

## Knowledge Unlatched Project Prospectus

### KU Select 2016 Collection Creating a Path for Open Access E-books

Offered by Knowledge Unlatched, September 2016

#### 1. *Executive Summary*

Mandates to make scientific journal literature available via Open Access (OA) to a global audience are growing while Humanities and Social Sciences 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 as well as providing Open Access to backlist titles – and thereby create a path to OA 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 OA. Libraries can create a future that includes free access to high quality scholarly books for readers all over the world.

- KU offers a sustainable path to OA for Humanities and Social Sciences monographs
- By working together, academic libraries and research institutions can count their existing electronic and print purchases of new books towards unlatching these titles
- 14 packages of 147 new titles and 196 backlist titles in total are offered in KU Select 2016 to libraries at a fee that covers the publisher's first copy costs for front list titles which results in these titles being released as OA upon publication. For backlist titles, a core collection of supplementary reading is being built up at a reduced rate to compensate the publisher for loss of income from the long tail
- Libraries are being asked to commit to all packages, but may elect to support either a minimum of 90% of the cost to unlatch all of the front and backlist titles on offer, or at least 90% of front list titles only, in order to participate
- More flexibility is possible for librarians, using a new 'pick and choose' option
- A fully downloadable PDF version of all of the unlatched books in KU Select 2016 will be hosted and preserved by OAPEN and HathiTrust without an embargo or any DRM, and also preserved by CLOCKSS and Portico
- Libraries will receive recognition for the purchase of any titles from the KU Select 2016 packages for which they acquire the same content in another format. A 35% discount will be offered for such purchases directly from the publisher

- The cost of the KU Select 2016 packages is based on a sufficient number of libraries participating globally
- Any surplus from exceeding the amount needed will be divided equally between supporting the KU Research programme and investing in KU's infrastructure on behalf of the library community
- KU Research will provide usage data and is geared to library requirements
- Supporting Libraries have a voice in shaping the future of KU.

## ***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. KU Select 2016 is an opportunity to ensure that existing or planned monograph purchases count towards making books OA.

KU is an award-winning\* organisation that brings together libraries from around the world to secure cost savings on new titles and better access for all titles.

*\* Winner: IFLA/Brill Award for Open Access 2014 and the Curtin University Award for Best Innovation in Education 2015. Shortlisted: ALPSP Awards for Innovation in Publishing 2016.*

The future of the monograph is unclear with declining sales and OA 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 OA monographs to understand the dynamics and to be able to offer their authors an option.

## **2. Collection Content**

The KU Select 2016 packages include 147 new titles (to be published in November 2016-April 2017) and 196 backlist titles (published between 2005-2015) covering topics in the Humanities and Social Sciences (Anthropology, Archaeology, Classics, Economics & Management, History, Information Science, Languages & Linguistics, Literature, Media & Communications, Music, Philosophy, Political Science, Sociology, Theology & Religion) from 54 respected scholarly publishers, commercial publishers and OA publishers:

Amsterdam University Press  
Anthem Press  
AOSIS  
Berghahn Books  
Bloomsbury Academic  
Brandeis University Press

Brill  
Cambridge University Press  
Cornell University Press  
Dartmouth College Press  
De Gruyter  
De Gruyter Mouton

De Gruyter Oldenbourg	Routledge
De Gruyter Saur	Royal College of General Practitioners
Duke University Press	Rutgers University Press
Edinburgh University Press	Sydney University Press
Fordham University Press	Temple University Press
Hawaii Press	Transcript
Intellect	Ubiquity Press
John Benjamins Publishing Company	UCL Press
Leiden University Press	University of Cape Town Press / Juta
Liverpool University Press	University of Calgary Press
Manchester University Press	University of Michigan Press
The MIT Press	University of Ottawa Press
Monash University Publishing	University of Toronto Press
North Texas Press	University Press of Colorado
North Western University Press	University of Westminster Press
NUS Press	Utah State University Press
Ohio State University Press	V&R unipress
Penn State University Press	Vandenhoeck & Ruprecht
Peter Lang	Verlag der Österreichischen Akademie der Wissenschaften
Pluto Press	Wits University Press
Policy Press	
Purdue University Press	

The list of titles represents a mix of publisher type, location and size. The Title List is available on our website: <http://www.knowledgeunlatched.org/download/>

Titles in the KU Select 2016 packages were selected to represent a broad range of specialist research-based books, most of which are monographs, a few edited collections and backlist titles that are supplementary content for courses, to form a core collection of these that KU is planning to achieve through its unlatching programme over the next five years. The main audience is students at undergraduate and graduate levels as well as independent researchers and others outside the academy.

Titles were selected by librarians of the KU Title Selection Committee (which was formed following nominations from KU Charter Member and Round 2 participating libraries). The 40 librarians from 12 countries voted on titles based on topics with wide appeal from the 681 titles submitted by 54 publishers.

### **3. Project Acquisition Model and Pricing**

The KU Select 2016 packages are being offered under a cost recovery OA model.

For KU Select 2016, Unlatching Fees are set by KU based on the average Title Fee during the first two Pilot collections. The Unlatching Fee for front list titles in KU Select 2016 has been fixed at \$14,025 (€12,750 / £10,200) per book. This represents all or part of the fixed costs of getting to first digital file. For each backlist monograph included, the Unlatching Fee was fixed at a much lower amount of \$3,190 (€2,900 /

£2,320) to partially compensate the publisher for loss of income from other format sales. The weighted average price per title comes to \$31.43 (€28.57 / £22.86).

To support the launch, all project and startup costs for KU's first Pilot were covered by grants and generous support from founding libraries. Organisations that 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 Centre. Round 2 (part of the Pilot phase) included cost recovery for KU which is the same for KU Select 2016.

The role of KU is project management, which includes the operational costs to coordinate with all participants. Publishers contribute 7.5% of the Title Fee for each book, and the remaining 7.5% is paid by libraries. The total of 15% covers KU costs of running the KU consortium, marketing KU collections, paying for sales representation and keeping KU services sustainable. The cost of each title (Unlatching Fee) already reflects these costs.

If at least 300 libraries pledge their support for the unlatching of titles in the KU Select 2016 collection and minimum requirements are met, fully downloadable PDFs of the selected titles will be made available on Creative Commons licences via OAPEN and HathiTrust as soon as possible after publication.

Please note that these amounts are excluding any VAT and sales taxes as applicable.

Libraries that acquire any of the titles in the KU Select 2016 Collection will have purchases acknowledged by way of a direct discount of 35% off the recommended retail price from KU Select 2016 publishers.

Publishers agreed to this approach to acknowledge library payments for the titles included in the KU Select 2016 Collection.

#### **4. Community Outreach**

Operational support and invoicing will be handled by:

- LYRASIS in the USA and Canada
- JISC Collections in the UK
- Schweitzer in Austria, Belgium, Germany, Luxembourg, Netherlands, Switzerland
- Karger Libri in Israel, Russia, Singapore, Thailand, Turkey
- Casalini Libri in France, Italy, Spain
- and directly by KU in all other countries.

#### **5. Hosting and Preservation**

Hosting and preservation will be provided for free by OAPEN and HathiTrust. CLOCKSS and Portico will also be providing free preservation for these books.

## **6. Pledging Period**

Binding pledges will be accepted between 1 September 2016 and 31 January 2017. Libraries should register on the KU website <http://app.knowledgeunlatched.org>.

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 about which KU Select 2016 packages to unlatch or announce that there is insufficient participation to unlatch certain packages. If books will not be unlatched, the libraries will be released from their pledge and not be invoiced.

## **Features**

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

**Platform** Titles will be available as a fully downloadable PDF from OAPEN and HathiTrust will also host the OA version of unlatched titles without an embargo or DRM.

**Preservation** All of the titles included will be preserved by OAPEN, HathiTrust, CLOCKSS and Portico.

**MARC** Initial MARC records will be available shortly after they are unlatched.

**Discovery** Unlatched titles will be discoverable in the Directory of Open Access Books, OCLC's Worldcat and through library discovery tools.

**Usage Data** Usage data will be available from OAPEN and HathiTrust. KU will provide both aggregated summary reports of COUNTER-compliant usage data as well as reports to individual libraries. These will be provided from 2017.

## **Advisory Groups**

KU has a two-tier approach to library governance consisting of a Library Steering Committee (KU strategy) and the Title Selection Committee (KU content).

Members of the first Library Steering Committee (2014-2016) were selected based on support for and engagement with KU. Thereafter any Library that has participated in more than two KU collections that have been unlatched will be invited to nominate members. The Library Steering Committee will make recommendations on the business model. They will be invited to propose new business opportunities and contribute to the overall strategic direction for KU.

The Title Selection Committee (previously referred to as the Collections Committee) has been formed through nominations from all libraries that participated in either of the first two rounds (the Pilot and Round 2 Collections). The Title Selection Committee plays a key role in selecting content to be offered to libraries via KU. The Committee makes recommendations on:

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

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

## **7. Benefits for Participating Libraries**

Knowledge Unlatched places libraries at the centre of the shift towards OA e-books. 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 KU Select 2016, librarians can be part of a global organisation that leverages their influence and increases their combined impact on the development of OA e-books.

- Librarians take a leadership role in making new book content openly available
- Librarians gain direct experience with the dynamics of OA e-book models
- Librarians will be enabling research on usage to better inform all stakeholders.

## **8. 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 licence
- Many publishers recognise 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.
- Publishers will have access to unique usage data of their own books.

## **9. 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 maximised 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 e-books in terms of economics and readership
- Existing expenditures are recognised as contributing to covering the first copy costs for new titles, which opens the door to variations on this model as determined by the community
- Valuable content is accessible to the global community as a result of libraries' participation
- KU is building a corpus of specialist backlist books, with the aim of having a core collection within five years.

## **10. KU Research**

KU has begun its metrics study by gathering detailed information about how titles made available on OA licences through its programme are used. This data will also feed into critical research on impact metrics for digital books.

KU Research is an arm of KU that is working to find better ways to track how OA books are being used, to develop simple, easy-to-understand usage reports for libraries, authors and publishers and to explore the role that KU usage data may play in the emerging field of altmetrics.

Quarterly aggregated usage statistics reports are published on the KU website which allows authors, libraries and publishers to view blended COUNTER-compliant usage data in an interactive map:

<http://www.knowledgeunlatched.org/about/research/usage-statistics/>

Institution-specific reports for KU Select 2016 will be available from 2017.

## 11. Next Steps

KU has produced a full KU report of the results of the Pilot as a Proof-of-Concept. It is available at <http://collections.knowledgeunlatched.org/downloads-pilot/>.

KU has now moved into its scaled up phase: offering libraries more books and a wider range of title selection options and expanding the number of publishers taking part in the programme. In addition, KU will:

- *Review the results of KU Select 2016.* Results and feedback from participating libraries and publishers will be assessed to see if further changes to the KU model are needed.
- *Further develop metrics study.* KU Research will provide library-specific usage data on an institutional basis.
- *Title-specific usage dashboards.* KU is working to develop a dashboard that will allow authors, publishers and libraries to view blended usage data for each of the books made Open Access through KU.
- *Continue to develop a library role in governance.* The KU Library Steering Committee will continue to advise on the library governance strategy and the Title Selection Committee.

## QUESTIONS AND COMMENTS

Please direct any questions and comments on this prospectus to Christina Emery, Partnership Manager ([christina@knowledgeunlatched.org](mailto:christina@knowledgeunlatched.org)).



## **Appendix A** **Description of the Pledging Process**

To take part in the KU Select 2016 Collection, libraries will be asked to take the following steps:

1. A representative of the library should register on the KU website (<http://app.knowledgeunlatched.org>) to record their pledges.
2. Libraries need to pledge for either:
  - The complete KU Select 2016 collection of 343 titles (both front list and backlist) which costs \$10,780 (€9,800 / £7,840) - with a minimum pledge of 90%, or \$9,702 (€8,820 / £7,056)
  - Or for the KU Select 2016 front list collection only of 147 titles which costs \$8,085 (€7,350 / £5,880) - with a minimum pledge of 90%, or \$7,277 (€6,616 / £5,292).
3. The first library representative at an institution to register can then invite their colleagues to create their own accounts which will be linked to the main library account.
4. Libraries will receive an email confirmation when they have selected titles in the KU Select 2016 collection.
5. Libraries may request to be invoiced early, before the end of the pledging period.
6. Once the pledging period has closed (31 January 2017), libraries will be notified by email about whether the pledging target was reached for their choice of titles.
7. If the pledging target is not achieved for certain titles, libraries will be released from their pledge to those titles, will not be invoiced for them, and no further action by the library is required.
8. If the pledging target is achieved, libraries will be invoiced for their selection.
9. If KU Select 2016 packages are unlatched, libraries will be notified when titles are made available as fully downloadable PDFs via the OAPEN Library: <http://www.oapen.org/home> and via the HathiTrust Digital Library: <http://www.hathitrust.org>
10. Libraries are entitled to a 35% discount on purchases of additional formats direct from the publisher. KU will inform publishers which libraries pledged on their titles.
11. MARC records will be available after titles have been unlatched.