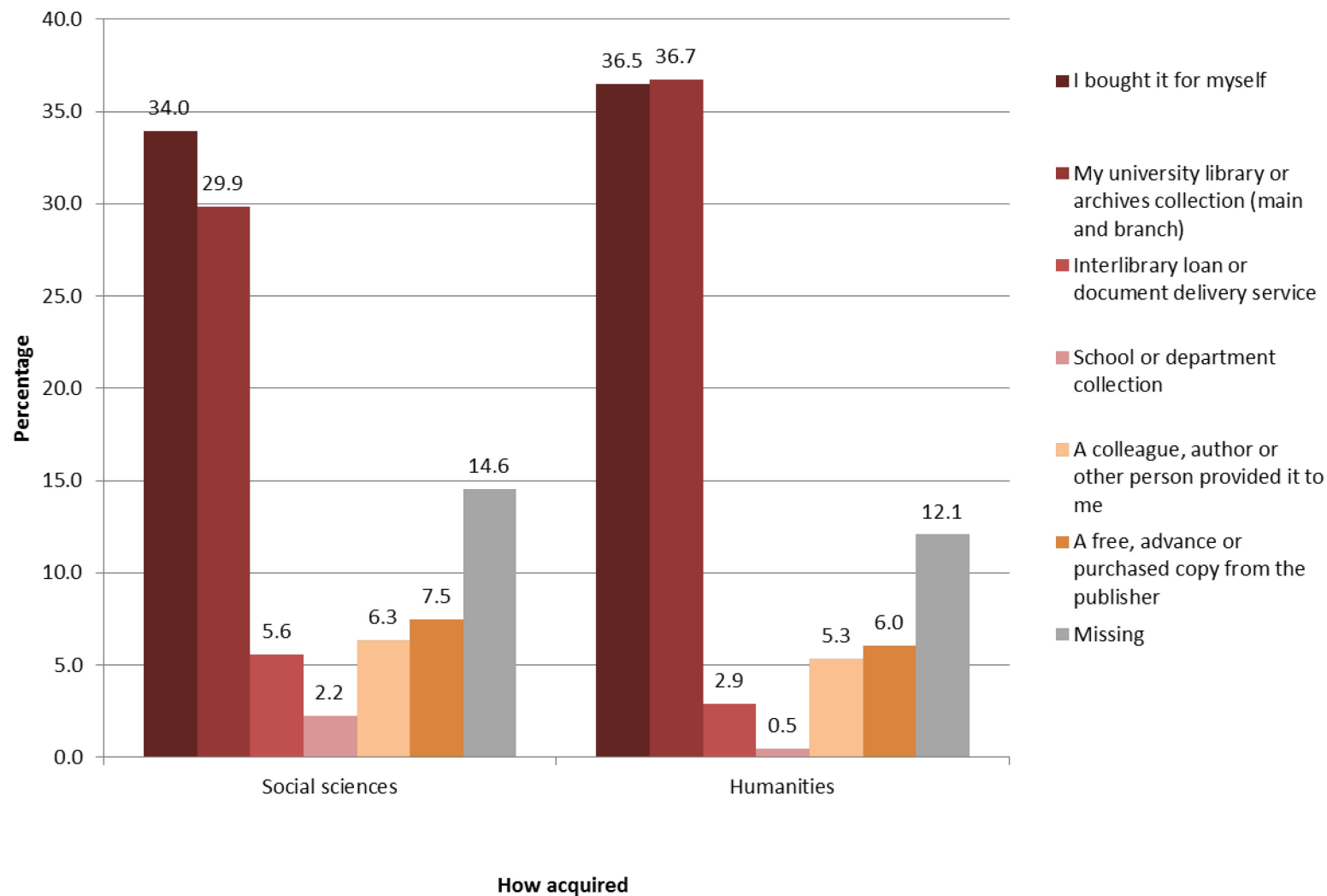|	articles	chapters	books
sciences	~100%		
parts of HSS	~66%	~15%	~15%
parts of humanities	~35%	~25%	~40%

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

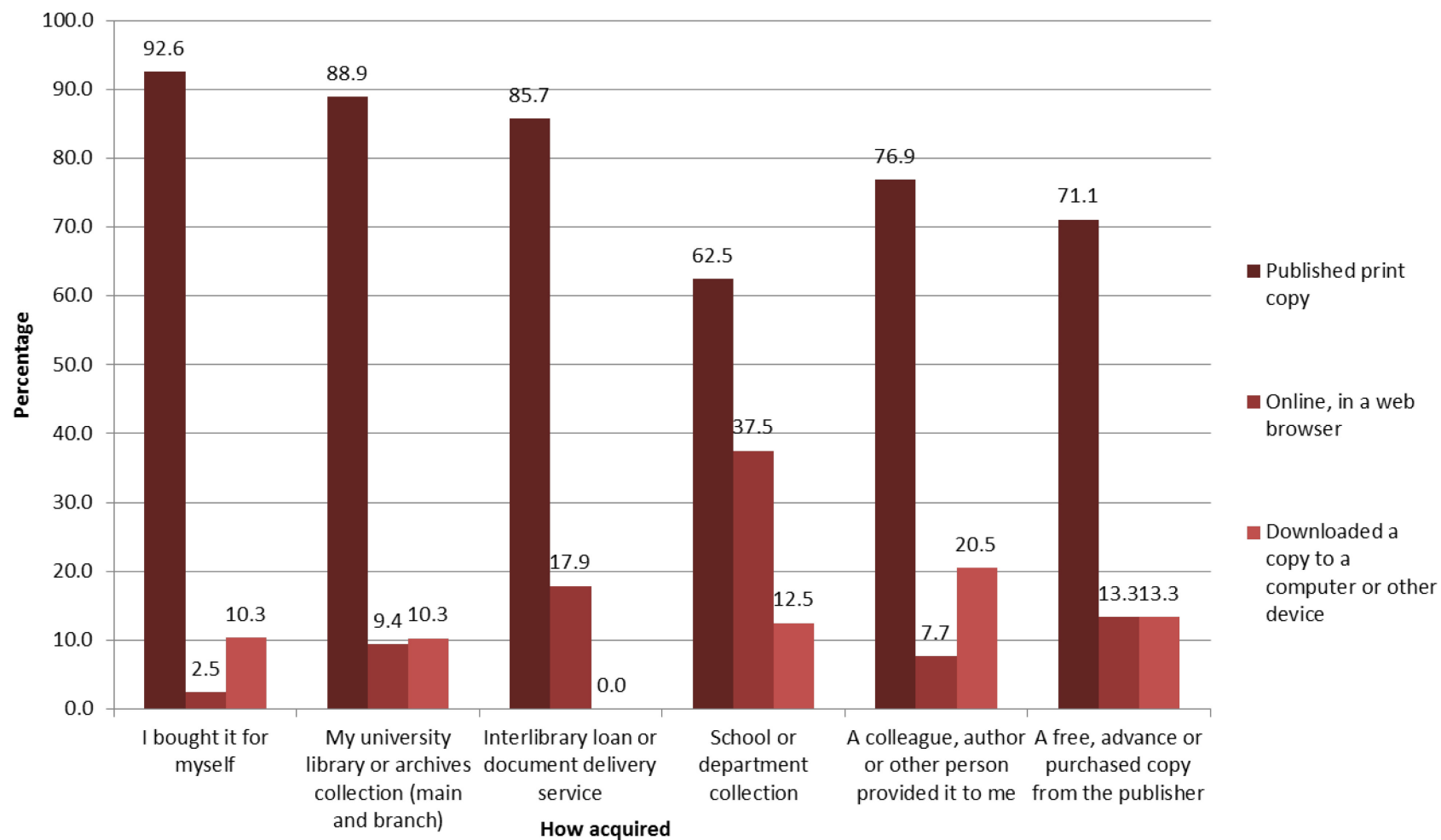- Print remains the primary edition

Reading habits

Last book: how acquired, by discipline

Reading habits

Last book: how acquired against how accessed

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
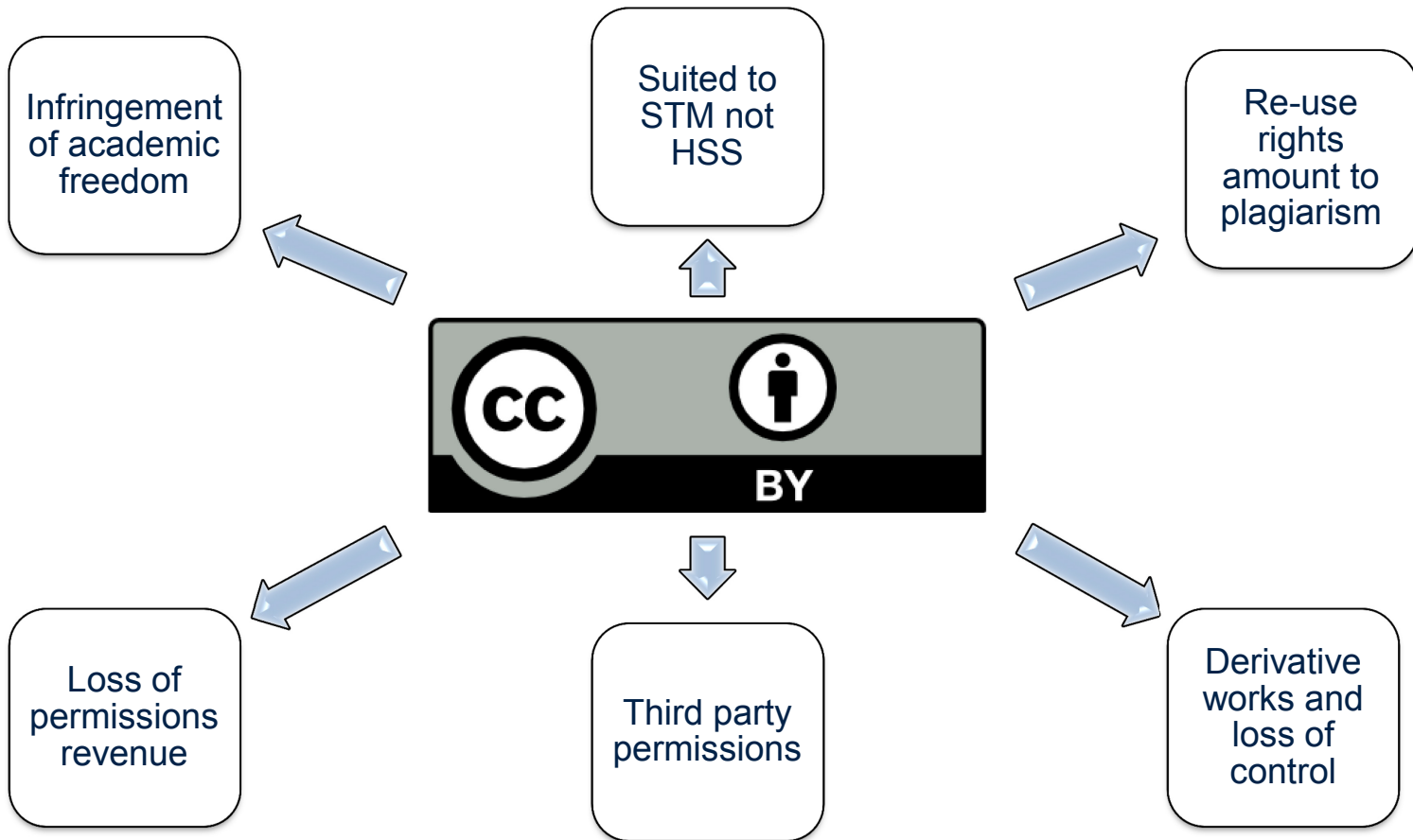 - > A problem with CC
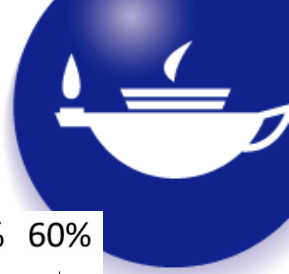
Anxiety

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
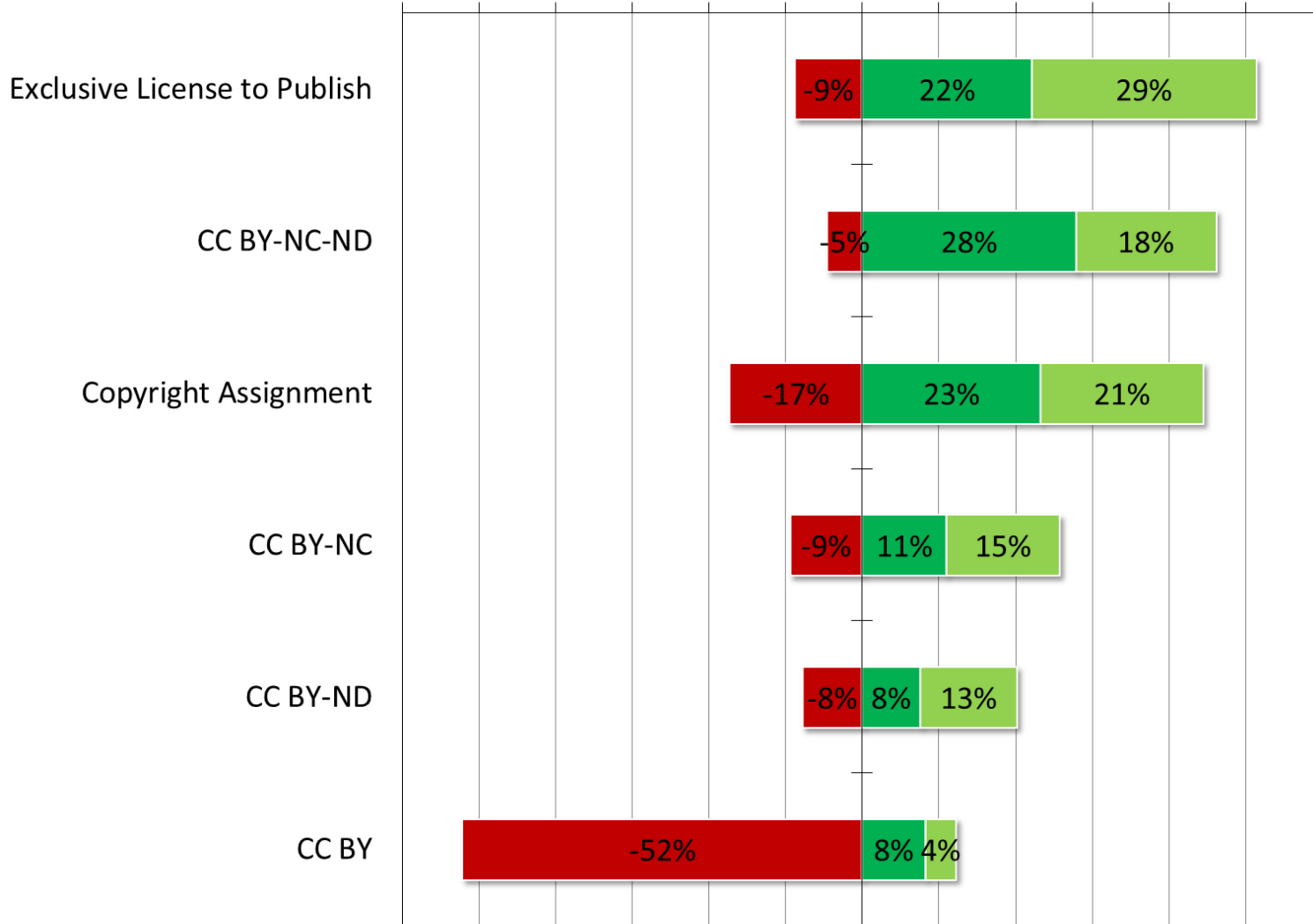
Infringement of academic freedom

Suited to STM not HSS

Re-use rights amount to plagiarism

Loss of permissions revenue

Third party permissions

Derivative works and loss of control

- Wellcome Trust Workshop 24th April 2013

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Authors' Licences Preferences

Chart showing authors' licences preferences (percentage):

Licence	Least preferred licence	Most preferred licence	Second most preferred licence
Exclusive License to Publish	-9%	22%	29%
CC BY-NC-ND	-5%	28%	18%
Copyright Assignment	-17%	23%	21%
CC BY-NC	-9%	11%	15%
CC BY-ND	-8%	8%	13%
CC BY	-52%	8%	4%

Legend: ■ Least preferred licence ■ Most preferred licence ■ Second most preferred licence

Authors' Views on Re-use

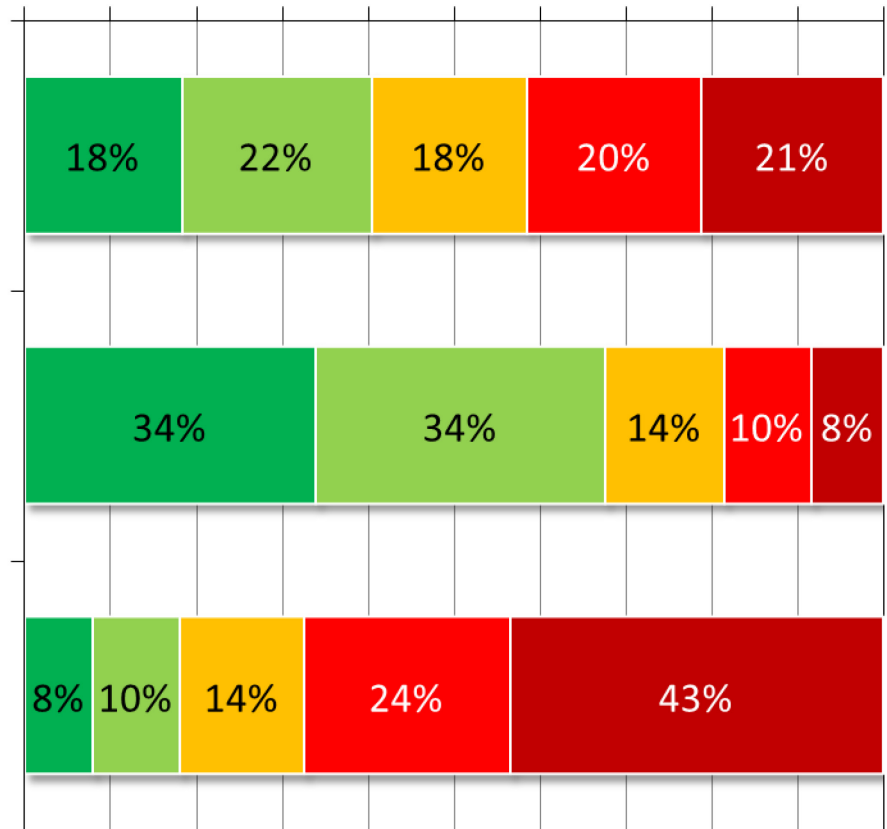|	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

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.

18% | 22% | 18% | 20% | 21%

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.

34% | 34% | 14% | 10% | 8%

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.

8% | 10% | 14% | 24% | 43%

■ 5 – strongly agree ■ 4 ■ 3 ■ 2 ■ 1 – strongly disagree

Taylor & Francis Group

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

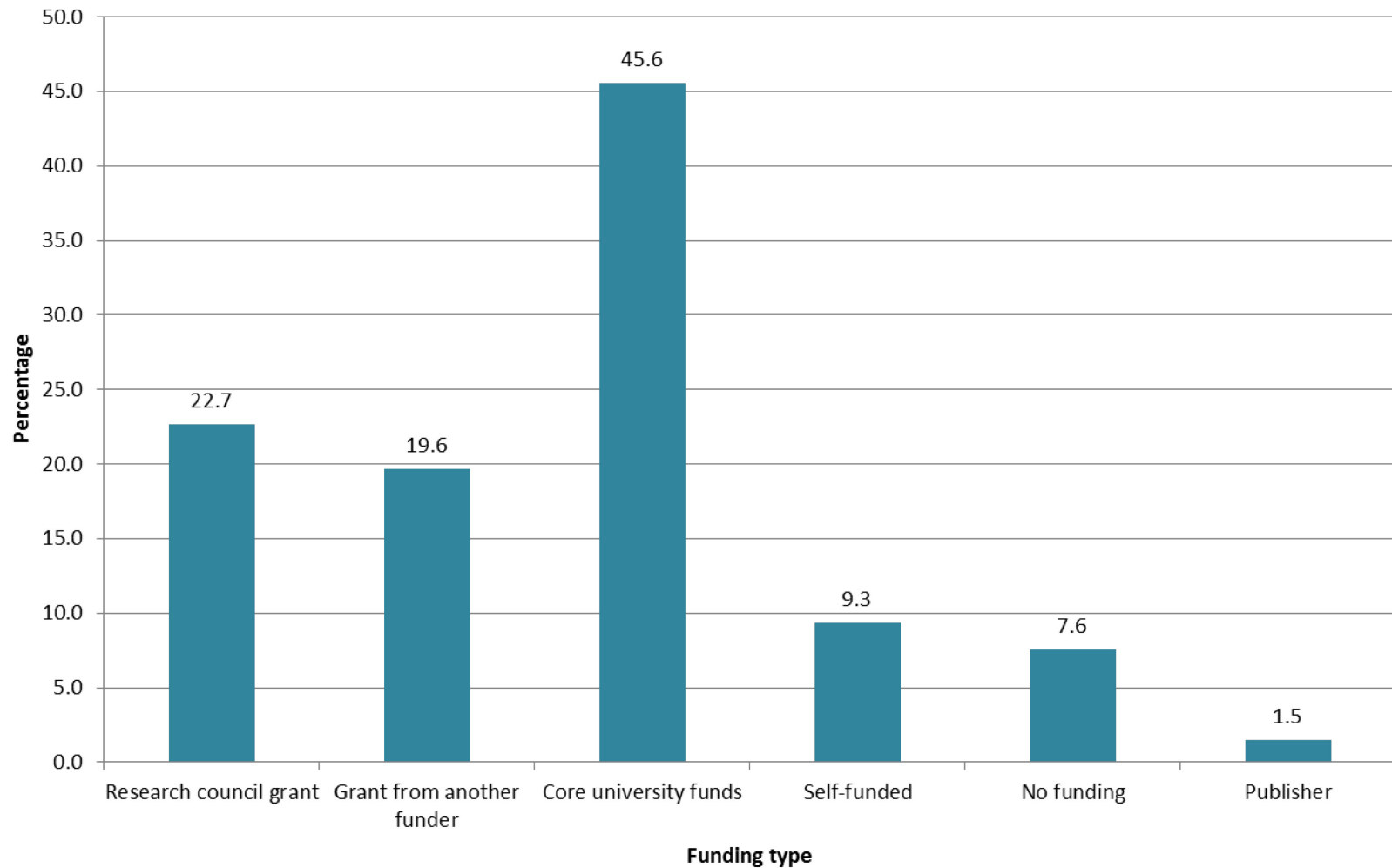- System of Impact Factors putts OA journals at a disadvantage

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
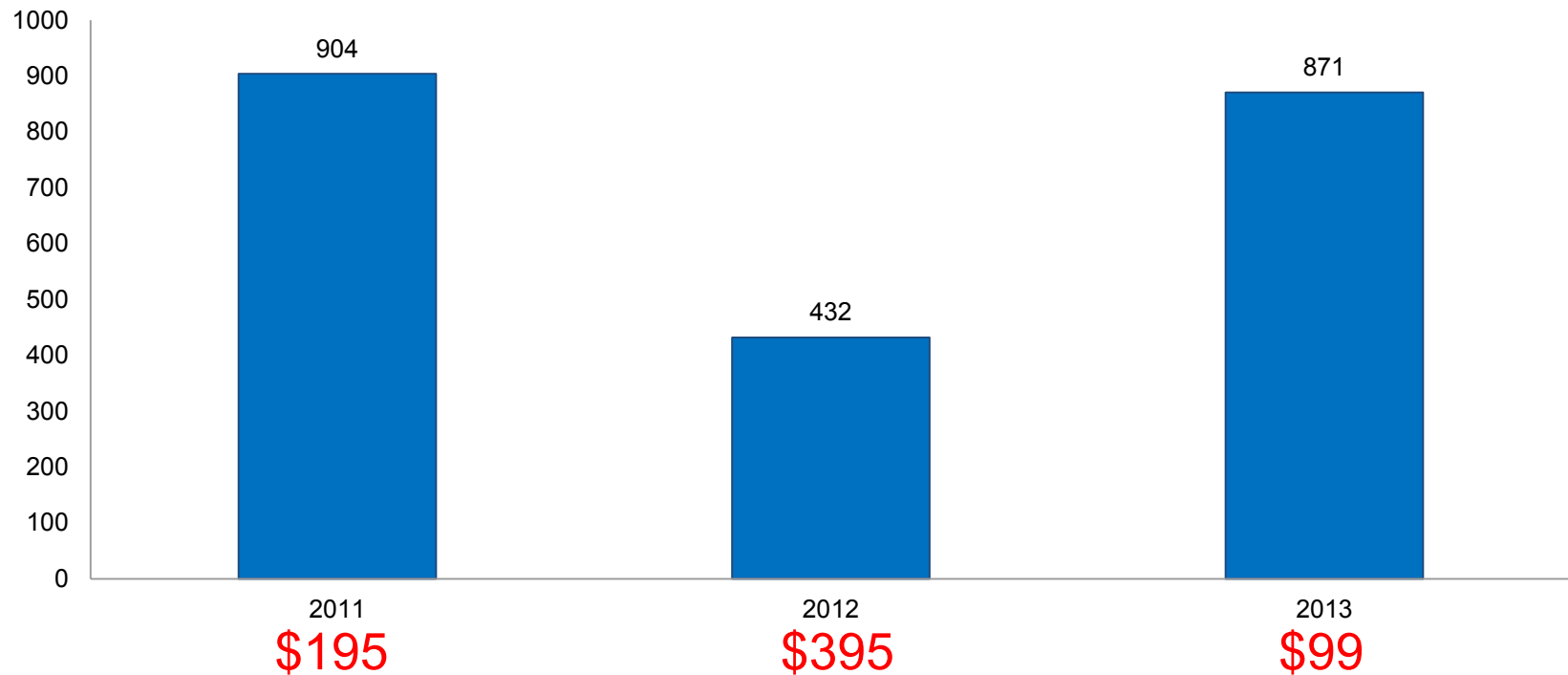- Gold and green are complementary models

HSS funding

Source of funding for research which underpinned book

Bar chart showing percentage by funding type:
- Research council grant: 22.7
- Grant from another funder: 19.6
- Core university funds: 45.6
- Self-funded: 9.3
- No funding: 7.6
- Publisher: 1.5

Y-axis: Percentage

X-axis: Funding type

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

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Where are we with books?

- DOAB: 54 publishers, 1589 OA books

- Many more OA book publishers

- Institutional publishers moving OA:
  - OECD
  - World Bank
  - National Academies Press (1994)

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

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
  OA edition + sold edition (print, PoD, e-book)
  All publishers
  Primary model for some: OECD *Freemium*

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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

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Knowledge Unlatched

Home   **About**   **Who benefits**   **Friends**   **Get involved**   **News**   **Contact**
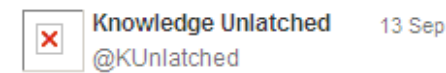
Pilot project

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.

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#ff some of the top tweets on #scholarlycommunication @ScholarlyComm @kfitz @scholarlykitchn @micahvandegrift

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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 :   **OpenEdition Books**   **Revues.org**   **Calenda**   **Hypotheses**   Newsletters and alerts   OpenEdition Freemium   Search

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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

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SEPTEMBER 2013
Open Access Week 2013

SEPTEMBER 2013
Funded MSc Working on OLH Tech

AUGUST 2013
SPARC Japan

SEPTEMBER 2013
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 ...

Latest News

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WELCOME

Welcome to the Open Library of Humanities

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

Worlwide 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

Library Publishing Coalition

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

OPEN HUMANITIES PRESS

OpenBook Publishers

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
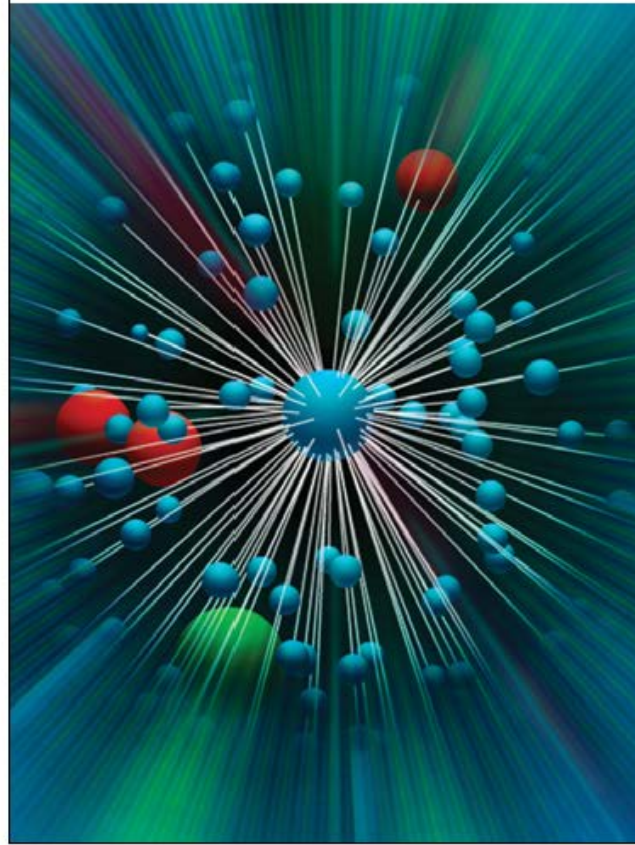 - > Open up backlist titles

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

http://www.plos.org/about/open-access/howopenisit/

http://www.britac.ac.uk/openaccess/debatingopenaccess.cfm

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.doabooks.org - @doabooks

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Acronyms and abbreviations

AHRC	Arts and Humanities Research Council		KU	Knowledge Unlatched
ANU	Australian National Unversities		LTP	License to publish
APC	Article Processing Charge		NC	Non commercial (CC BY-NC)
ARC	Australian Research Council		ND	No derivatives (CC BY-ND)
ASPP	Awards for Scholarly Publications Program		NWO	Netherlands Organization for Scientific Research
CC	Creative Commons		OA	Open Access
CC BY	Creative Commons attribution license		OAPEN	Open Access Publishing in European Networks
DOAB	Directory of Open Access Books		OAPEN-NL	Project exploring OA monograph publishing in the Netherlands
DOAJ	Directory of Open Access Journals			
ERC	European Research Council		OAPEN-UK	Project exploring OA monograph publishing in the UK
FWF	Austrian Research Council			
Gold	OA publications: Journals or books that don't charge for online access. Instead, they look for other sources to fund pee-review and publication.		OLH	Open Library of Humanities
			OMP	Open Monograph Project
			PKP	Public Knowledge Project
			PoD	Print on Demand
Green	Self-archiving: Scholars deposit their refereed publication in open electronic archives which confirm to Open Archives Initiative standards		RAE	Research Assessment Exercise
			SciELO	Scientific Electronic Library Online
			STM	Science, Technology and Medicine
			UCL	University College London
H2020	Horizon 2020 (EU funding program)		UP	University Press
HEFCE	Higher Education Funding Counsel for England		WT	Wellcome Trust
HSS	Humanities and Social Sciences			

Acknowledgements

Inspired by:

- [JISC Collections/OAPEN Open Access Monographs in the Humanities and Social Sciences Conference](#)
- [COASP 2013 | Open Access Scholarly Publishers Association](#)
- [SAGE/LSE Open Access Futures in the Humanities and Social Sciences](#)

Various slides thanks to:

- [OAPEN-UK](#), Caren Milloy
- [Oxford University Press](#), Rhodri Jackson
- [Taylor & Francis](#), Victoria Gardner
- [SAGE Open](#), David Ross
- [DOAJ](#) data: Salam Baker Shanawa, [SemperTool](#)
- Publication profiles: Nigel Vincent, [The British Academy](#)