

# Investigating OA monograph services: Final report

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A project to explore potential future services to support open-access (OA) monograph publishing, funded by Jisc Collections and conducted by Jisc Collections and OAPEN Foundation, with representation from UK universities, independent publishers, and others.

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## Introduction

### Aim

The project aimed to explore potential centralised services that would support and encourage the publication of OA peer-reviewed monographs. Potential services should primarily serve OA book publishers, in particular New University Presses (NUPs) and Library presses, but could also benefit libraries, research and repository management, and funders.

The project was conducted on co-design principles, with representatives from universities that have an interest in OA monographs – as university-based publishers, consumers, or supporters.

### Final report

This report presents the main activities and results of the 'Investigating OA monograph services' project. It starts with a brief description of the Project preparation phase and continues with the Project execution, covering each of the original work packages with a description of activities. The final section presents recommendations for next steps in the on-going effort to establish the necessary infrastructure and services to support OA monograph publishing.

## Project preparation (September 2014 – May 2015)

### Workshop

The project started with a workshop with invited representatives of UK universities, conducted on 21 October 2014 (see annex 1 for a list of participants). The primary goal of the workshop was to identify use cases for potential centralised services, based on a number of main functions, which were used as input for the workshop:

- support quality assurance of OA books;
- aggregation and deposit of OA books and chapters;
- improve dissemination and discovery of OA books;
- report about OA policies and usage

The use cases were developed by discussing these functions from the perspective of four stakeholder groups (Funders, NUPs, Repository and Library managers, Research managers and Researchers), which eventually resulted fifteen potential use cases:

1. Peer review
2. Rigour of publishing process – Transparency/accountable
3. Faster publishing process
4. Proof of impact
5. Developing/accessing metadata – asap, open
6. Access to research corpus
7. Discoverability (transparent)
8. Preservation, permanently useable

9. Reputation, prestige, promotion
10. Transparency of cost, business model
11. Improved dissemination
12. Clarity of OA status
13. ROI
14. Cross funder reporting
15. Conversation: communication with peers; evidence of re-use

A full report of the workshop is available on the project website<sup>1</sup>.

### Work packages and project plan

The outcomes of the workshop were used to develop a set of identified user needs, possible actions or solutions to address those needs, and possible pilots or work packages to validate the use cases and draft service specifications. These were then used for subsequent consultation of workshop participants, further interested parties, and an advisory group.

The consultation process resulted in the following work packages:

1. Knowledge exchange
2. Publisher information
3. Metadata
4. Aggregation
5. Impact / reporting
6. Green OA
7. Evaluation

The abovementioned work packages were further developed in a project description, which was finalised in May 2015. The project description is available on the [project website](#).

## Project execution (July 2015-April 2016)

### Approach

As mentioned earlier, the project was set up to explore the potential of centralised services and not to develop or deliver services. The idea was to conduct a small-scale project in a relatively short time frame. The project should be seen as a first step in an ongoing process towards establishing the infrastructure and services to support OA monographs. From the start, it was clear that the workshop and subsequent consultation process resulted in a large number of proposed pilots, and that some of them would be large-scale. However, rather than limiting the scope of the identified work packages and risk losing sight of further actions and their benefits, the approach was to start work in these areas, evaluate the outcomes at the end of the project, and recommend further work.

In the following section, we will present each of the work packages, and describe the work that was done.

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<sup>1</sup> <https://www.jisc-collections.ac.uk/Investigating-OA-Monograph-Services/>

### WP1: Knowledge exchange

This WP aims to enable communication and knowledge sharing among participants involved in OA for books. A project website will be created to share information on work being done and areas of common interest. The WP will include activities to raise awareness among stakeholders about issues related to OA monographs.

#### Tasks:

- 1.1 Set up project website
- 1.2 Set up project newsletter
- 1.3 Identify OA/Book resources of interest
- 1.4 Share information, project documentation
- 1.5 Raise awareness – communication
  - Events: ARMA, LIBER, Academic Book week

#### Deliverables:

Website  
Newsletter

#### Results

- A project website was set up and used to inform about the project and gather project documentation: <https://www.jisc-collections.ac.uk/Investigating-OA-Monograph-Services/> (1.1; 1.4)
- The original idea to create a central space for knowledge sharing and resources on OA monographs was not pursued. This idea relied on co-ordination among all related projects in the area of monographs, in particular OAPEN-UK, which at the time was in the process of producing its final report.
- Instead, OAPEN created a ‘Resources’ section on its website (<http://www.oapen.org/content/about-resources>), with reports from important projects, guides for OA monographs, and available literature (1.3).

#### Presentations and Workshops

The project was presented at various conferences (1.5):

- ARMA conference, 2 June 2015, Brighton  
This was a session with Neil Jacobs ‘Managing the OA process’. It included a short workshop session to validate the selection of centralised services.
- LIBER conference, London, 25 June 2015
- Jisc Digifest, Birmingham, 2 March 2016  
This was a workshop with Caren Milloy about the OAPEN-UK and ‘Investigating OA monograph services’ projects. It included a workshop to explore potential approaches to ‘Green OA’ for books.
- University Press Redux, Liverpool, 16 March 2016

### WP2: Publisher information

This WP aims to identify and describe good-practice guidelines for OA book publishers. The WP primarily addresses the need for improved transparency and accountability, by addressing the potential for the provision of more systematic information about the

publishing process, peer review procedures, OA and licensing policies, etc. of respective publishers. Information will be collected from participating publishers and made available through DOAB.

#### Tasks:

- 2.1. Determine types of information publishers can most usefully make available
  - This task will start with the identification and sharing of good-practice guidelines from existing sources, and feedback will be taken from the project organization
- 2.2. Set up additional information provision in DOAB
  - Explore use of DOAB to extend information provision from publishers
  - Adapt DOAB to present information
- 2.3. Collect and present information from participating UPs
  - Project participants will be invited to take part in a pilot to provide the requested information, both through their own websites and through central resources, e.g. DOAB
- 2.4. Introduce new browsing options for information supplied by publishers
  - This task will include exploring a system to highlight publishers that comply with the good-practice guidelines and transparent information
- 2.5. Consider use of other services and tools to provide information about OA books
  - This task will explore potential adaptation of HowOpenIsIt guide and CrossMark to use for books

#### Deliverables:

Recommended information from participating publishers  
Central storage and provision of information from participating publishers (possibly through DOAB)

#### Results

- The first result was a table with guidelines and membership criteria from the following sources: ‘Principles of Transparency and Best Practise in Scholarly publishing’, the OASPA membership criteria, the DOAJ and DOAB application forms, and the OAPEN-UK final report. The table compared the sources, identified similar principles and ranked these based on how many sources mentioned them.
- This table was then discussed with a group of participants from the first workshop. The principles were selected and adapted to be applicable to OA book publishing.
- This work resulted in a list of recommendations for publisher’s websites, which was subsequently made available as a short guide: ‘Publisher information for OA book publishers’ (2.1).
- The guide was promoted via the Jisc scholarly communications blog and tweeted.

Next steps in this work package were not carried out in the pilot, but the work was taken forward in other contexts:

- OAPEN has made the guide part of the review process for publishers that apply to be listed in DOAB and recommends that publishers make that information available;
- OAPEN took the idea of developing DOAB as a resource for publisher information forward in a project proposal for EU funding (Horizon 2020), as part of the OPERAS consortium (the project has since been selected for funding) (2.2);
- OAPEN is also working with a number of funders (Wellcome Trust, ERC, FWF), to compile a list of publishers that comply with OA requirements of funders. This will involve approaching publishers to make information on OA policies available on their websites (2.3, 2.5).
- Jisc Collections has referenced the guide in the Collections Development Management Policy as a criteria for OA book agreements.

### WP3: Metadata

This WP aims to develop requirements for metadata of OA books. Metadata has a crucial function to make books discoverable; to allow various stakeholders – e.g. funders – to collate information about publications; and to provide clear information to users.

#### Tasks:

- 3.1 Review of the metadata in use in various systems; creation of a list of what metadata is used, and where.
  - The review will include practices in conventional book publishing and will take account of lessons learned in OA journal publishing.
  - WP3 may make use of outcomes of WP2.
- 3.2 Project participants will be invited to give feedback on the metadata that is considered useful or necessary
- 3.3 Review of metadata list against available metadata from existing publications to identify gaps
- 3.4 Determine how required metadata can be provided and collected
- 3.5 Determine how required metadata can be made available, with CrossMark as one of the potential services

#### Deliverables:

Provisional metadata requirements

#### Results

- The first effort in this work package was to review various existing metadata systems that were already in use, such as ONIX, LCC, Dublin Core, CrossRef. This review led to the conclusion that a model for OA books should be based on the main purposes of the metadata, rather than to start from existing, in some cases very extensive and complex models.
- The main purposes of the metadata for OA books were defined (enhancing visibility and discoverability of OA books, addressing the needs of the main stakeholders) and this provided input for an initial model, consisting of four main parts: Book, Creator, Format and Collection (3.1).

- The initial model was presented in a ‘Book metadata proposal’, which included various existing metadata systems, and an analysis of the main stakeholder needs. The proposal was subsequently discussed with a group of participants from the first workshop. The model was revised, based on the feed back from the group, and the revised version of the proposal was sent round for comments (3.2).
- The final model, which was presented as a provisional list of metadata, was made available as a short guide: ‘Metadata for Open Access monographs’.
- The guide was disseminated through the Jisc scholarly communications blog.

The metadata model was subsequently adopted by OAPEN for the OAPEN Library. This led to a few further adaptations of the model, mainly to accommodate the description of chapters (4.2).

The metadata model has also been included within the Jisc Collections’ Collection Management and Development policy as essential criteria for OA book agreements.

#### WP4: Aggregation

This WP aims to address various needs: the need for researchers to get easy access to research output; the need to allow discoverability and dissemination of OA books; and the need to support digital preservation. The WP will establish a pilot to aggregate and deposit OA books through the OAPEN Library; to connect publications to funders and institutions; to make an inventory of valuable dissemination channels; and to include these in metadata exports from OAPEN Library

#### Tasks:

- 4.1. Deposit and preserve OA books
  - Project participants (publishers, repositories) will be invited to provide freely accessible and appropriately licensed books
  - The deposited books will be uploaded in the OAPEN Library and thereby become part of the existing set of services (which currently include preservation, dissemination, uploading to DOAB, etc.)
- 4.2. Enrich metadata
  - The OAPEN Library will be adapted to accommodate the requirements for metadata identified in WP3
  - Metadata of the books will be enhanced based on the recommendations of WP3
- 4.3. Share OA books/metadata with IRs/UPs
  - Aggregated OA books will be made available to project participants
- 4.4. Disseminate through library service providers (central feeds/harvesting)
  - The OA books will be made part of the regular feeds and library services provided by OAPEN
- 4.5. Add valuable dissemination channels
  - This task is to review additional dissemination channels, both within and outside of academia, and add valuable channels to the dissemination service

### Deliverables:

Pilot collection of OA books

### Results

- It became clear during the project that this WP would require more time and resources than were available within the pilot.
- The first and only step in this WP was to make an inventory of OA books from the UK. Although this information is outdated (dates back almost one year), it does give an idea of the potential for aggregation:

OA books in the OAPEN Library:

- 198 OA books from 18 publishers
- 47 through OAPEN-UK (6 publishers)
- 11 through KU
- 9 through WT
- 1 through FWF

Not in OAPEN, but in DOAB:

- 188 OA books from 5 publishers

Total of OA books in OAPEN and/or DOAB:

- 386 OA books from 21 publishers

### WP5: Impact/reporting

This WP aims to cover both the need to *assess* impact for OA books and the need to investigate ways to *report* effectively on research output.

Firstly, the WP aims to explore metrics that can be used to measure impact of OA books. There is a clear need among publishers, authors and funders to improve the way usage and impact (academic and societal) of books is measured and to demonstrate the value of OA books and book publishing. The WP will make an inventory of possible and useful metrics.

Secondly, the WP will consider the demand for reporting about research output on various levels (usage, impact, funding, compliance with OA mandates) and suggest reporting templates, (based on the available collection in the OAPEN Library).

### Tasks:

- 5.1 Explore and review possible approaches (in the realms of both Bibliometrics and Altmetrics)
- 5.2 Review of potential services to provide (alt)metrics
- 5.3 Consider a possible pilot to test (alt)metrics
- 5.4 Identify interoperability standards
- 5.5 Create reporting templates (usage, impact, compliance), taking into account interoperability

### Deliverables:

Report on impact metrics



## Reporting templates

### Results

As with the previous WP on Aggregation, it became clear that this WP would require more time and resources than were available within the pilot.

- OAPEN did prepare a paper providing an overview of metrics that can be used to measure impact of OA books.

Although next steps in this work package were not carried out in the pilot, the work was taken forward in other contexts:

- OAPEN collaborates with Knowledge Unlatched (KU Research, based at Curtin University, Australia) to explore metrics for OA books within the OAPEN Library, and improve services for publishers.
- The OPERAS consortium developed the idea for a service to provide (alt)metrics for OA books across platforms, as part of the aforementioned project proposal for EU funding (Horizon 2020). The proposal has been selected for funding, and OAPEN, Ubiquity Press, Open Book Publishers and Knowledge Unlatched will all be involved in this project.

### WP6: Green OA

This WP is primarily concerned with the potential for a ‘green’ route to OA books. Most OA models for books include selling printed editions, and book publishers seek a ‘book processing charge’ to publish the OA edition. Self-archiving of monographs as a way to achieve OA hasn’t been explored in any detail. This WP will explore solutions to deposit books in a repository that could be supported by book publishers.

### Tasks:

- 6.1 Inventory of possible models for Green OA books
- 6.2 Consider online survey to prepare round table discussion
- 6.3 Round table discussion of various approaches, with representatives of all stakeholders
- 6.4 Validation of potential approaches among a wider group of stakeholders
- 6.5 Consider pilots for Green OA books

### Deliverables:

Paper on possible models for Green OA books

### Results

- The round table discussion took place on 19 January 2016. The participants in the round table represented the various stakeholders: publishers, researchers, librarians, funders. As preparation of the round table discussion, a paper was circulated. The paper explained ‘green’ and ‘gold’ OA and gave examples of OA requirements from funders and self-archiving policies from publishers. The round table was set-up in three rounds of discussion: issues and challenges; finding possible solutions; recommendations for OA policies.

- In the session aimed at finding possible solutions, three potential solutions were identified:
  1. The Embargoed Version of Record' Model: In this 'straw man' model the publisher fee is set at £0 (no book processing charge) and after an embargo period of three years, the title is made OA but with no copying or download available.
  2. The Trigger Model: In this model a publisher sets a BPC to make a book available in OA (immediate gold). Once there have been enough sales to cover the costs, it becomes green OA. When it never reaches that, it will be published in green OA with a set embargo period anyway.
  3. The Direct Publication Model: In this model academics deposit their manuscript into a repository. Open peer review and editing takes place. The peer review could be organised prior to or post deposit and could be undertaken by peers or a research committee.
- These potential solutions for 'Green OA' for books were presented and further explored during a workshop at Jisc Digifest, Birmingham, 2 March 2016.
- The Report of 'Green OA for books' was made available on the [project website](#).

## Recommendations

In this section, we list a number of recommendations for further work in the area of centralised services that can support and encourage the publication of OA peer-reviewed monographs. These recommendations are all supported by the OAPEN-UK final report.

### Good practise guidelines

The work in WP 2 (Publisher information) and WP3 (Metadata), resulting in the two short guides 'Publisher information for OA book publishers', and 'Metadata for OA monographs', could be extended to cover other essential aspects of OA book publishing.

From the workshop and from other work carried out by both OAPEN and Jisc, we know that there is a need among publishers, especially new university presses and conventional presses starting to publish OA books, for practical information about the various aspects of OA book publishing. This was also a goal in WP 1 (Knowledge exchange).

The idea would be to cover each of these aspects or areas in a similar way as the guides for Metadata and Publisher information: short, two to three page guides, referring to other, more extensive sources where available. Other areas that could be covered are:

- Author agreements
- Licensing
- Self-archiving (green OA)
- Funder requirements
- Peer review
- Metrics
- Dissemination and discovery

Such a guide, or toolkit for OA book publishers, could be developed in a relatively short period. As in WP2 and 3, OAPEN could prepare a first draft for each of these topics. Jisc and OAPEN could organise editorial rounds with invited stakeholders to produce the first edition of the guide.

This recommendation aligns with current findings from the Jisc landscape survey of New University Presses and Academic Led Presses. It also supports the current lessons learned from Jisc's institution as e-textbook publisher project.

### Aggregation and dissemination

There are by now around 450 OA monographs (including edited volumes) from UK publishers that we know of, either because they are full text available through OAPEN Library, or because they are listed in DOAB (or both). An unknown number of OA books from the UK is not part of these collections.

As we can expect the number of OA books to grow at an increasing pace, it is time to consider setting up a central workflow to aggregate these books. Aggregation would make it possible to enrich and normalise metadata, to ensure dissemination through specific channels such as libraries, and to improve discoverability and visibility of OA books. Aggregation would also enable systemic improvements, such as adding DOIs and ORCIDs, introducing metrics to measure usage and impact, or introducing the use of new tools such as CrossMark.

A first step could be in the form of a project to carry out the work in WP4, to aggregate OA books from UK publishers:

- Add the OA books in DOAB and other OA books from the UK to the OAPEN Library
- Enhance and normalise metadata, based on the metadata model (WP3)
- Identify valuable dissemination channels and add these to the OAPEN Library

A central goal of the project would be to establish if and how aggregation provides added value for OA books, their publishers and to libraries, by monitoring the discoverability and usage of OA books, and by carrying out benchmarks.

### (Alt)metrics

(Alt)metrics to measure usage, citations and impact are an essential component of the transition to digital and OA. If books are to make the transition to OA, they need to catch up in this area.

As mentioned in WP5 (Impact/reporting), work is being carried out in this area. The OPERAS consortium is currently preparing an H2020 project, which aims to develop a number of central services to be implemented across different platforms for OA books. One of these services concerns (Alt)metrics.

As a number of UK players are already involved in this project (Knowledge Unlatched, Ubiquity Press and Open Book Publishers are taking part, also OAPEN), and the services that are to be developed will become available to all, not just the OPERAS members, it may not be necessary to initiate other projects in this area. However Jisc could consider

joining the OPERAS initiative to stay in touch with the work being done around OA books.

### Green OA

The round table discussion led to three potential solutions to achieve (delayed) OA without book processing charges: The Embargoed Version of Record Model; the Trigger Model; and the Direct Publication Model.

Each of these potential solutions will need to be explored further to find out if they could work for the different stakeholders. Our recommendation is that these potential solutions should be considered by the UUK subgroup on OA monographs.

## Annex 1: Participants

### 1. Workshop

- Tracey Clarke, University of Sheffield
- David Clay, University of Salford
- Richard Wake, University of Southampton
- Ann Betterton, Sheffield Hallam University
- Sue Geale, University of Hull
- Neil Smyth, University of Nottingham
- Patricia Killiard, Cambridge University
- Sarah Molloy, Queen Mary University
- Bethan Adams, University of Hertfordshire
- Gary Hall, Coventry University
- Jane Housham, University of Hertfordshire Press
- John Normansell, Manchester University Press
- Lara Speicher, UCL Press
- Cecy Marden, Wellcome Trust
- Brian Hole, Ubiquity Press
- Diana Beech, Research Information Network

and:

- Roger Tritton, Jisc Collections
- David Ball, David Ball Consulting
- Eelco Ferwerda, OAPEN Foundation
- Lotte Kruijt, OAPEN Foundation (report)

### 2. Advisory Group

- Frances Pinter – Director Knowledge Unlatched, CEO Manchester University Press
- Ben Johnson - Research policy adviser, HEFCE
- Simon Kerridge - Director of Research Services, Kent University
- David Prosser - Executive Director, RLUK
- Sue Hodges - University Librarian/ Llyfrgellydd y Brifysgol, Bangor University
- Stuart Lewis - Deputy Director of Library & University Collections and Head of Research and Learning Services
- Paul Needham - Research and Innovation Manager at Cranfield University
- Cecy Marden - Wellcome Library OA Project Manager
- Martin Eve - Lecturer in English Literature, University of Lincoln; Founder and Project Director, Open Library of the Humanities