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## Don's Conference Notes--The Impact of Open Access Models: An NFAIS Workshop

Donald T. Hawkins  
dthawkins@verizon.net

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## The Impact of Open Access Models: An NFAIS Workshop

**Column Editor's Note:** *Because of space limitations, this is an abridged version of my report on this conference. You can read the full article at <http://www.against-the-grain.com/2016/02/v28-1-dons-conference-notes/>. — DTH*

The National Federation of Advanced Information Services (NFAIS) held a workshop entitled “The Impact of Open Access Models: Finding Stable, Sustainable and Scalable Solutions” on October 23, 2015 in Philadelphia, PA. The main thrust of the workshop was the entrance of open access (OA) in scholarly publishing and how it is funded.

### NFAIS Survey Results

**Nancy Blair-DeLeon**, Director of Publishing, Family Practice Inquiry Network, reported on the results of an NFAIS survey of publishers, research libraries, and software companies to gauge attitudes towards article publishing charges (APCs) as a means of financing OA publication. The number of authors publishing articles in journals with APCs has increased. Most authors of OA articles are working in the hard sciences (STEM) fields, but the number of those in the humanities and social sciences (HSS) fields is increasing. OA and funding models are confusing to authors; all they want to do is publish their works. The big concern for publishers is whether having OA articles on their Website will bring increased traffic. OA is causing changes to existing publishing models. Policies are still evolving, and there are still many unknowns.

### Views from Society and Commercial Providers

**Simone Taylor**, Publisher, Open Access, **John Wiley**, defined Gold OA as that providing immediate access that is frequently paid for by an APC. Green OA articles are those archived in a repository and made available after an embargo period. The typical embargo period, where required (not all journals require an embargo) is 12 months. There seems to be an increasing emphasis by government agencies on Green OA. Most of the funding for Gold OA comes from grants.

The future of OA involves:

- Continued piloting and evolving of policies over the next five years,
- Collaboration between funders, publishers, and the research community,
- Continued evolution of business models, and
- Increased focus on the needs of authors trying to navigate a mixed environment of subscription-based journals, and Green or Gold OA.

**Brian Crawford**, President, Publishing Division, **American Chemical Society (ACS)**, described ACS's OA strategy:

- Accommodate Green OA but encourage Gold by providing stimulus incentives and expanded licensing options,
- Support a transition to OA for the ACS journal portfolio,
- Develop and launch a high-visibility, high-impact OA journal,
- Adjust business models for subscription-based electronic licensing, and
- Demonstrate the Society's commitment to sustainable models for open dissemination of trusted scientific information.

ACS's four “pillars” of OA are:

- **ACS AuthorChoice**: a member-benefit hybrid OA option that gives discounts on APCs to ACS members at subscribing institutions.



**Brian Crawford**

- **ACS Author Rewards**, instituted in 2014, provides a \$1,500 credit towards payment of APCs for any ACS OA article published between 2015 and 2017 to the corresponding author of every article published in 2014.
- **ACS Editor's Choice**: a panel of ACS journal editors selects one article per day to convert to OA at no charge to the author.
- **ACS CentralScience** is ACS's first OA journal. It has no APCs and was launched in the spring of 2015. It is highly selective, interdisciplinary, and expects to publish 150 to 200 articles per year in all chemistry-related areas.

In **Crawford's** opinion, “APCs” should mean “article publishing charges,” not “article processing charges,” which would recognize and highlight the value added by publishers.

**Ann Gabriel**, Vice President, Academic and Research Relations, **Elsevier**, said that key drivers for OA are the motivations of authors who want to publish in OA journals. In North America and Asia, funding agencies are trending towards Green models, while the UK and the Netherlands are trending towards Gold. Many authors still want to publish in subscription journals and said they were very unlikely to publish in an OA journal.



**Ann Gabriel**

**Elsevier** has launched several innovative OA publishing projects:

- **Heliyon** is a new multidisciplinary OA journal with an APC of \$1,250 whose editorial procedures are especially designed to ensure rapid publication.
- Two journals (*Journal of Infectious Diseases* and *Alzheimer's and Dementia*) have successfully changed their business model to become fully OA.
- **GI Endoscopy** is an OA video journal that allows viewing a procedure in a fraction of the time it would take to read a detailed description of it.
- **Genomics Data** allows researchers to publish their data along with its interpretation.
- **MethodsX** publishes details of experimental methods in a microarticle format and has a very modest (\$500) APC.

APCs help pay publishing costs, and 23% of **Elsevier's** authors report that APCs are covered by their research funding. There is room in the market and a need for both OA and subscription journals.

**Kathleen DiLaurenti**, Arts Librarian, **College of William and Mary**, discussed a different type of OA content: music. There are no academic record labels; composers are scholars working in the public market. They generally require a fee for production and marketing, similar to an APC for traditional publishing. The fees do not cover recording costs which can be substantial (approximate total costs can be up to \$20,000). “Peer review” for music is based on the market acceptance of a composer's output.

Here are two examples of music-related OA services:

- The **International Music Score Library Project (IMSLP)** (<http://imslp.org/>) is a library of public domain music that currently contains nearly 100,000 original compositions that have been scanned to PDFs. Current composers can post compositions using Creative Commons licenses.
- The **Sheet Music Consortium** (<http://digital2.library.ucla.edu/sheetmusic/index.html>) is a group of libraries building an OA collection of digitized sheet music that is hosted by the **UCLA Digital Library**.

### Models for Social Sciences and the Humanities

**Rebecca Kennison**, Principal, **K|N Consultants**, looked at OA models for communities in the social sciences and humanities and summarized a white paper on the subject (available at <http://knconsultants.com>).

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[org/wp-content/uploads/2014/01/OA\\_Proposal\\_White\\_Paper\\_Final.pdf](http://org/wp-content/uploads/2014/01/OA_Proposal_White_Paper_Final.pdf)). The white paper outlines a model for OA and assumes that:

- Scholars want to be able to publish wherever they wish,
- Sharing is the responsibility of every institution, and
- The mission of the library is to support dissemination and preservation of scholarly output.

HSS scholars depend more on books than STEM scholars, so publishing practices for the HSS market must differ from those for the STEM market.

### OA for University Presses

**Mary Rose Muncie**, Executive Director, **Temple University (TU) Press**, described the practicality of OA for university presses, which face several industry-wide challenges. Print books are far from dead, so there is a need for investment in new technologies while maintaining a challenging existing business. Incorporation of OA must be within a framework of sustainability. Recently, there has been much pressure on university presses, and several of them have closed.



*Mary Rose Muncie*

Publication of monographs is a large part of a university press's business, but it is not without challenges:

- Most university tenure committees require publication of a printed book to grant tenure and will not regard an e-book as fulfillment of this requirement.
- Books that are revisions of dissertations make up only a fraction of long-term scholarship.
- In theory, there is support for OA, but not under CC-BY licenses because of the investment required to publish a monograph.
- Rights issues often prevent creation of electronic editions of books. OA editions require even more complex permissions.

The financial reality is that small and medium university presses cannot survive on what they sell. Partnerships with the university and the library are critical to survival of university presses.

### Consortium Approach to OA Funding

**Judy Luther**, President, **Informed Strategies**, spoke on behalf of **Knowledge Unlatched (KU)**, a nonprofit organization offering libraries worldwide a collaborative approach to funding the cost of OA eBooks.

Research funders increasingly require OA publication, but the first copy cost of a book (about \$12,000) is four times that of an article (at \$3,000). The author-pays model does not work as well in the HSS disciplines as it does in STEM fields, mainly because HSS research is published more in books rather than journal articles, and the APCs for eBooks would be unaffordable for individuals. The **KU** model seeks to address these problems by enabling libraries to collectively share publishers' first copy costs (which **KU** calls a "Title Fee"), thereby providing the funds for OA publication. During a "pledging period," libraries commit to "unlatch" collections of books selected by librarians; as more libraries join the program, the effective cost per book decreases. At the end of the pledging period, either the books are unlatched for the initial package price or less (depending on the number of participating libraries) or the books are not unlatched if there is an insufficient number of interested libraries.

In the Pilot that served as a proof of concept, a single collection of 28 books from 13 publishers was "unlatched" by 297 participating libraries from around the world. The initial price of \$1,680 per collection, based on 200 libraries paying \$60 per book, dropped to \$1,195 for the 297 libraries who paid \$43 per book at the end of the four-month pledging period. One year later, there were over 1,000 downloads per book.

In a second round, the model was expanded to 8 collections with a total of 78 titles from 26 publishers. Libraries were offered 6 sub-

ject-based and 2 publisher-based collections, at an average price of \$50 per title based on 300 participating libraries. Full details of the program, including details of participating publishers and title lists, are available on the **KU** Website at <http://www.knowledgeunlatched.org/about-round-2/how-round-2-works/>.

Publishers like **KU** because it increases their visibility and the works of their authors, and it also reduces financial risk by covering first copy costs. Libraries like **KU** because books become more discoverable, accessible, and affordable, and the HSS content is preserved in an OA environment.

### Perspective from a Funding Organization

**Helen Cullyer**, Program Officer, Scholarly Communications, **The Andrew Mellon Foundation**, described **Mellon's** Scholarly Communications Program, which is currently engaged in a major initiative to help presses and other organizations to publish high-quality scholarly works in the humanities. OA is a means to these ends.

Journals are still important for the humanities, but a significant roadblock to OA is the need for sustainable financial models. A new infrastructure is needed for publication and dissemination of OA monographs. A **Mellon**-funded "Pay It Forward" study led by the **University of California**, is investigating the economic implications of journal APCs for large North American research institutions and seeking to determine how and why APCs are set at the levels they are, what levels are sustainable, and what is the attitude of faculty and administrators towards Gold OA.

### Moving Book Production to the Web

**Erich van Rijn**, Director of Publishing Operations, **University of California (UC) Press**, said that scholarship and content consumption are moving increasingly to the Web. Large commercial publishers are still using slow old time-intensive processes for publication, but people want information quickly now.

Web applications offer an increasingly sophisticated user experience. Why don't we write and produce books on the Web? Standard workflows in publishing companies still use desktop applications like Microsoft Word. We need to start thinking outside the retail ecosystem and think in terms of discoverability, which requires richer metadata. It is important to avoid typesetting; larger publishing houses have already sent it offshore and are saving \$2.50 to \$5.00 per page for a typical monograph. We can save costs by automating conversion processes and using a single-source publishing system that will produce XML/HTML-ready text and open source code. HTML5 web standards ensure interoperability, prevent code obsolescence, allow communities to form, and enhance products. They are an important part of the publishing industry's future.

### Economic Implications of Journal APCs

**Mackenzie Smith**, University Librarian at **UC Davis**, said that there is an increasing disconnect between European and North American approaches to OA: Europe tends to follow the Gold OA model and North America follows Green OA, which means a library may have to pay for the same articles three times: once for publishing in the subscription-based journal, and again for both Gold and Green OA versions.

The Pay It Forward project seeks to answer the question:

*Can a large-scale conversion to OA journal publishing, funded by APCs, be viable and financially sustainable for large North American research-intensive institutions?*

(Sustainable means costing no more than current subscription costs with a rate of growth supportable in the future.)

### View of OA from a Graduate Student

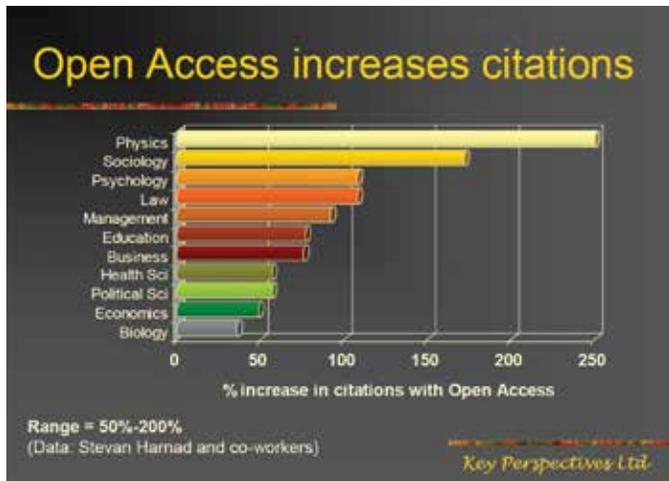
The workshop closed with a presentation by **Kenneth Yancey**, a Ph.D. candidate in bio-engineering at **Cornell University**, who gave the attendees a practical view from the graduate student community of how OA benefits them. He presented the following data showing that more open access will lead to more citations and a greater impact of the results.



*Kenneth Yancey*

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Many developing nations have little access to conventionally published journals, so they are information impoverished and professionally isolated.

Cultural barriers still exist among early researchers because many new OA journals do not yet have impact factors, and because of their concerns about predatory journals or “paper mills.” Research impact is critical to career progression; fortunately, time may solve this issue as OA journals mature. **Yancey’s** hope is that financially stable OA models may also help subscription journals extend their access. 🐼

**Donald T. Hawkins** is an information industry freelance writer based in Pennsylvania. In addition to blogging and writing about conferences for *Against the Grain*, he blogs the *Computers in Libraries and Internet Librarian* conferences for *Information Today, Inc. (ITI)* and maintains the *Conference Calendar on the ITI Website* (<http://www.infoday.com/calendar.asp>). He is the Editor of *Personal Archiving* (Information Today, 2013) and Co-Editor of *Public Knowledge: Access and Benefits* (Information Today, 2016). He holds a Ph.D. degree from the *University of California, Berkeley* and has worked in the online information industry for over 40 years.

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ence/. All of the plenary sessions, Neapolitan sessions, and the *Against the Grain* “Views from the Penthouse Suite” interviews are available open access for your viewing pleasure. Slides and handouts from many of the presentations are also linked to on the **Schedule Website** at <https://2015charlestonconference.sched.org/>. Reports and pictures of conference sessions from **Don Hawkins**, the **Charleston Conference** blogger, are available at <http://www.against-the-grain.com/category/chsconfblog/>. Images from **Greg Gersch**, a talented graphic recorder who drew the take-aways and major points from Thursday’s plenary sessions, are available at <http://www.charlestonlibraryconference.com/graphic-recorder-images/>.

The **2015 Conference Proceedings** will again be published by **Purdue University Press**. They will be available open access on the **Purdue Website** at <http://docs.lib.purdue.edu/charleston/> this summer, and print copies will be available from <http://www.thepress.purdue.edu/series/charleston> starting in October. Proceedings of the conference published since 2009 are made openly accessible through the support of **Purdue University Libraries**, the parent organization of **Purdue University Press**, a unit of the Libraries.

Please keep an eye out here for future updates, and as always, please contact me with any questions. I’m already looking forward to November! But, some warmer weather would be nice in the meantime. 🐼



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