

# PILOT PROOF OF CONCEPT PROGRESS SUMMARY



Knowledge Unlatched



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### Authors

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A longer report will be available in the second half of 2014.

# Progress Summary

## KU'S MISSION

**Knowledge Unlatched (KU)** was established with the goal of creating a sustainable route to Open Access (OA) for specialist scholarly books. We maintain that libraries can secure long-term savings for their own institutions and, at the same time, increase access to high quality books for the whole world by working together to share the costs of OA for book-length works. KU is developing the coordinating mechanisms that libraries and publishers need to ensure that OA occurs efficiently. In doing so, KU aims to help libraries to maximise the positive impact of the money that they already spend on specialist scholarly books and to secure the future of the monograph.

## OBJECTIVES OF THE PILOT

**The KU proof-of-concept Pilot** was a key step in making this vision a reality. The Pilot brought together stakeholders from every part of the monograph ecosystem in order to develop workflows, test key assumptions about the ways in which libraries and publishers might work together, and to 'unlatch' a Pilot Collection.

**The Pilot was an opportunity to put three ideas at the heart of the KU model to the test that:**

1. Publishers would be willing to make high quality, front-list books available on an OA licence in return for the payment of a single, fixed Title Fee by a global community of libraries;
  2. Libraries from around the world could work together to share this fee;
- and
3. that doing so could provide a financially viable alternative to traditional content acquisition models for both publishers and libraries.

# The Pilot



## WHAT HAPPENED DURING THE PILOT

### *Market Research and Model Development*

The **KU project team began** formally working with stakeholders in order to develop and refine the KU model in early 2012. Publishers, librarians, research funders and OA thought leaders were engaged in this iterative process through workshops, round-table discussions, conference presentations and business model surveys.

### *Publisher Recruitment*

**From early 2012** publishers were encouraged to register their interest in participating in the KU Pilot. This involved making high quality, front-list books available on an OA basis in return for the payment of a fixed Title Fee from a community of libraries.

A mix of commercial and not-for-profit scholarly publishers from North America, the UK and continental Europe were targeted by the Pilot team, in response to information from libraries about the kind of publishers that should be included within the programme.

Thirteen recognised scholarly publishers were ultimately included in the Pilot.

A list of Pilot publishers is available at: [knowledgeunlatched.org](http://knowledgeunlatched.org)



# The Pilot

## *Developing the Pilot Collection*

**After extensive library consultation** it was decided that the Pilot Collection should be large enough to be significant, but not so expensive as to rule out smaller libraries; broad enough to cover a number of subject areas; as well as books having a variety of price points, including a few that were appearing simultaneously in paperback.

Participating publishers offered more than 100 front-list titles for possible inclusion. KU worked with librarians at a partner library to curate these books into a single 28-book collection that covered: History, Literature, Political Science, and Media & Communications. One book in Anthropology was also accepted. The majority of the books are monographs and the core audience for the collection is likely to be undergraduate and graduate level students, as well as independent researchers.

## *Marketing the Offer to Libraries*

**Between October 2013 and February 2014** libraries from around the world were invited to share the costs of making the collection Open Access by agreeing to pay a maximum of \$1,680 to enable the 'unlatching' of the collection. KU worked with partners including Jisc Collections, Informed Strategies, LYRASIS, the Max Planck Society and Burgundy Services to market the Pilot Collection.

If at least 200 libraries signed up publishers would be paid a single fixed Title Fee and all of the books would become available on Creative Commons licences immediately upon publication (or, if the book had already been published, as soon as the pledging period ended). If less than 200 libraries joined, the books would still be published without KU's involvement, and they would remain closed.

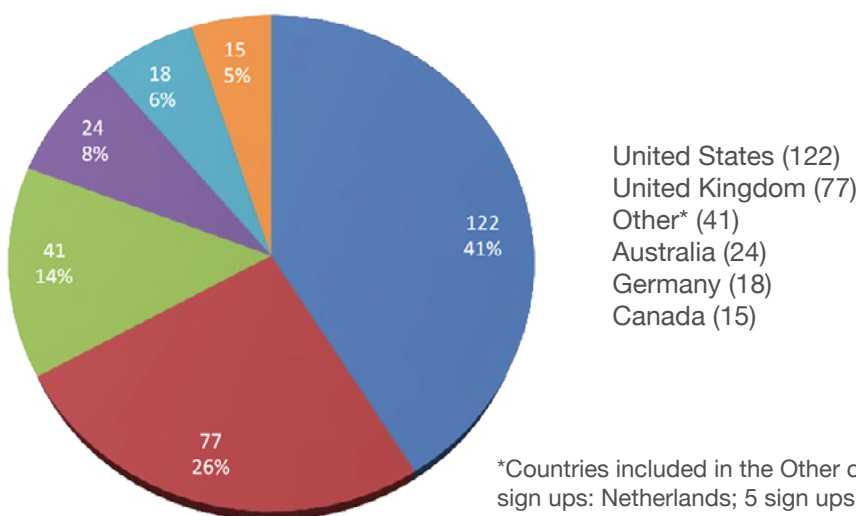
# Pilot Outcomes

## PILOT OUTCOMES

**The Pilot established that authors, librarians, publishers and research funders are all willing to engage with the basic KU model. It also demonstrated that the model is cost-effective for scholarly communities and financially viable for publishers.**

297 libraries from 24 countries signed up for the Pilot Collection, exceeding the original target by almost 50%. This reduced the cost for every library taking part from \$1680 to \$1195. Libraries paid an average of less than \$43 (down from the target of an average of \$60 per title) to unlash each book in the collection, compared to an average hardback cover price of \$95. Participating publishers received an average Title Fee payment of \$12,000 for each book in the Pilot Collection, less any deductions for additional purchases (see section on preventing double payment).

The geographic spread of the participating Pilot libraries was: 46% from North America, 26% from the UK and 28% from the rest of the world. 24 libraries from Australia took part in the Pilot: an impressive number, given that Australia has just 43 universities.



\*Countries included in the Other category are less than 5% each – with 7 sign ups: Netherlands; 5 sign ups: Denmark and Israel; 4 sign ups: New Zealand; 3 sign ups: Sweden; 2 sign ups: France, Spain and Switzerland; and 1 sign up per country: Austria, Belgium, China, Estonia, Finland, Hungary, Latvia, Norway, Portugal, South Africa and Turkey.

# Pilot Outcomes

## *Content Hosting and Delivery*

**Developing technical workflows** and identifying content delivery and metadata challenges that will need to be addressed in order to scale the model were important aspects of the Pilot.

KU elected to not develop its own platform for hosting and delivery. Instead, it chose to make the most of existing infrastructure by partnering with established hosting and content delivery services. The OA version of unlicensed books is being hosted on OAPEN, The British Library digital platform and HathiTrust. KU is working with CLOCKSS and Portico to ensure that content is preserved. High quality MARC records for the Pilot Collection were provided by Duke University Library, with additional input from Kenyon College Library and these records were sent to OCLC for WorldCat and ProQuest for use in Summon. Some publishers are hosting the OA content on their platforms as well.

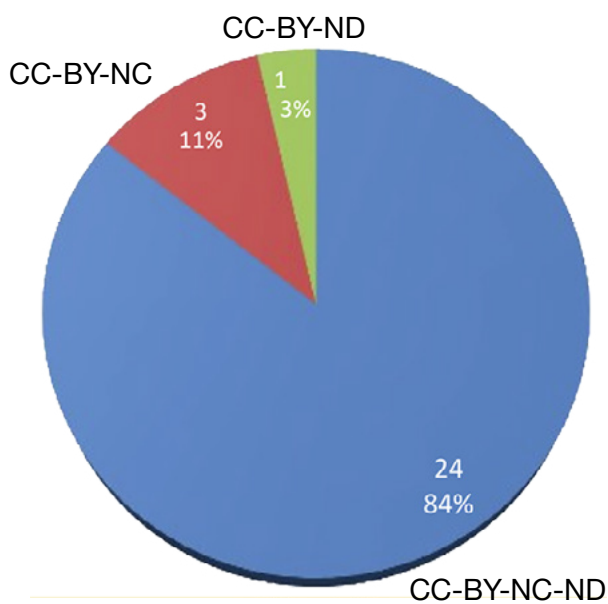
## *Licensing*

**Publishers and authors** were asked to work together to choose the Creative Commons licence to be applied to each of the books included in the Pilot Collection. Publishers and authors chose to attach a CC BY-NC-ND licence to 24 of the books in the Pilot Collection; a CC BY-NC licence has been attached to three books and a CC-BY-ND licence was attached to one title.

The selection of licences that allows for non-commercial reuse only for the majority of books in the Pilot Collection allows publishers to generate additional income for themselves and their authors by publishing and distributing the book through commercial channels in other formats. This helped to keep the cost of the Title Fees for the books in the Pilot Collection lower than they might otherwise be.

# Pilot Outcomes

## Licensing (continued)



**Many of the authors** who agreed to the inclusion of their books in the Pilot Collection indicated that they are not comfortable with granting a blanket licence allowing others to alter or adapt their work. In order to protect the integrity of their work a ‘No-Derivatives’ licence was often selected by the author, requiring downstream users to seek permission before creating derivative works. For more on what authors said about the Pilot, [please see here](#).

## Preventing Double Payment

**Developing a mechanism** for ensuring that libraries are not asked to pay publishers twice for the same content (or “double dipping”) was an important workflow challenge.

For the Pilot, publishers were willing to waive the unlatching fee for titles ordered by a participating library in another format through their regular channel within a period of up to 30 days after the close of the pledging period. Libraries reported 702 book purchases of a Pilot Collection title through another channel. This was out of a possible 8642 deductions (297 x 28) and required publishers to waive 8.4% of the total maximum unlatching fee.

## NEXT STEPS

**Eventually, KU aims to arrive at** a size that will allow it to affect a positive change in the scholarly communication landscape and generate sufficient funds to be self-sustaining.



# Next Steps

## NEXT STEPS

**Once it has reached scale**, KU should be able to accommodate hundreds, and even thousands, of titles and to provide a viable option for funding large numbers of OA monographs. However, the limited scope of the Pilot necessarily left some important issues unresolved. These include:

- A lack of uniformity in publisher approaches to digital content, metadata and accessibility made the task of loading content onto hosting platforms complex and time consuming;
- There is inconsistency in the approach to ISBNs across the Pilot Collection; this will make it harder to gather detailed information about Pilot Collection title usage;
- The Pilot Collection will be accessible to communities with impaired vision via the HathiTrust reader. However, the accessibility of the collection could be improved in the future;
- More work needs to be done to ensure that KU represents a practical option for librarians struggling to manage complex supply chains and workflows;
- Questions about how the KU model might be shaped to enable diversity in the scholarly book landscape are yet to be addressed;
- Further study is needed to explore the issues around multiple format charging;
- More work is needed in order to understand how this model might fit with the value propositions and workflows of 'pure OA' publishers.

**Usage data** of the books **and analysis** will be conducted.

**Additional investment is required** to address these and other aspects of the model, and to enable the project to be scaled and expanded. KU is now exploring investment as well as partnership options with Pilot stakeholders.

It is also establishing a Library Steering Committee, and overseeing the election of a Collections Committee comprised of librarians in participating institutions, to help create guidelines for the selection of titles in the future.