

Knowledge Unlatched Project Prospectus

Pilot Collection

Creating a Path for Open Access eBooks

Offered by Knowledge Unlatched, 8 October 2013

1. Executive Summary

Mandates to make the scientific journal literature available via OA to a global audience are growing while the Humanities and Social Science monographs remain locked behind paywalls. Knowledge Unlatched (KU) seeks to demonstrate that the combined global purchases of academic libraries is sufficient to cover the first copy costs of producing new books – and thereby create a path to Open Access for this body of literature.

This model has the potential to transform access to the knowledge and ideas contained in scholarly books and enables libraries to act as catalysts in the shift towards Open Access. Libraries can create a future that includes free access to high quality scholarly books for readers all over the world.

- The Pilot Collection is the first step towards creating a sustainable path to Open Access (OA) for Humanities and Social Sciences monographs.
- Working together academic libraries can count their existing electronic and print purchases of new books towards unlatching these titles.
- A Pilot Collection of 28 new titles is offered to libraries at a fee that covers the publisher's first copy costs which results in these titles being released as OA upon publication.
- The Pilot Collection will be hosted and preserved by OAPEN without an embargo and is DRM free.
- Libraries will receive recognition for the purchase of any titles from the Pilot Collection that they acquire in print or electronic form through usual channels and these credits will lower the amount paid for the Pilot Collection.
- The cost of the Pilot Collection is based on 200 libraries participating globally and will be further reduced as more libraries join.
- Participating libraries will have a voice in shaping the future of KU.

KU is a not-for-profit organization that brings together the global academic libraries to secure long-term cost savings and wider access for new titles selected by the library community.

The future of the monograph is unclear with declining sales and Open Access pressures. The unit cost of publishing a monograph is many times higher than a journal article and funding for Humanities and Social Sciences research does not provide adequate support for publishing as in

the Sciences. Publishers want to explore Open Access monographs to understand the dynamics and to be able to offer their authors an option.

2. *Collection Content*

The Pilot Collection includes 28 new titles covering topics in the Humanities (Literature, History) and Social Sciences (Politics, Media & Communications) from 13 respected scholarly publishers including the following university presses: Amsterdam, Cambridge, Duke, Edinburgh, Liverpool, Manchester, Michigan, Purdue, Rutgers, Temple, plus Bloomsbury Academic, Brill and De Gruyter. The list of titles appears in Appendix A and represents a mix of publisher type, location and size.

Titles in the Pilot Collection were selected to represent the broad range of specialist research-based books, most of which are monographs, a few edited collections and some that are supplementary content for courses. The core audience will be students at undergraduate and graduate levels as well as independent researchers and others outside the academy.

These titles were selected by librarians in a founding partner library based on topics with wide appeal from more than 100 submitted by publishers. A Collections Committee comprised of librarians in participating institutions will advise on future selections.

3. *Project Cost Summary*

The Pilot Collection is being offered under a cost recovery OA model. For each monograph included in the Pilot Collection, publishers submitted a Title Fee that covers first copy costs which are: proposal review, internal manuscript review, editorial guidance to authors, external reader payments, copyediting, typesetting, proofing, design, permissions fees, marketing and overheads. The Title Fee does not include costs associated with printing, binding and digital distribution. Book prices normally include a risk factor that addresses uncertainty regarding sales, which is not necessary with this approach.

Hosting and preservation of the Pilot Collection will be provided free by OAPEN for the Pilot.

The role of KU is project management, which includes the operational costs to coordinate with all participants. Libraries will not be charged for the operational costs associated with coordinating the Pilot. For subsequent collections, KU will apply an additional levy of 5% of each Title Fee to cover operational costs of running the KU program. From 2015 onwards the Title Fee levy will be reviewed and may be adjusted with recommendations from the Library Steering Committee.

Libraries participating in the Pilot are eligible to participate in governance through activities described in the section on Advisory Groups. From February 2014 onwards a modest tiered membership fee of no more than \$500 is anticipated based on guidance from the Steering

Committee. This fee will be waived until January 2016 for libraries participating in the Pilot. Libraries may terminate membership at any time.

For the Pilot, administrative support and invoicing will be handled by LYRASIS in North America and by JISC Collections in the UK. Further arrangements are being made for sales and administrative support for the Rest of the World and will be announced shortly.

To support the launch, all project and startup costs for the KU Pilot are covered by grants and generous support from founding libraries. Organizations that have provided support to Knowledge Unlatched during its startup phase are: the New York Public Library, the British Library Trust, Queensland University of Technology, The University of Melbourne, and The University of Western Australia as well as the Open Society Foundation and the Big Innovation Center.

4. Acquisition Model and Pricing

Title Fees vary by book and by publisher. A list of books in the Pilot Collection appears in Appendix A. The average Title Fee is \$12,000 per book. This equates to a total of \$336,000 to unlatch all 28 books.

Average Title Fee	Number of Titles	Cost to Unlatch 28 titles
\$12,000	28	\$336,000

The price to unlatch the Pilot Collection is calculated by dividing the total cost of all Title Fees by the number of participating institutions. We anticipate participation by at least 200 libraries globally so each library would pay a maximum of \$1680. The invoiced amount will be less than \$1680 with more than 200 libraries participating as illustrated in this table.

Cost to Unlatch 28 Titles	Number of Libraries	Cost per library
\$336,000	200	\$1680
\$336,000	250	\$1344
\$336,000	300	\$1120

Libraries that acquire any of the titles in the Pilot Collection in either print or electronic form will be credited for these purchases. These orders may be part of a library's decision to acquire certain eBook collections or a structured approval plan or a firm order placed before 31 March 2014 via the library's preferred vendor. When the library identifies these titles to KU at the

pledging stage, the invoiced total for each library will be reduced to reflect prior or planned orders.

Discounts on other formats that have been negotiated via consortia will not be affected by participation in the Pilot. In fact, taking part in the Pilot is a great way to ensure that the money already being spent on these books is recognized as a contribution towards securing OA for these titles purchased through other channels.

Publishers agreed to this approach to avoid duplicate library payments for the titles included in the Pilot Collection. The process of recognizing additional format purchases will be reviewed once the Pilot has concluded and may be refined in future rounds to support scaling for both libraries and publishers.

5. *Pledging Period*

Binding pledges will be accepted between 1 October 2013 and 31 January 2014. Libraries should register on the KU pledge website <http://collections.knowledgeunlatched.org>. Libraries can pledge directly via the KU pledge website, regardless of consortia and sales arrangements. Libraries in North America do not need to be members of LYRASIS to participate.

At the end of the pledging period KU will evaluate the commitments from libraries and make a decision to either unlatch the Pilot Collection or announce that there is insufficient participation to unlatch titles. If titles will not be unlatched, the libraries will be released from their pledge and not be invoiced. If 200 or more libraries commit then the price per library will be reduced accordingly and libraries will be invoiced.

Why should libraries participate now?

This project depends on libraries working together for the benefit of the whole community. Every library pledge counts towards creating a sustainable route to OA for scholarly books.

Libraries have the power to dramatically widen access to high quality scholarly books. The Pilot Collection is an opportunity to ensure that existing or planned monograph purchases count towards making books OA. As more libraries join the project, the greater the cost and efficiency savings become for each library.

Libraries that take part in the Pilot will have a two-year membership fee waiver, ensuring that they will be able to help shape the future of the project, for the benefit of their library and of communities all over the world.

6. *Features*

Rights The publishers acknowledge that the copyright holders of the books have agreed to their works being issued on a Creative Commons license and that permissions for third party materials have been obtained.

Platform OAPEN will host the OA version of unlatched titles without an embargo or DRM.

Preservation All of the titles included in the Pilot Collection will be preserved by OAPEN.

MARC MARC records will be available from OAPEN. Links to a folder with MARC records will be included in the notification of unlatching sent to libraries.

Discovery Titles in the Pilot Collection will be discoverable in the Directory of Open Access Books, Worldcat and through library discovery tools including: OCLC WorldShare Management Services and WorldCat Local, EBSCO Discovery Service, Summon (by Serials Solutions) and Primo Central (by Ex Libris).

Usage Data Usage data will be available from OAPEN. To the extent possible, KU will provide summary reports of COUNTER-compliant usage data. This will depend on the ability of our hosting partners to comply with the latest COUNTER standards as applied to books. Although we are confident that we are at the cutting edge of development in this area, we cannot guarantee that usage reports will be fully counter compliant in the first instance.

7. *Advisory Groups*

KU plans a two-tier approach to library governance. Member libraries are invited to nominate and vote for representatives to serve on a Library Steering Committee and a Collections Committee.

Members of the first Library Steering Committee (2014-2016) will be selected based on support for and engagement with KU after which nominations will be invited from all members and elected for two-year terms. The Library Steering Committee will approve recommendations of the Collections Committee, and make recommendations on the business model and strategy for scaling, new business opportunities and overall strategic direction for KU.

Elections for the Collections Committee will take place no later than March 2014. The Collections Committee will play a key role in selecting content and will make recommendations to the Library Steering Committee on:

- Procedures for curating collections offered to libraries via KU.
- Criteria for publisher inclusion in the KU program.
- Subject areas included within the KU program.

The Collections Committee will also play an advisory role on matters such as library acquisitions workflow, library-vendor relationships, metadata, accessibility, and archiving.

8. *Benefits for Participating Libraries*

The Pilot Collection places libraries at the center of the shift towards OA eBooks. As librarians increasingly consider their role in ‘connecting’ users with high quality research and information it is even more important that libraries find efficient ways to work together for the benefit of global communities.

By participating in the Pilot Collection librarians can be part of a global organization that leverages their influence and increases their combined impact on the development of OA eBooks.

- Librarians will take a leadership role in making new book content openly available.
- Librarians will have direct experience with the dynamics of OA eBook models.
- Librarians will have complimentary membership until January 2016.
- Librarians will be entitled to participate in governance guiding the organization.

9. *Benefits for Participating Publishers*

Publishers are taking part in KU for many reasons:

- KU is an opportunity for publishers to learn about what happens when their titles are made available on an OA license.
- Many publishers recognize that demand for OA publication is growing and want to be able to offer their authors OA options.
- Author-pays OA publishing (equivalent to journal APCs) is not appropriate for many authors. KU represents an alternative to requiring individual authors to fund OA publications.
- The aggregation of demand for the OA version is attractive to publishers because it helps them to cover the origination costs earlier in their sales cycle.

10. *Overall Benefits for the Academic Community*

The KU model has the potential to transform access to knowledge and ideas contained in book-length scholarly publications. In the long term it will dramatically change the way publishing is funded, ensuring that the benefits of digital affordance are maximized for readers and scholars within and beyond universities.

The KU model offers a distinct set of benefits for making new monographs OA:

- Humanities and Social Sciences content is not disadvantaged in relation to Sciences.
- Optimal discovery for greater use of new monographs benefits scholars.

- Publishers and libraries will gain a greater understanding of the dynamics of OA eBooks in terms of economics and readership.
- Existing expenditures are recognized as contributing to covering the first copy costs, which opens the door to variations on this model.
- Valuable content is accessible to the global community as a result of libraries' participation.

11. Next Steps: 2014 and Beyond

After the Pilot has concluded KU will move into its next phase: scaling the project, offering libraries more books and a wider range of title selection options and expanding the number of publishers taking part in the program. KU has already begun the process of recruiting publishers for future rounds and expects 2014 offerings to include titles from library-based and digital-only/OA publishers.

A report will be made available on the Pilot to participating libraries and publishers.

- *Review the results of the Pilot.* These results will be shared with participating libraries and publishers in a formal project report.
- *Begin metrics study.* KU will gather detailed information about how titles made available on OA licenses through its program are used. This information will be shared with libraries as it becomes available. It will also feed into critical research on impact metrics for digital books.
- *Develop a library role in governance.* KU will adopt a two-tier approach to library governance. Member libraries are invited to nominate and vote for representatives to serve on a Steering Committee and a Collections Committee.
- *Review the Deductions Process.* The process of crediting libraries for prior or planned additional format purchases will be reviewed and adjusted to support scaling for both libraries and publishers.
- *Expand the offering.* The process of offering titles to libraries for unlatching will be repeated in 2014 with more books and more selection options. More publishers are signing up now with a view to participating in forthcoming collections.

QUESTIONS AND COMMENTS

Please direct any questions and comments on this prospectus to: info@knowledgeunlatched.org

Appendix A
Title List – Pilot Collection

Publisher	Author	Title	Title Fee	Deduction Value
Amsterdam University Press	Erik Jan Zürcher (Editor)	Fighting for a Living	\$15,000	\$75
Bloomsbury Academic	James Tully	On Global Citizenship	\$10,000	\$50
Bloomsbury Academic	Matthew Johnson, Keith Wagner, Kiki Yu, Luke Vulpiani (Eds)	China's iGeneration	\$10,000	\$50
Bloomsbury Academic	Todd Landman	Human Rights and Democracy	\$10,000	\$50
Brill	Cynthia Skenazi	Aging Gracefully in the Renaissance	\$10,000	\$50
Brill	Anke Timmermann	Verse and Transmutation	\$10,000	\$50
Cambridge University Press	Jacqueline Best	Governing Failure	\$15,000	\$75
Cambridge University Press	Roger Schoenman	Networks and Institutions in Europe's Emerging Markets	\$15,000	\$75
Cambridge University Press	Lawrence Warner	The Myth of Piers Plowman	\$15,000	\$75
De Gruyter	Zohar Segev	Jewish World Congress During the Holocaust	\$12,000	\$60
De Gruyter	Alan H. Sommerstein, Isabelle Christiane Torrance (Eds.)	Oaths and Swearing in Ancient Greece	\$12,000	\$60
De Gruyter	Alon Segev	Thinking and Killing	\$8,000	\$40
Duke University Press	Sarah Franklin	Biological Relatives	\$15,000	\$75
Duke University Press	Seth Garfield	In Search of the Amazon	\$15,000	\$75
Duke University Press	David A. McDonald	My Voice Is My Weapon	\$15,000	\$75
Duke University Press	David Sartorius	Ever Faithful	\$15,000	\$75
Edinburgh University Press	Jarlath Killeen	The Emergence of Irish Gothic Fiction	\$12,000	\$60
Edinburgh University Press	John W. Lango	The Ethics of Armed Conflict	\$12,000	\$60
Liverpool University Press	Tim Youngs	Beastly Journeys	\$10,000	\$50
Liverpool University Press	Anna Bernard	Rhetorics of Belonging	\$10,000	\$50
Manchester University Press	Chloe Porter	Making and Unmaking in Early Modern English Drama	\$10,000	\$50
Purdue University Press	Eugene Coyle, Richard Simmons	Understanding the Global Energy Crisis	\$10,000	\$50
Purdue University Press	David G. Tompkins	Composing the Party Line	\$10,000	\$50
Rutgers University Press	Niki Akhavan	Electronic Iran	\$14,000	\$70
Temple University Press	Jennifer Fredette	Constructing Muslims in France	\$10,000	\$50
University of Michigan Press	Roger Douglas	Law, Liberty, and the Pursuit of Terrorism	\$12,000	\$60
University of Michigan Press	Erik J. Engstrom	Partisan Gerrymandering	\$12,000	\$60
University of Michigan Press	Nicholas Ridout	Passionate Amateurs	\$12,000	\$60

Appendix B
Description of the Pledging Process

To take part in the KU Pilot Collection, libraries will be asked to complete the following steps:

1. A representative of the library will be asked to register on the KU website and complete a participation form that constitutes a binding pledge of not more than \$1680.
2. The representative will be asked to indicate by 31 January 2014 whether their library has ordered or intends to order before the end of March 2014 an additional print or electronic format of any of the titles in the Pilot Collection. This information will be used by KU to ensure that the library receives recognition for purchasing these titles and is not charged an unlatching fee for indicated titles.
3. Libraries will receive email acknowledgement of their commitment to participate in the Pilot.
4. Once the pledging period has closed (31 January 2014) libraries will be notified by email about whether the pledging target was reached.
5. If the pledging target is not achieved, libraries will be released from their pledge, will not be invoiced and no further action by the library is required.
6. If the pledging target is achieved, libraries will be invoiced for an amount reflecting the total number of participating libraries and taking into account additional purchases indicated by the library at the time of pledging.
7. If the Pilot Collection is unlatched, libraries will be notified when titles are made available via the OAPEN Library: <http://www.oapen.org/home>
8. MARC records will be available via the OAPEN Library. Links to direct ONIX-XML; MARCXML (based on MARC 21 XML schema); CSV; and XML optimized for import in Excel feeds will be included in the notification of unlatching sent to libraries.