



Knowledge Unlatched:

A Global Library Consortium Model for Funding Open Access Scholarly Books

Full Report on the Proof of Concept Pilot 2014

Lucy Montgomery

Curtin University, Australia

Abstract

This special issue of *Cultural Science Journal* is devoted to the report of a groundbreaking experiment in re-coordinating global markets for specialist scholarly books and enabling the knowledge commons: the Knowledge Unlatched proof-of-concept pilot. The pilot took place between January 2012 and September 2014. It involved libraries, publishers, authors, readers and research funders in the process of developing and testing a global library consortium model for supporting Open Access books. The experiment established that authors, librarians, publishers and research funding agencies can work together in powerful new ways to enable open access; that doing so is cost effective; and that a global library consortium model has the potential dramatically to widen access to the knowledge and ideas contained in book-length scholarly works.

Knowledge Unlatched:

A Global Library Consortium Model for Funding Open Access Scholarly Books

Full Report on the Proof of Concept Pilot 2014



This report provides information about the Knowledge Unlatched proof-of-concept Pilot, which took place between January 2012 and September 2014.

The Pilot involved libraries, publishers, authors, readers and research funders in the process of developing and testing a global library consortium model for supporting Open Access books.

297 libraries from 24 countries shared the cost of ‘unlatching’ 28 newly published Humanities and Social Sciences research titles, provided by 13 well-known scholarly publishers.

In the Collection’s first 12 weeks online 6,301 downloads from at least 121 countries were recorded.

After 24 weeks, these numbers had increased to 12,763 downloads from at least 138 countries.

The success of the Pilot demonstrates demand from stakeholders across the monograph ecosystem for creative new approaches to supporting Open Access for books.

Authors

The report was prepared by Lucy Montgomery, with assistance from Christina Emery and Frances Pinter.

Acknowledgements

KU would like to acknowledge generous funding for the Pilot from: Queensland University of Technology Library; The University of Melbourne Library; The University of Western Australia Library; The British Library Trust; The Open Society Foundation; The Department of Employment and Learning for Northern Ireland; The Scottish Funding Council; and The Higher Education Funding Council for England.

Additional in-kind support

The New York Public Library; Harvard University; The Big Innovation Centre in London; Duke University Library; and Kenyon College Library.

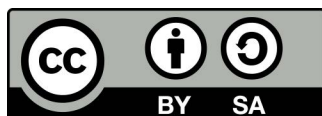


Table of Contents

Executive Summary	5
Executive Director's Foreword	7
Chapter 1: Context	9
1.1 Open Access and Specialist Scholarly Books	9
Chapter 2: Knowledge Unlatched	12
2.1 Origins	12
2.2 Mission	12
2.3 Funding	12
Chapter 3: Developing the Pilot Model	13
3.1 Goals of the Pilot Design Process	13
3.2 Workshops	13
3.3 Pre-Pilot Survey of Libraries	14
3.4 Publisher Consultations	18
3.5 Author Consultations	20
Chapter 4: Proof-of-Concept Pilot	22
4.1 Pilot Objectives	22
4.2 Participating Publishers	22
4.3 Title Selection	23
4.4 Titles and Type of Licence	24
4.5 Licences	24
4.6 Cost	25
4.7 Free Riding	26
4.8 Recognising Other Format Purchases	27
4.9 Additional Format Purchases	27
4.10 Additional Funding Support (HEFCE, SFC and DEL)	28

4.11 Promoting the Offer	29
North America	30
United Kingdom	30
Australia	30
Germany	30
Rest of the World	30
4.12 Pledging	32
Chapter 5: Pilot Outcomes	33
5.1 Library Buy-in	33
5.2 Content Delivery	36
5.3 Hosting	36
5.4 Preservation and Discoverability	36
5.5 Governance	37
5.6 Usage	38
Chapter 6: Conclusions	41
6.1 Next Steps	42
Core Team	43
Partners and Supporters of Knowledge Unlatched	45
Appendices	46
Appendix 1: Charter Members	47
Appendix 2: Funders and Contributors	50
Appendix 3: Advisory Board	51
Appendix 4: Board of Directors	52
Appendix 5: Library Steering Committee	53
Appendix 6: Publisher Questionnaire	54
Appendix 7: Sample Publisher Metadata Request Form	55
Appendix 8: Author Survey	57
Appendix 9: Pilot Prospectus	58
Annex A: Title List–Pilot Collection	63
Annex B: Description of the Pledging Process	64
References	66

Executive Summary

Specialist scholarly books, including monographs, allow researchers to present their work, pose questions and to test and extend areas of theory through long-form writing. Although these books have much to offer readers both within and beyond universities, the markets that have traditionally supported their publication are in trouble. Some estimates suggest that monograph sales have declined by as much as 90% over twenty years (Willinsky 2009). Access to the knowledge and ideas contained in book-length academic publications is being limited by high cover prices, analogue formats and the persistence of business models that depend on closed licensing. The practices and expectations of scholarly communities are changing (OAPEN-UK 2014; Finch et al. 2013) and new approaches to supporting scholarly communication are needed.

Knowledge Unlatched (KU) was established as a not-for-profit company in 2012 with the goal of enabling a more effective monograph ecosystem. It sought to create a sustainable route to Open Access (OA) for book-length publications by helping libraries from all over the world to share the costs of OA for professionally published scholarly books. During the 2013-14 KU proof-of-concept Pilot, publishers were invited to offer newly published books to library communities on a novel basis: agreeing to make them OA immediately upon publication in return for a Title Fee paid by a consortium of libraries. Libraries from all over the world were invited to join together to share the costs of the Title Fee, securing access not just for their own users, but also for readers everywhere. Because the Title Fee was a fixed amount, as more libraries agreed to take part in the programme, the lower the cost became for each library.

The team behind KU set out to enable positive change in a complex publishing ecosystem. They believed that developing coordinating infrastructure that built on the global nature of scholarly communication and the network effects of OA could help markets for specialist scholarly books to function more effectively. Creating conditions that encourage publishers to incorporate OA into their business models and providing libraries with an opportunity to maximise the positive impact of spending on books were key goals of the project. As such, the KU proof-of-concept Pilot deliberately involved monograph stakeholders from across the ecosystem: research funders, authors, publishers, digital intermediaries, libraries and readers all played a role.

In October 2013 libraries were invited to pledge a maximum of \$1680 towards securing OA for 28 new Humanities and Social Sciences research titles from 13 recognised scholarly publishers. If at least 200 libraries worldwide agreed to contribute towards the cost of the Collection publishers would be paid a Title Fee in return for making the books available on Creative Commons (CC) licence¹ without an embargo, once the books had been published. If less than 200 libraries joined, the books would still be published, but they would remain closed. The Pilot was an unqualified success: 297 libraries from 24 countries pledged their support for the Collection, exceeding the original 200-library target by almost 50%. This reduced the cost for every participating library from \$1680 to \$1195. Libraries paid less than \$43 to secure OA for each book, compared to an average cover price of \$95. Participating publishers (who set Title Fees at between \$10,000 and \$15,000, depending on their costs) received an average Title Fee payment of \$12,000 for each of the books, minus any deductions made in recognition of additional copies purchased by libraries. In the Collection's first 12 weeks online 6,301 downloads of books in the Pilot Collection were recorded by the OAPEN Digital Library, originating in at least 121 countries. After 24 weeks, the numbers had increased to 12,763 downloads from at least 138 countries.

The KU proof-of-concept Pilot established that authors, librarians, publishers and research funders can work together to support OA for book-length scholarly publications, and that doing so lowers the cost of securing access for libraries and helps publishers to manage the risks associated with publishing monographs. It also demonstrated demand among libraries for cost-effective opportunities to support OA for books, as well as publisher appetite for market-based alternatives to author-side OA publishing fees.

¹ For information about Creative Commons licences see: <http://creativecommons.org/>

Usage data from the Pilot Collection is already providing insight into the truly global impact of the project and the capacity of libraries to enable access for readers located far beyond their own institutions.

The limited scope of the Pilot necessarily left some important issues unresolved; 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 KU might help foster diversity in the monograph landscape are yet to be addressed; further study is needed in order to explore the issues around multiple format charging; and more work is needed to understand how the KU model might fit with the value propositions and workflows of 'pure OA' publishers, as well as library publishing initiatives. The KU Pilot is an important development in an evolving scholarly communication landscape. However, other models are also developing quickly, creating a variety of pathways to OA for books. Diversity in routes to OA for book-length works will be key to ensuring the widest possible access to OA publishing opportunities for authors, and the long-term health of the scholarly communication ecosystem.

Executive Director's Foreword

Awareness of the importance and potential viability of OA books has increased significantly during the course of the KU Pilot. When the idea behind KU was first floated in 2010 it was impossible to imagine that it might ever be more than a provocative concept. There was scepticism and, on occasion, outright hostility, towards the idea from all sides.

By the time the final book in the Pilot Collection was unatched in September 2014 the landscape was very different. Research funders, authors, publishers and libraries had not only begun to accept the idea that OA models for specialist scholarly books might be possible, there was a growing sense that a shift to open in this area was now simply a matter of time.



The citation accompanying the prestigious IFLA/Brill Award for Open Access, made to KU in 2014, is indicative of the growing optimism in the OA book space. The citation stated:

‘The jury of the IFLA/Brill award is deeply impressed with the simplicity and elegance of the original concept, with the daring scope of the project, bringing together libraries, publishers and other organizations from around the world, and with the highly successful outcome of the Pilot phase that tested the concept.’

LEFT: Frances Pinter received the IFLA/Brill Open Access Award 2014 from Brill's Executive Vice-President Finance and Operations, Perry Moree.

KU began its life at an important moment for OA: around the time of the publication of the Finch Report (July 2012) and the announcement of the first UK OA mandate for journal articles. The debate has moved quickly during the course of the Pilot. Now, just over two years later, OA mandates are already enshrined in places such as the UK, USA, Europe and Australia. The expansion of OA mandates for journals is prompting growing awareness of the importance of OA for specialist scholarly books, and the damage that would be inflicted on the disciplines that rely on them if they remained closed in a world where the journal literature is open.

In the UK it is anticipated that OA for books will be greatly encouraged in future Research Excellence Framework exercises, and that support for the shift to OA books will be provided by both the Higher Education Funding Council of England and Research Councils UK. All eyes are on HEFCE and what might follow on from the recommendations of the report it commissioned from Professor Geoffrey Crossick, to be published in early 2015. In the US the Mellon Foundation is supporting capacity building and infrastructure development for OA books: intended to foster a possible ‘model flip’. The Mellon Foundation's activism in the OA books space follows the AAU/ARL proposal for institutionally-funded first-book subventions that would pay for the publishing process, including OA, for early career faculty – covering about 1500 monographs per annum out of North America. Although still in the planning phase, these initiatives and others like them will have a profound impact on the whole monograph-publishing ecosystem. In this context, we at KU are continuing to work with libraries, researchers, publishers and other stakeholders to change things for the better. We aim to ensure that sustainable OA for books becomes a more widespread reality and fill gaps in knowledge about how this landscape operates for OA monographs.

I'd like to thank the many people who put their faith behind KU. Our Board of Directors (see Appendix 4) was

initially made up of people who are not of the book world – deliberately so, to help us steer clear of the various sectorial battlefields. It was recently joined by Tom Cochrane: an old friend of KU, who gave me the courage to get on with starting the project, rather than just talking about the model, way back in 2011. Tony Marx, President of the New York Public Library, gave KU an early blessing over brunch in New York one Sunday, and his Strategy Team contributed greatly to shaping the Pilot project. The many distinguished members of the Advisory Board were always available to give good counsel. They are all listed in Appendix 3 and I'd like to convey my heartfelt thanks. The new Library Steering Committee (see Appendix 5) is made up of superb people on whose knowledge and wisdom we expect to draw on in the future. A special word of thanks to Robert Darnton who held the first workshop on the model in January 2012, before KU even had a name, let alone registered as a legal entity.

Lots of people worked with the very small (and part-time) team at KU. Friends of KU such as Tom Sanville, Peter Brantley, Ivy Anderson, Judy Luther, Eelco Ferwerda, Ronald Snijder, Lorraine Estelle, David Percy, Ashton Quinn, David Worlock, and many others – librarians and publishers alike, gave their time and services to help get KU up and running. Even sceptics helped by pointing out flaws as we moved the model forward. The Big Innovation Centre gave KU a home in London. Many thanks to everyone.

Lucy Montgomery, Christina Emery and Leon Loberman made up a terrific home team, always willing to take that extra step. Thank you.



While the KU model has sustainability built into it, the Pilot needed funding. Thanks are due to the funders and the ‘in-kind’ supporters listed in Appendix 2 who put their reputations as well as their money on the line.

Finally, it was a tragic loss, not only to KU, but to the whole of the UK charitable law sector when Stephen Lloyd, who was the first KU founding non-executive director, died in a boating accident while on holiday in Wales this summer. Stephen was a major figure in the world of UK charity law. As a lawyer at Bates Wells Braithwaite he recognized the need for a middle ground between charities and for-profits that would foster the growth of social entrepreneurship. To this end he is credited with the creation of the Community Interest Company (or the ‘CIC’), a dedicated legal form for social enterprises, of which there are now more than 10,000 registered in less than a decade. His constant support and sharp insightfulness is greatly missed.

LEFT: Stephen Lloyd

Chapter 1: Context

1.1 Open Access and Specialist Scholarly Books

Networked digital technologies are transforming the processes and institutions of knowledge creation and dissemination globally: remaking relationships between agents (which can include individuals, organisations or enterprises); enabling new forms of collaboration; and demanding new conceptual tools, infrastructure and business models to support activities that are valued by communities. The Knowledge Unlatched proof-of-concept Pilot sits within a broader context of efforts by scholarly and publishing communities to create such tools and infrastructure, and to enable the new business models demanded by disruptive change. It builds on a powerful innovation in copyright: Creative Commons licences (Lessig 2004), and engages with important developments elsewhere in the scholarly and communications landscapes. These include Cultural Science (Hartley & Potts 2014), the emergence of new possibilities for mapping and understanding use and impact (Priem et al. 2010), business model innovation (Hargreaves 2011) and the growth of community norms capable of supporting ‘peaceful revolutions’ in copyright (Suzor 2015).

Monographs are book-length scholarly works on a single subject or theme, usually by a single author. Humanities and Social Sciences (HSS) research communities all over the world value specialist scholarly books as a form of writing that allows complex ideas to be developed and shared at length (OAPEN-UK 2014; Adema & Rutten 2010). In contrast to textbooks, which provide a broad overview of a field and are intended for a student audience, monographs present primary research and original scholarship, and their intended audience is generally other researchers. Having a book-length work published by a recognised scholarly press is understood as an important intellectual achievement (Adema & Ferwerda 2014). As such, the publication of a monograph serves as evidence of professional competence and is a requirement for tenure and promotion in many disciplines (Crow 2012) (Williams et al. 2009).

In spite of their importance as a textual form through which new knowledge in the Humanities and Social Sciences is developed, certified and communicated among research communities across the globe, very few readers beyond the walls of the university are able to access monographs. At a moment when new technologies should be lowering barriers to access, the vast majority of these books remain both closed and expensive. Books have been slower than journals to make a shift to digital formats (Adema 2010) and monographs are often available only in hardback. They are generally published in short print runs and their biggest market is university libraries in the United States and Western Europe, who pay between \$50 and \$250 per copy (Gasson 2004; Steele 2008). There is widespread consensus that sales of monographs are in decline; twenty years ago it was normal for monographs to sell several thousand copies and today, most will sell just a few hundred (Wasserman 1998; Bunz 2014; Williams et al. 2009)

OA has an important role to play in improving the discoverability, accessibility and value of monographs to readers both within and beyond universities. A growing body of evidence suggests that making it easier for readers to find and use books, regardless of whether they can afford to purchase their own copy or have access to a well-funded library, increases the likelihood that these books will impact on the world and serve as a resource for scholars, practitioners and policy-makers (OAPEN Consortium 2011; Snijder 2013a; Snijder 2013b). As the KU Pilot demonstrated, thoughtful approaches to supporting the publication of OA scholarly books also have the potential to encourage positive change for publishers who find themselves trapped in a negative cycle of increasing costs and declining sales.²

Funding agencies are becoming more conscious of the potential for OA to maximise the impact of investments in research by ensuring that new knowledge is made available to all who might learn from, apply and build on it (Finch et al. 2013). The Registry of Open Access Mandatory Archiving Policies lists 90 funder mandates and a further 228 institutional mandates (ROARMAP 2014).

² Helpful discussions of economic, social and technological changes impacting on monograph publishers can be found in: Greco, A. N., & Wharton, R. M. (2008). Should university presses adopt an open access [electronic publishing] business model for all of their scholarly books? In L. Chan & S. Mornati (Eds.), *ELPUB2008. Open Scholarship: Authority, Community, and Sustainability in the Age of Web 2.0 - Proceedings of the 12th International Conference on Electronic Publishing held in Toronto, Canada 25-27 June 2008* (pp. 149–164).

These mandates require researchers to make works available by self-archiving final, peer-reviewed drafts in a freely accessible institutional or disciplinary repository (“Green OA”) or by publishing them in an OA journal (“Gold OA”) or both. Funding agencies that have adopted OA mandates for grant recipients include the US’s National Institutes of Health, Research Councils UK, the National Fund for Scientific Research, the Wellcome Trust, and the European Research Council. To date, most OA mandates have focussed on peer-reviewed journal articles. Few research institutions or funding agencies currently require researchers to make book-length works available on an OA basis.³

Policy makers and research communities remain anxious about the impact that requiring OA for monographs might have on an already troubled area of scholarly publishing (Finch et al. 2013; Mandler 2014). There is widespread consensus that the revenue models developed by journal publishers to support ‘Gold OA’ are unlikely to work for books (Gasson 2004; Adema 2010). There is also concern that business models capable of supporting a large-scale shift to OA for books have not yet been identified, and recognition of the value of continued experimentation in this area (Finch et al. 2013). Researchers are justifiably worried about how OA requirements for book-length works might impact on their capacity to find, and afford, publication opportunities. Sustainable routes to OA for large numbers of scholarly books are needed.

A key aspect of the challenge of ensuring that monographs are not left behind in the shift to OA relates to the fixed costs associated with publishing book length works. It costs more to publish a 70-100,000 word scholarly book than it does to publish a 5 -10,000-word journal article (Willinsky 2009). In 2013 Palgrave Open announced a £11,000 (US\$17,200) fee for the publication of OA monographs on a CC-BY licence, while Manchester University Press is charging £5,900 - £7,800 (US\$9,230 - \$12,200) for the publication of books on a CC-BY-NC licence (Anon 2014a). OA charges for books are simply too high to be affordable for individual authors. Furthermore, research budgets in the Humanities and Social Sciences are much smaller than in STEM disciplines, and many authors aren’t attached to a research budget at all.

In spite of these challenges, a rich landscape of OA monograph experiments has emerged over the last few years. Libraries and publishers are collaborating to explore models based on direct support for the costs of OA book publishing (Adema & Schmidt 2010). Publishers are providing researchers with OA monograph services (for a fee) and testing the extent to which free versions might expand markets for print and other proprietary formats (Adema 2010; Snijder et al. 2014). Shared digital infrastructure is supporting the shift to OA: providing hosting, preservation and discovery services for OA books. The [OAPEN Digital Library](#) and the [Directory of Open Access Books](#) are two important examples.

Monograph models currently being explored include:

- OA edition + sales from print and/or e-books: National Academy Press (NAP); Bloomsbury Academic. These programmes require the publisher to bear all of the risks associated with OA. Early initiatives such as NAP and Bloomsbury Academic demonstrated that free access increased discovery and readers were willing to pay for a preferred format of some types of books.
- Institutional support for press: World Bank; Amherst College. Internal funding for books has been found through application of funds from various departments.
- Library-Press collaboration: Mpublishing/Michigan University; Purdue University. A mix of open and closed publications comes out of these multifaceted publishing operations.
- Funding body side publication fee: NOW Netherlands; FWF Austria; Wellcome, UK; Max Planck Society, Germany; HEFCE, UK. A number of funding bodies have made funds available for books.
- Publisher OA service offerings: SpringerOpen Books; Palgrave Open; Manchester University Press OA; Brill; De Gruyter. Some publishers provide OA options to authors that are able to bring funding from their research projects or other sources.

³ The Australian Research Council and Australian Health and Medical Research Council Open Access mandates are a noteworthy exception to this general trend.

- Global Library Consortium Model: Knowledge Unlatched.
- Other initiatives: The Library Publishing Coalition (USA), which is exploring shared library publishing services for journals, will be turning its attention to books shortly. Open Library of the Humanities is developing a platform for OA journals and books. Open Book Publishers have published 40 books, covering their costs with funding from multiple sources, as does Ubiquity Press. UCL is about to launch its own OA press, as are a number of universities around the world.

The next section of this report introduces the KU model: explaining how the concept of a global library consortium approach to supporting OA for book-length works was developed and how the proof-of-concept Pilot was designed and funded.

Chapter 2: Knowledge Unlatched

2.1 Origins

KU was formally established as a London-based Community Interest Company, equivalent to a US 501c3, in August 2012 by publisher and social entrepreneur Frances Pinter. KU is the formalisation of the 'Global Library Consortium' model developed by Pinter over several years in response to her concern over the protracted crisis in monograph publishing, and a desire to help publishers to engage with opportunities presented by digital technologies and OA. Pinter first aired her vision for a Global Library Consortium approach to supporting OA monograph publishing at the Tools of Change Conference in New York in 2010 (Polanka 2010). In September 2011 Pinter embarked on a speaking tour of Australia. Her tour included a keynote presentation on academic publishing and the future of the monograph at Queensland University of Technology (Adamson 2011). While at QUT, Pinter met with Deputy Vice Chancellor for Technology, Library and Information Services, Professor Tom Cochrane. This trip played a key role in securing support for KU from three founding Australian libraries: Queensland University of Technology, The University of Melbourne and The University of Western Australia.

2.2 Mission

KU's mission is to create a sustainable route to OA for book-length scholarly publications. It is also committed to 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 are already spending on specialist scholarly books and to help secure the future of the monograph.

2.3 Funding

The KU start-up phase and proof-of-concept Pilot were supported through both direct and in-kind funding.

Between 2012 and 2014 KU received total direct funding of £321k. Direct funding for the Pilot was provided by: the Open Society Foundation; The British Library Trust; Queensland University of Technology; The University of Melbourne; and The University of Western Australia. Queensland University of Technology provided additional support by allowing Lucy Montgomery to work full time on the project, based in London.

Additional in-kind support for the Pilot was provided by: The New York Public Library; Harvard University Library; The Big Innovation Centre in London; Duke University Library, Kenyon College Library and Frances Pinter.

A complete list of the direct funders and the in-kind contributions is carried in Appendix 2.

Chapter 3: Developing the Pilot Model

3.1 Goals of the Pilot Design Process

Significant work was required to turn the broadly framed concept behind KU into a defined pilot offering that could be presented to publishers, authors and research funders, and marketed to libraries all over the world.

Goals of the KU Pilot design process included:

- Developing a sustainable approach to establishing Title Fees⁴ for academic monographs. This needed to be acceptable to publishers, libraries and funding bodies.
- Developing a sustainable strategy for managing revenue flows. This needed to be capable of allowing the consortium to operate efficiently and without subsidy in the long term.
- Establishing the basis on which publishers would be willing to participate in the KU initiative and the basis on which their books would be provided.
- Establishing the basis on which libraries would be willing to participate in the KU consortium, and the workflows needed to efficiently support their needs.
- Understanding impact of the KU model on other stakeholder groups, such as university administrators, faculty and students.

Between mid-2012 and early 2014 the KU team worked to refine and test the Pilot model and build interest among stakeholder communities. Between them, Frances Pinter and Lucy Montgomery presented the project at more than 40 conferences, workshops and meetings in the UK, Europe, Australia and the United States, soliciting feedback and refining the Pilot proposition as it was provided.

3.2 Workshops

In addition to presenting on the KU project at events hosted by others, KU was also the focus of several important meetings. Workshops on KU played an especially important role in helping the team to gain insight into stakeholder perspectives on the project. The first was an event hosted by Robert Darnton at the Radcliffe Institute for Advanced Study at Harvard University in January 2012 (Anon 2012). The workshop brought together publishers, librarians and funders around the theme of a sustainable funding model for OA books. Ivy League and other research-led university libraries, some of the major university presses, funders and OA thought-leaders were represented at the event. It provided an opportunity for Frances Pinter to present the concept of a global library consortium approach to sharing the costs of publishing OA monographs to a knowledgeable group of monograph stakeholders. Although there was scepticism from the group about whether such a model could work, there was also a consensus that a Pilot should be undertaken.

The second workshop was hosted by the Berkman Center for Internet and Society at Harvard University in June 2013. It involved senior representatives from libraries, scholarly presses, university administrators, research funders and members of the academy. This workshop allowed the KU team to share a preliminary model of the KU Pilot, gather specific feedback on pilot design and workflows, and to discuss the results of a survey of North American libraries on the KU model (Montgomery 2013). Questions that a KU research programme might usefully explore were also considered. A report on the workshop was made available via the KU website after the event.⁵

⁴ A Title Fee is similar to an Article Processing Charge (APC). It is the fee paid to publishers in exchange for making a book available on an OA licence.

⁵ See: <http://www.knowledgeunlatched.org/2013/09/open-access-and-scholarly-books-workshop-report/>

In June 2013 the Max Planck Society hosted a one-day workshop on KU at the Bayerische Staatsbibliothek, Germany. The event involved leading university librarians from around Germany and was timed to coincide with a meeting of LIBER, Europe's largest network of research libraries.

Throughout the developmental phase of the Pilot, the KU team drew on the expertise of the fifteen highly experienced library and publishing professionals who made up the KU Advisory Board. A full list of KU Advisory Board Members is available in Appendix 3.

Informed Strategies, an industry consultancy based in Ardmore, Pennsylvania, played an active role in shaping the development of the model: conducting interviews with vendors and libraries, providing feedback on how the KU workflow might need to be shaped in order to enable library buy-in and advising on the pre-Pilot survey (discussed in more detail below).

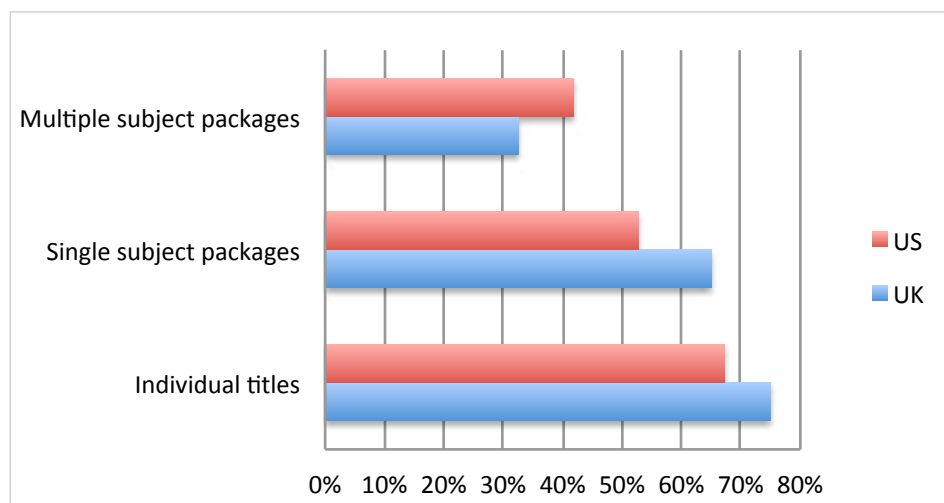
3.3 Pre-Pilot Survey of Libraries

KU worked closely with the New York Public Library and Informed Strategies in order to survey North American research and liberal arts libraries, as well as those with an interest in OA and publishing. During the second quarter of 2013 a survey on the KU model was circulated to a list of 239 libraries identified as likely to be interested in OA initiatives. These included 116 libraries that already participate in OA initiatives and/or have an interest in library-based publishing. Of the 239 libraries invited to participate in the survey, 62 valid responses were received from 67 institutions. This represented a response rate of more than 25%. 92% of respondents were members of the American Research Library Association.

The survey was also made available to UK libraries via the Jisc Collections website and promoted through Listservs and via Twitter. Research Libraries UK (RLUK) emailed its 34 members, encouraging them to participate in the survey. 37 valid responses to the UK library survey were received.

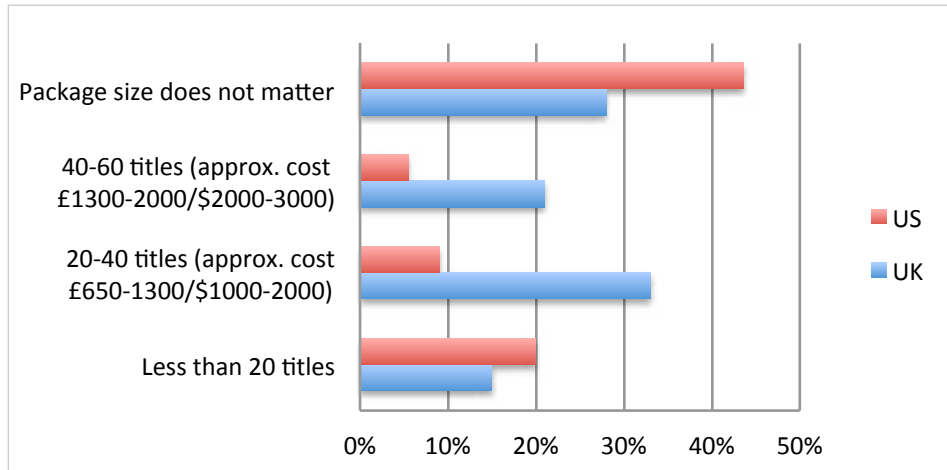
The survey helped the project team to identify the kinds of books and the size of the collection that libraries were most likely to support during the Pilot. A preference for single titles and single subject packages was evident in responses from UK libraries, compared to institutions in North America.

What would you like KU to offer libraries?

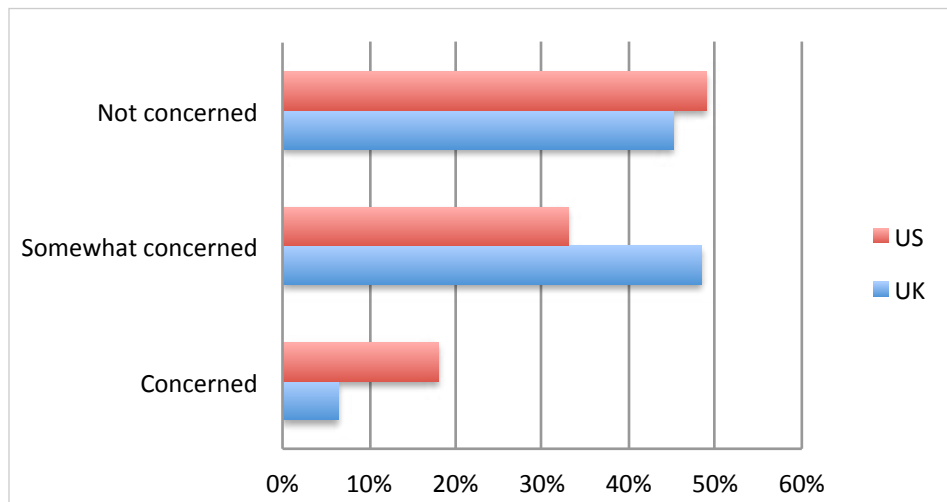


The optimal size of the Pilot Collection (in value terms) was established with another question:

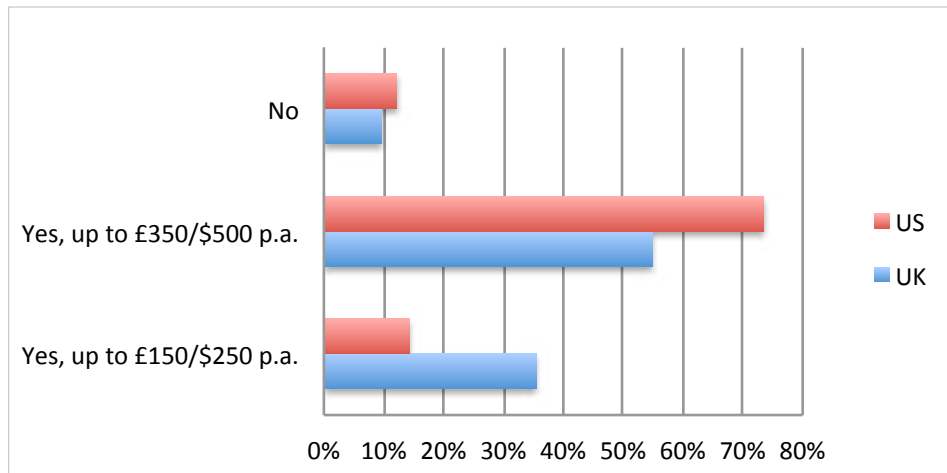
If KU is to offer a package, how many titles should there be?



How concerned are you about 'free riders'?



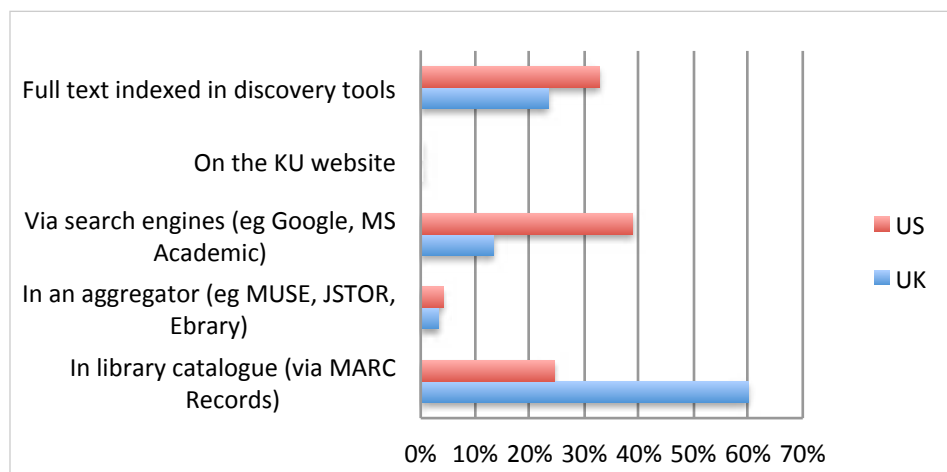
Would you consider paying a membership fee to help with KU Costs?



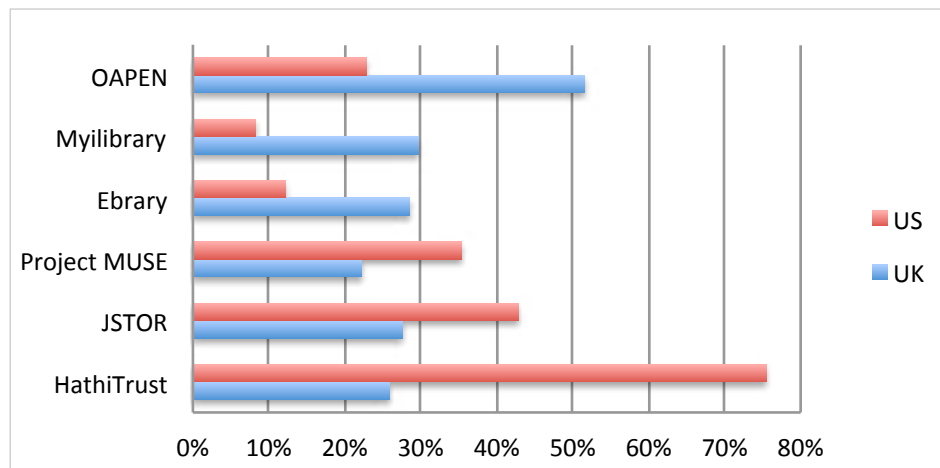
Publishing on an OA licence is only one step along the way to facilitating access. Ensuring that content is discoverable and that it can be delivered in ways that suit the needs of libraries is key to maximising its accessibility and impact (Snijder 2014; Adema & Rutten 2010).

Because the technical workflows and the technological infrastructure of libraries vary, questions around platforms and discovery were also raised. These questions provided a point of reference for assessment of the KU Pilot's performance later on.

Where is your first choice for the titles to be discoverable for users?



It is very important for the titles to be on the following platforms (top 6 responses)



Comments from Librarians

Libraries that took part in the pre-Pilot survey provided the following comments:

“The quality of the package, not the size, is what matters for us.”

“It seems unfair for libraries to have to pay for OA and lose control of book selection.”

“Which publishers are involved will be a significant factor for us. If they publish in subject areas that are of little interest to us then there'd be few benefits for us being involved.”

“KU should consider increasing the number of major publishers involved.”

“The ability to choose individual titles rather than getting tied to expensive packages is probably the most important element for KU to consider.”

“I think the academic community is served best by diversity.”

“There may be some mileage in marketing this model to academics as potential authors to encourage them to publish using a publisher who has bought into this model.”

“I would be very opposed to an embargo period.”

“A role in the governance of selection and contributor benefits is critical.”

“We support Open Access in principle. I would see our contribution in terms of supporting scholarly publishing of small run titles, which might otherwise disappear if we don't step in. I support making these titles available immediately to promote their discovery.”

“We need assurance of a mechanism that prevents double-dipping by publishers from whom we purchase full front lists.”

“If authors of the monographs are teaching or researching in institutions which participate in the Digital Commons Network, it would be very helpful that the books (when fully Open Access, whenever that happens) become included in that network, which is quickly becoming useful to my faculty members.”

“KU should consider local load rights: Scholars Portal maintains an e-book platform and has been certified as a TDR. Access from this platform would be valuable.”

“KU needs a transparent business and sustainability plan.”

“KU needs publicity, so that readers globally can find these titles and institutions can participate as well as long-term archiving (e.g., through Portico or DPN). Regular assessment is also needed to ensure that the program is functioning in an optimal manner.”

“Supporting innovative publications (not innovative in topic, but in the fact that the publisher and author seek to create a work that builds on the capabilities of publishing on the web as opposed to print - video, audio, interactive data, superior and/or multiple resolution for graphics, etc.) are also things we would want to support.”

“Participating libraries need strong voice in governance, content selection and business models. KU should consider expanding to non-ARL college and research libraries such as Oberlin Group and ULG.”

“Make titles available via Amazon and Google Books, if possible, since that is where readers look.”

“KU should address long term access and preservation issues in its business model from the start (requires resources). In terms of redundancy, this is why under question 13 we think HathiTrust (university based) should be among the selected platforms, not only commercial discovery tools.

“Accessibility issues for users with disabilities should be addressed when developing the platform/selecting formats.”

“There should always be a reasonable timeframe between the announcement of new titles/packages and the deadline for an institution to commit; in large institutions like ours (+30 000 FTE) where decisions and operations are decentralised, this is crucial!”

“Usage statistics should be available by title / by institution.”

“The larger the package, the more chances there are of having items that one might not wish to spend money on, so instead of resulting in speedier collection development, it might make things more difficult to have to buy a large number of titles.”

3.4 Publisher Consultations

Publishers were also consulted extensively over a two-year period. This included meetings at the Frankfurt and London Book Fairs. Publishers were key members at the early workshop at Radcliffe College in 2012 (Anon 2012) and of the group that met to discuss the KU model at the Berkman Center for Internet and Society at Harvard University in 2013 (Montgomery 2013).

The project team made numerous visits to publishers’ offices and presented at the 2013 and 2014 American Association of University Presses annual meetings in Boston, Massachusetts.

Publishers willing to be involved in the proof-of-concept Pilot were asked to sign an Expression of Interest Form, and to allow their names to be publicised on the KU website. Establishing a publically available list of publishers willing to take part in the project played an important role in building the confidence of both library and publishing communities in the initiative.

Each publisher that signed up for the Pilot was also asked to complete a questionnaire. Publisher responses to this questionnaire provided important insight into the needs of the group and were used to help shape the Pilot design. The questionnaire sent to publishers is available in Appendix 6.

The questionnaire revealed that:

- All 13 of the publishers who took part in the Pilot were willing to make the OA version of Pilot Collection books available in PDF format.
- Some publishers indicated that they would also be happy to make books available in HTML.
- One publisher was also willing to make books available in Epub3 format.
- All of the publishers produce ONIX feeds as standard. A few also indicated that they could produce MARC records.
- Publishers consistently estimated that overhead expenses accounted for approximately 1/3 of the costs of producing the first digital copy of a published book.
- Publishers were anxious to avoid any perceived or actual double payment by libraries (referred to by some commentators as 'double dipping').
- Publishers were happy to provide libraries with a discount on other format purchases in order to ensure that the Title Fee payment was not perceived as additional to sales of closed formats to the libraries that contributed towards 'unlatching'.
- Everyone wanted to keep KU related workflows as simple as possible. However, there was also awareness that implementing such an ambitious model would not be easy and compromise would be required.

The publishers that chose to be involved in the Pilot were overwhelmingly positive about the model. The following are a selection of comments made by participating publishers that completed the questionnaire:

"Knowledge Unlatched offers the first plausible model for opening access to scholarly monographs. It is designed as a win-win for mission-driven publishers and academic libraries, and arises from a substantial consultation process with both parties."

—*Charles Watkinson, then of Purdue University Press*

"I'm eager to see Knowledge Unlatched and this new model of facilitating Open Access succeed. The role of the scholarly monograph in many disciplines is critically important, and threats to its viability are all too familiar. Our best bet to ensure a vital future for these works is a move to a model of collective subsidy."

—*John Wilkin, University of Michigan Press*

"As we deal with a dramatically changing environment for library sales – an environment where libraries struggle to afford all the content they want and publishers struggle to find the financial resources to vet, shape, and improve content – it is important to experiment with new models. This is one of the most creative and promising models we have seen."

—*Marlie Wassermann, Rutgers University Press*

"Knowledge Unlatched represents an exciting attempt to provide lower cost digital monographs to libraries while ensuring publisher costs are met. If successful, it will play a significant role in providing scholars continued outlets for important scholarly work that may nevertheless be relevant to small markets. It also has the potential to broaden dissemination, ensuring that whatever the market size, a scholarly book reaches its greatest potential audience."

—*Alex Holzman, then of Temple University Press*

3.5 Author Consultations

KU did not deal with authors directly during the Pilot. Rather, it engaged with publishers, as the representatives of authors within the formal scholarly communication landscape. However, the KU team were anxious to make sure that the model met the needs of authors: ensuring that they retained access to high quality publishing and knowledge certification services, while at the same time maximising their ability to connect with audiences that valued their work.

Publishers offered a range of books to KU for possible inclusion within the Pilot Collection. Once the books that were to be included in the Pilot Collection had been identified, publishers approached authors for permission, and to discuss the kind of Creative Commons licence that should be applied to each work.

When authors had agreed to the inclusion of their books within the KU Pilot Collection, publishers were asked to forward an author perspectives survey to them, so that the project team could gain insight into author views on the model. A copy of the author perspectives survey is available in Appendix 8. Responses to the author survey can be read in the [‘Featured Authors’](#) section on the KU website.

Overall, responses to the author perspectives survey suggested that authors perceived the KU initiative as combining the benefits of being published by recognised scholarly press with the opportunity to widen the reach of their work and increase its impact through OA.

The following comments are representative:

“Open Access guarantees quick availability to a wide readership. I did not write my book for profit, so I am happy to make it available as an e-book at no cost. On the other hand, I wanted to have it published as a traditional book by a university press with a peer refereeing process. The Knowledge Unlatched Pilot enables me to satisfy both of these goals.”

—*John Lango, The Ethics of Armed Conflict: A Cosmopolitan Just War Theory, Edinburgh University Press*

“In our digital age, where consumers look for everything first on the internet, I am convinced that making my book [available] on an Open Access licence will increase its reach and impact. Moreover, as a U.S.-based historian who works on Brazil, I have always been troubled by the challenges that Brazilian readers face—particularly those in poorer regions, such as the Amazon—in gaining access to my work. Knowledge Unlatched helps, in part, to resolve this problem by providing Open Access to readers proficient in English, including those in Brazil.”

—*Seth Garfield, In Search of the Amazon: Brazil, the United States, and the Nature of a Region, Duke University Press*

“My book aims to break down stereotypes about Muslims. That is a pretty big goal for one little book! But in light of discrimination and even violence against Muslims in Europe and the US, it is a timely goal. My hope is that with Open Access, this book will reach more people, and help push conversations about (and hopefully, increasingly, with) Muslims beyond common assumptions and the received ‘wisdom’ of pundits.”

—*Jennifer Fredette, Constructing Muslims in France, Temple University Press*

“I chose my publisher ... because of their expertise in publishing history of science materials as well as editions of historical texts, in scholarly solid and physically attractive volumes; but due to their careful, and hence costly, production these do not always reach readers who would like to consult, but not to buy a copy. Free to me as author and to potential audiences, Knowledge Unlatched hence provides the perfect forum for me to communicate my research to a wider audience.”

—*Anke Timmermann, Verse and Transmutation, Brill*

“My research and teaching have benefited from using material available through Open Access, and by making my own work available with a CC licence, I hope to make a similar contribution to the work of others in the bigger scholarly community.”

—*Niki Akhavan, Electronic Iran, Rutgers University Press*

“As a scholar of Cuba, and Latin America more broadly, it’s important for me to share my research with the people whose past I study. Knowledge Unlatched makes that possible in ways that costly paper editions do not allow. Issues of price and distribution make much North Atlantic scholarship on Latin America out of reach in the region, and Open Access facilitates the kind of transnational exchange of ideas that need to accompany the proliferation of other transnational phenomena in our present moment.”

—*David Sartorius, Ever Faithful, Duke University Press.*

Chapter 4: Proof-of-Concept Pilot

4.1 Pilot Objectives

The Pilot provided the opportunity to test three key assumptions at the heart of the KU proposition:

- That publishers would be willing to make high quality, front-list titles available on an OA licence in return for the payment of a single, fixed Title Fee by a global community of libraries;
- That libraries from around the world would work together to share this fee;
- That doing so could present a financially viable alternative to traditional approaches to acquiring content for both libraries and publishers.

4.2 Participating Publishers

The Pilot Collection included titles from the following 13 publishers:

- Amsterdam University Press
- Bloomsbury Academic
- Brill
- Cambridge University Press
- De Gruyter
- Duke University Press
- Edinburgh University Press
- Liverpool University Press
- Manchester University Press
- Purdue University Press
- Rutgers University Press
- Temple University Press
- University of Michigan Press

The publishers that took part in the Pilot provided a cross section of the different kinds of scholarly presses involved in the monograph space: university presses; commercial presses; large and small publishers from North America, the United Kingdom and Continental Europe were all involved in the Pilot. All of the publishers involved operated according to traditional, closed publishing models.

Open Book Publishers, a 'pure Open Access' publisher, also wanted to participate in the proof-of-concept Pilot Collection. Open Book Publishers is a Social Enterprise and Community Interest Company (CIC). It publishes its books in hardback, paperback, PDF and e-book editions. It also makes an OA version of all of its titles available immediately upon publication, as a standard.⁶

⁶ <http://www.openbookpublishers.com/section/14/1/about>

After earnest consideration it was decided that because the profile of Open Book Publishers differed significantly from that of the other publishers taking part in the Pilot, it was not appropriate to include their books within the limited scope of a proof-of-concept exercise. The KU team were concerned that doing so would make it harder to test the Pilot's key propositions: in particular, that libraries from around the world would be willing to share the cost of securing OA for scholarly books. The group designing the Pilot model were also concerned that including Open Book Publishers in the Pilot might ultimately make it more difficult to identify and address challenges specific to pure OA publishers. Addressing the needs of pure OA publishers remains a priority for the next phases of the project.

4.3 Title Selection

During the second and third quarters of 2013, publishers were sent guidelines about the types of books that should be submitted for possible inclusion in the Pilot. These guidelines emphasised the need for rigorous peer review. They also encouraged publishers to submit titles that were likely to be relevant to an international audience.

Publishers then submitted a list of books that they would be willing to offer to libraries as part of a KU Pilot Collection.

The 13 participating publishers offered more than 100 front-list titles for possible inclusion in the proof-of-concept Pilot Collection. KU worked with collections librarians at the New York Public Library in order 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 were monographs and five were edited collections. Publishers and librarians anticipated that the core audience for the Collection was likely to be undergraduate and graduate level research students, as well as independent researchers.

Once the Pilot Collection had been selected, publishers were advised of the books that had been accepted into the programme. Once acceptance of a title into the KU programme had been confirmed, publishers discussed the KU initiative with authors and, in consultation with them, selected the Creative Commons licence that should be applied to each work.



ABOVE: The Knowledge Unlatched team refining the pilot offering.

4.4 Titles and Type of Licence

PUBLISHER	AUTHOR	TITLE	CC LICENCE
Amsterdam University Press	Erik Jan Zürcher (Ed.)	Fighting for a Living	CC BY-NC-ND
Bloomsbury Academic	James Tully	On Global Citizenship	CC BY-NC-ND
Bloomsbury Academic	Matthew D. Johnson Keith B. Wagner Kiki T. Yu Luke Vulpiani (Eds.)	China's iGeneration	CC BY-NC-ND
Bloomsbury Academic	Todd Landman	Human Rights and Democracy	CC BY-NC-ND
Brill	Cynthia Skenazi	Aging Gracefully in the Renaissance	CC BY-NC-ND
Brill	Anke Timmermann	Verse and Transmutation	CC BY-NC-ND
Cambridge University Press	Jacqueline Best	Governing Failure	CC BY-NC-ND
Cambridge University Press	Roger Schoenman	Networks and Institutions in Europe's Emerging Markets	CC BY-NC-ND
Cambridge University Press	Lawrence Warner	The Myth of Piers Plowman	CC BY-ND
De Gruyter	Alan H. Sommerstein Isabelle Christiane Torrance (Eds.)	Oaths and Swearing in Ancient Greece	CC BY-NC-ND
De Gruyter	Zohar Segev	The World Jewish Congress During the Holocaust	CC BY-NC-ND
De Gruyter	Alon Segev	Thinking and Killing	CC BY-NC-ND
Duke University Press	Sarah Franklin	Biological Relatives	CC BY-NC-ND
Duke University Press	David Sartorius	Ever Faithful	CC BY-NC-ND
Duke University Press	Seth Garfield	In Search of the Amazon	CC BY-NC-ND
Duke University Press	David A. McDonald	My Voice Is My Weapon	CC BY-NC-ND
Edinburgh University Press	Jarlath Killeen	The Emergence of Irish Gothic Fiction	CC BY-NC
Edinburgh University Press	John W. Lango	The Ethics of Armed Conflict	CC BY-NC-ND
Liverpool University Press	Tim Youngs	Beastly Journeys	CC BY-NC-ND
Liverpool University Press	Anna Bernard	Rhetorics of Belonging	CC BY-NC-ND
Manchester University Press	Chloe Porter	Making and Unmaking in Early Modern English Drama	CC BY-NC-ND
Purdue University Press	David G. Tompkins	Composing the Party Line	CC BY-NC
Purdue University Press	Eugene D. Coyle Richard A. Simmons	Understanding the Global Energy Crisis	CC BY-NC
Rutgers University Press	Niki Akhavan	Electronic Iran	CC BY-NC-ND
Temple University Press	Jennifer Fredette	Constructing Muslims in France	CC BY-NC-ND
University of Michigan Press	Roger Douglas	Law, Liberty, and the Pursuit of Terrorism	CC BY-NC-ND
University of Michigan Press	Erik J. Engstrom	Partisan Gerrymandering	CC BY-NC-ND
University of Michigan Press	Nicholas Ridout	Passionate Amateurs	CC BY-NC-ND

4.5 Licences

Copyright for scholarly monographs generally resides with the author, who assigns specific rights to a publisher. As such, permission from authors to make books available under a Creative Commons licence was required. Publishers worked with their authors to explain the Creative Commons licensing options and to select the specific Creative Commons licence that should be applied to each work.⁷

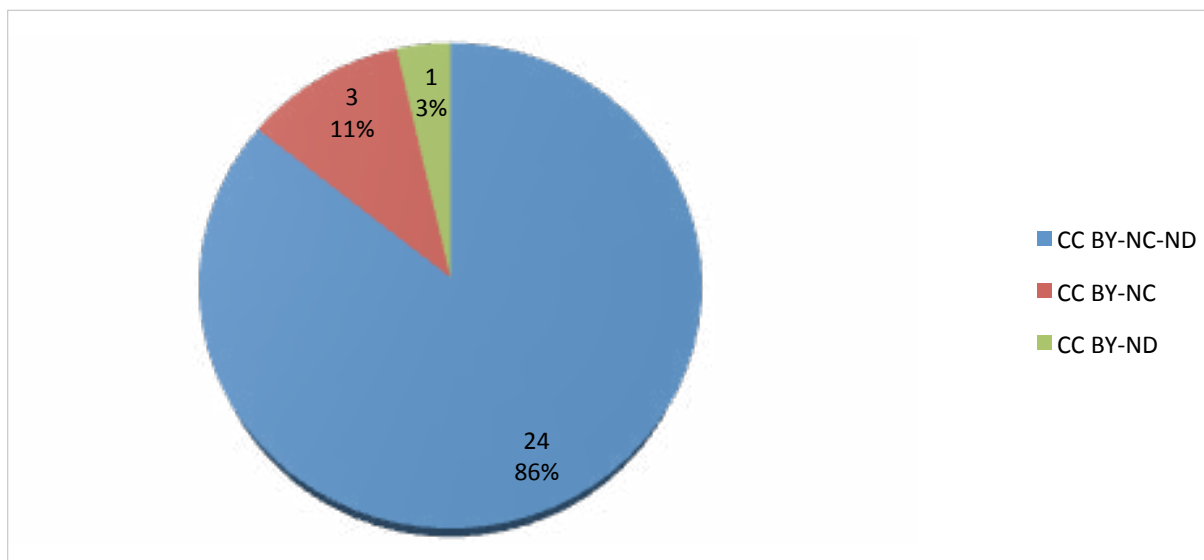
'Non-commercial' Creative Commons licences were chosen by authors and publishers for twenty-five out of the twenty-

⁷ An explanation of Creative Commons Licence options is available at: <https://creativecommons.org/choose/>

eight books in the KU Pilot Collection. Non-commercial Creative Commons licenses reserve commercial rights in a copyright work. This means that a separate licence must be negotiated with the copyright owner for all commercially related uses of the work (Lessig 2004). By maintaining an exclusive right to the commercial exploitation of a book, publishers remained confident about their ability 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 Title Fees for the books in the Pilot Collection lower than might have been the case if they had been offered on licences that included rights to commercial re-use.

Many of the authors who agreed to the inclusion of their books in the Pilot Collection indicated to their publishers that they were not comfortable with granting a blanket licence allowing others to alter or adapt their work. In order to protect the integrity of their work, some authors chose to select a Creative Commons licence that includes a 'No-Derivatives' condition. This licence restriction means that the authors expect down-stream users to seek permission before creating derivative works.

Licence Type of Pilot Collection Books



4.6 Cost

Publishers were asked to submit a Title Fee for each of the monographs included in the Pilot Collection. Publishers were required to calculate each Title Fee on a Cost Recovery basis. That is, the Title Fee needed to reflect the costs of bringing a monograph to first digital file. These were defined as: proposal review; internal manuscript review; editorial guidance to authors; external reader payments; copyediting; typesetting; proofing; design; permissions fees; marketing; and overheads. Costs associated with printing, binding and digital distribution were not included in the Title Fee. Book prices normally include a risk factor that addresses uncertainty regarding sales, which is not necessary with the KU approach.

Libraries were not charged for the operational costs associated with developing and coordinating the Pilot. Funding provided by the Founding Libraries, charitable foundations and supporters (identified in Appendix 2 of this report) supported the costs of coordinating the proof-of-concept Pilot. In future rounds, KU plans to add a levy to each Title Fee to cover the consortium's operating costs. It is hoped that funding the operating costs of the consortium by applying a levy to each Title Fee will allow KU to operate sustainably, and at scale. It will also help to ensure that KU is able to move beyond grants and subsidies to cover its core costs.

The average Title Fee for books in the Pilot Collection was \$12,000. This equated to a total cost of \$336,000 to secure OA for all 28 books.

AVERAGE TITLE FEE	NUMBER OF TITLES	COST TO UNLATCH 28 TITLES
\$12,000	28	\$336,000

The cost to libraries of unlatching the Pilot Collection was calculated by dividing the total cost of all Title Fees by the number of participating institutions.

The project team decided in advance a minimum of 200 libraries would be required to pledge their support for the Pilot Collection in order to achieve proof of concept.

If 200 libraries shared the cost of unlatching the Collection, each library would pay a maximum of \$1680. This equated to an average title fee of \$60 per title.

If less than 200 libraries signed up for the Pilot, then the publishers would be advised that the Collection had not been unlatched.

The table below illustrates the per-library cost reduction associated with a higher number of libraries participating in the Pilot.

COST TO UNLATCH 28 TITLES	NUMBER OF LIBRARIES	COST PER LIBRARY
\$336,000	200	\$1680
\$336,000	250	\$1344
\$336,000	300	\$1120

4.7 Free Riding

During the course of the Pilot development process, several consultants and commentators raised the issue of ‘free riding’, suggesting that the KU model’s failure to provide sufficient exclusive advantages to participating libraries would remove incentives to pay for content and render the KU model nonviable. These concerns reflect wider debates about economic justifications for copyright protection, as well as the capacity of creative industries firms to operate in the absence of excludable rights (Suzor 2015; Montgomery & Potts 2009; Hargreaves 2011). The pre-Pilot survey suggested that libraries were not overly concerned by the possibility of free riding: only 18% of libraries in the US and 6% of libraries in the UK indicated that they were ‘concerned’ about free riding. The remainder were either ‘not concerned’ or ‘somewhat concerned about the possibility of free riding’ (see p.15 of this report). The KU team recognised the importance of maintaining a high level of trust and building positive community feedback and transparency into the Pilot model.

With this in mind, once 150 libraries had agreed to participate, a list of participating institutions was made public on the KU website. A countdown mechanism was used to indicate how much time libraries had left to pledge. Even when the original target of 200 libraries had been achieved, a further 97 institutions signed up to the pilot. These institutions helped to lower the costs of unlatching the books, in spite of the fact that they could be certain that they would have free access to the OA version, because the unlatching target had already been achieved.

The willingness of research libraries to participate in the KU Pilot, and the value of securing the prestige associated with Charter Member status by doing so, is consistent with the wider willingness of this community to work together where there is demonstrable benefit for the greater good. A few well-known examples are arXiv⁸, Portico⁹ and CLOCKSS¹⁰.

⁸ arXiv is an e-prints service providing access to scientific papers in the fields of mathematics, physics, astronomy, computer science, quantitative biology, statistics, and quantitative finance.

⁹ The Portico digital preservation service is part of [ITHAKA](http://www.ithaka.org/), a not-for-profit organisation helping the academic community use digital technologies to preserve the scholarly record and to advance research and teaching in sustainable ways. See: <http://www.portico.org/digital-preservation/>

¹⁰ CLOCKSS is a digital preservation service that operates on LOCKSS (Lots of Copies Keep Stuff Safe) technology. See: <http://www.clockss.org/clockss/FAQ>

4.8 Recognising Other Format Purchases

One of the most challenging aspects of the Pilot design process was identifying a mechanism that would ensure that library contributions to the costs of bringing books to first digital file were reflected in the cost of other formats. Libraries were concerned that the KU model might amount to a double payment from libraries to publishers: requiring libraries to pay for the cost of unlatching a book in addition to the full cost of a print or closed e-book version.¹¹

Finding a way to ensure that this did not occur was vital to building confidence in the KU model among libraries. It was especially important for libraries that subscribe to pre-purchase plans or large (closed) e-book collections. It is not always possible or practical for libraries to opt out of purchasing a single title, or a small number of titles, because they are being supported elsewhere: for example, through the KU Pilot Collection.

Publishers indicated early in the Pilot design process that they were willing to provide discounts on print or other format purchases to the libraries that helped to unlatch the Pilot Collection. However, finding a transparent, time-efficient mechanism for delivering these discounts in a complex, global distribution landscape in which discounts negotiated by library consortia, book-sellers, e-book vendors, digital platforms and other intermediaries play important roles was not easy.

For the Pilot, publishers agreed to waive the unlatching fee for books that a library indicated it was ordering through another channel. The unlatching fee was also waived for libraries that indicated that they intended to order a book within 30 days of the end of the pledging period through another supplier. This approach minimised disruption to established purchasing processes for libraries. However, it still required libraries to manually check to see whether additional formats of a title in the Pilot Collection were being ordered through other channels.

Each book in the Pilot Collection was allocated a 'deduction value' based on dividing the Title Fee by the minimum number of libraries needed to unlatch the Collection. For the Pilot this number was 200. (See table overleaf.)

The deduction value assigned to each book was used to adjust the invoice sent to libraries that reported that they had purchased an additional format of titles included in the Pilot Collection. Publishers were willing to accept self-reporting by libraries for this purpose.

Publishers participating in the Pilot also accepted the risk that libraries might try to 'game' the model: claiming so many additional format purchases that the unlatching fee payment would fail to cover the fixed costs of publishing a book. In spite of this risk, publishers tolerated this approach to recognising additional format purchases and engaged with the KU proof-of-concept Pilot as an opportunity to learn about how they could work with libraries in new ways.

4.9 Additional Format Purchases

Additional format purchases claimed by participating libraries:

A total of 702 additional format purchases were claimed by 113 (38%) of the libraries that helped to unlatch the Pilot Collection.

The number of additional format purchases claimed ranged from 0-28 titles per library.

Of libraries claiming an additional format purchase, the average number of additional format purchases identified was 6.

E-books accounted for 44% of the additional format purchases identified. Print books accounted for 56%.

50 libraries purchased an additional format of the most popular title. 10 libraries purchased an additional format of the least popular title.

Libraries identified an approval plan as the route of purchase for 138 books; e-book collections were identified as the route of purchase for 129; a firm order (electronic or print) was identified for 175. There was no indication given as to the route for 260 of the additional format purchases identified by libraries.

¹¹ The caution of libraries in relation to double payment for OA content reflects the debate about 'double dipping' surrounding OA journals. See, for example: <http://www.rluk.ac.uk/news/rluk-issues-guidance-nature-future-big-deals-double-dipping/>

Title List – Pilot Collection

PUBLISHER	AUTHOR	TITLE	TITLE FEES	DEDUCTION VALUE
Amsterdam University Press	Erik Jan Zürcher (Ed.)	Fighting for a Living	\$15,000	\$75
Bloomsbury Academic	James Tully	On Global Citizenship	\$10,000	\$50
Bloomsbury Academic	Matthew D. Johnson Keith B. Wagner Kiki T. 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	Alan H. Sommerstein Isabelle Christiane Torrance (Eds.)	Oaths and Swearing in Ancient Greece	\$12,000	\$60
De Gruyter	Zohar Segev	The World Jewish Congress During the Holocaust	\$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	David Sartorius	Ever Faithful	\$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
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	David G. Tompkins	Composing the Party Line	\$10,000	\$50
Purdue University Press	Eugene D. Coyle Richard A. Simmons	Understanding the Global Energy Crisis	\$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

4.10 Additional Funding Support (HEFCE, SFC and DEL)

In December 2013 the Higher Education Funding Council for England (HEFCE) announced its decision to make a grant of up to £550 available to universities in England that participated in the KU Pilot. This grant contribution was used to reduce the participation fee paid by university libraries in England by 50%.

David Sweeney, HEFCE's Director for Research, Innovation and Skills, stated that the KU Pilot would offer insights and lessons important in testing the readiness of the scholarly book-publishing world to support the OA agenda (Anon n.d.). Jisc Collections administered the financial backing of up to £50,000 from HEFCE.

In February, just a few weeks before the close of the pledging period, the Department for Employment and Learning for Northern Ireland announced that it would also make funding available to libraries in Northern Ireland on the same basis (Anon n.d.).

The Scottish Funding Council also announced that it would provide matched funding for libraries in Scotland that joined the Pilot (Anon 2014b). Jisc Collections administered these grants.

Grants for UK Charter Members:

Participating institutions in the UK: 77

Eligible institutions in the UK: 70

50% of final participation fee £782.92 = £391.46

GOVERNING BODY	TERRITORY	CONTRIBUTION	NUMBER OF ELIGIBLE INSTITUTIONS	ACTUAL CONTRIBUTION
HEFCE	England	50%	61	£23,879.06
DELNI	Northern Ireland	50%	2	£782.92
SFC	Scotland	50%	7	£2,740.22
		TOTAL	70	£27,402.20

70 x £391.46 = £27,402.20 total grant money awarded.

4.11 Promoting the Offer

On 5 October 2013 a press release was issued via the KU website announcing the KU Pilot Collection and inviting libraries to participate (Anon 2013). This press release was promoted via social media, email, and library Listservs and marked the beginning of the pledging period. A full Pilot Prospectus was made available to libraries via the KU website and is presented in Appendix 9, page 58.¹² Information contained within the Pilot Prospectus was also made available via a KU catalogue page on the Jisc Collections website. KU worked with partners including Jisc Collections, Informed Strategies, LYRASIS, the Max Planck Society and Burgundy Services to market the



Pilot Collection to libraries all over the world. A limited budget and a very small team made it necessary to focus marketing efforts for the Pilot on North America, the United Kingdom, Australia and Germany.

More specific information about the marketing process adopted in different regions is provided below.

LEFT: Lucy Montgomery pitches KU at Google Campus in TechCity, Shoreditch as part of the event '[A Hub in a Day in London](#)' in July 2013. CREDIT: © Birkbeck Media Services Centre 2013. PHOTOGRAPHER: Dominic Mifsud, Birkbeck MSC.

¹² The Pilot Prospectus is available at: <http://www.knowledgeunlatched.org/wp-content/uploads/2014/01/KU-Pilot-Prospectus.pdf>

North America

In August 2013 the non-profit membership organisation LYRASIS was appointed as KU's North America marketing and invoicing partner. LYRASIS became responsible for marketing and invoicing for the Pilot Collection in the United States and Canada: handling communications with its members and the larger library community via its sales reps and Listservs. LYRASIS was supported by Informed Strategies, which provided strategic advice and focussed on engaging libraries that were not members of the LYRASIS network.

United Kingdom

Jisc Collections provided valuable assistance: coordinating pledging by UK-based libraries; administering grant funding provided by HEFCE, DELNI and the SFC; invoicing libraries and handling the payment process.

Jisc Collections also helped to promote the KU Pilot Collection: communicating with libraries via its newsletter, emails, Listservs and Twitter feed.

Burgundy Services assisted in marketing the KU Pilot Collection via email and Listserv postings.

The KU project team also communicated directly with UK libraries about the Pilot Collection – via email, telephone conversations, webinars and library visits.

Australia

In September 2011 Frances Pinter visited Australia to discuss the 'Global Library Consortium approach to funding OA for books'. An important result of this visit was early backing for the KU project from three founding Australian libraries: Queensland University of Technology, the University of Melbourne and the University of Western Australia.

Awareness of KU resulting from Australian library involvement in establishing the Pilot was built upon through:

- A virtual presentation on KU to a meeting of the Council for Australian University Libraries late in 2013;
- A workshop on KU and a plenary presentation at the Open Access and Research 2013 conference in Brisbane.
- An emailed invitation to participate in the KU Pilot, sent to the Directors of all Australian University libraries, as well as the Directors of state and national libraries.
- Promotion of the KU Pilot via social media, and with assistance from supporting Australian libraries via their websites.

Germany

The Max Planck Society hosted a one-day workshop on KU at the Bayerische Staatsbibliothek in June 2013. Leading university librarians from Germany were invited to discuss the potential of the KU model, and to consider how Germany might engage with it.

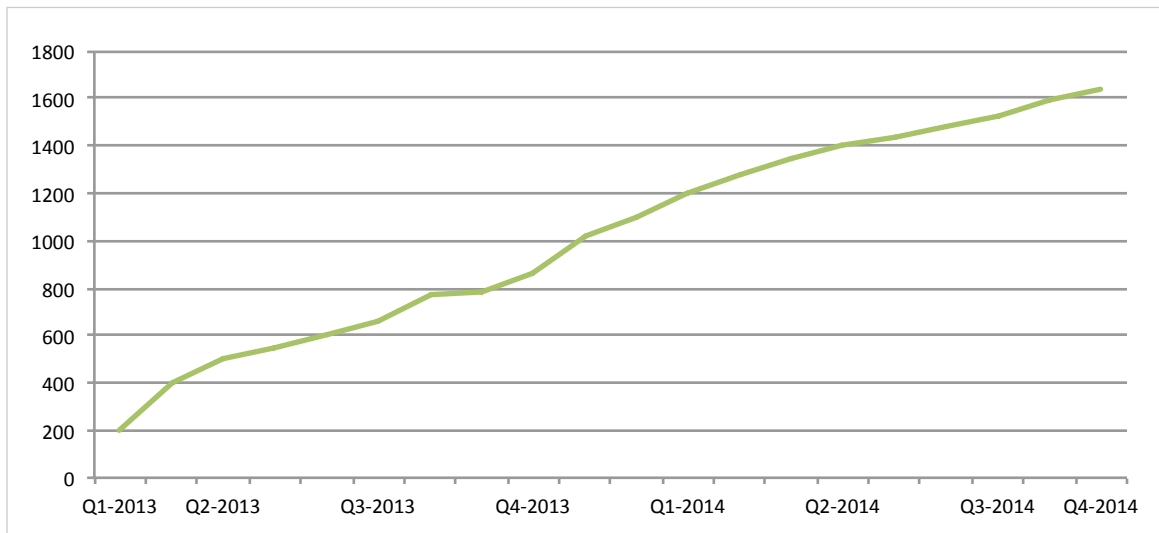
At the end of the meeting it was decided to take the idea forward to a meeting of consortia leaders. This was done by Hildegard Schäffler.

Rest of the World

KU staff worked with Burgundy Services to market the Pilot Collection to libraries in remaining territories. This involved an email and telemarketing campaign, a webinar series, a short film, an animated infographic and a social media campaign.

During the course of the Pilot, Twitter followers grew to around 1,200 and reflected the widespread interest in KU.

Twitter Followers

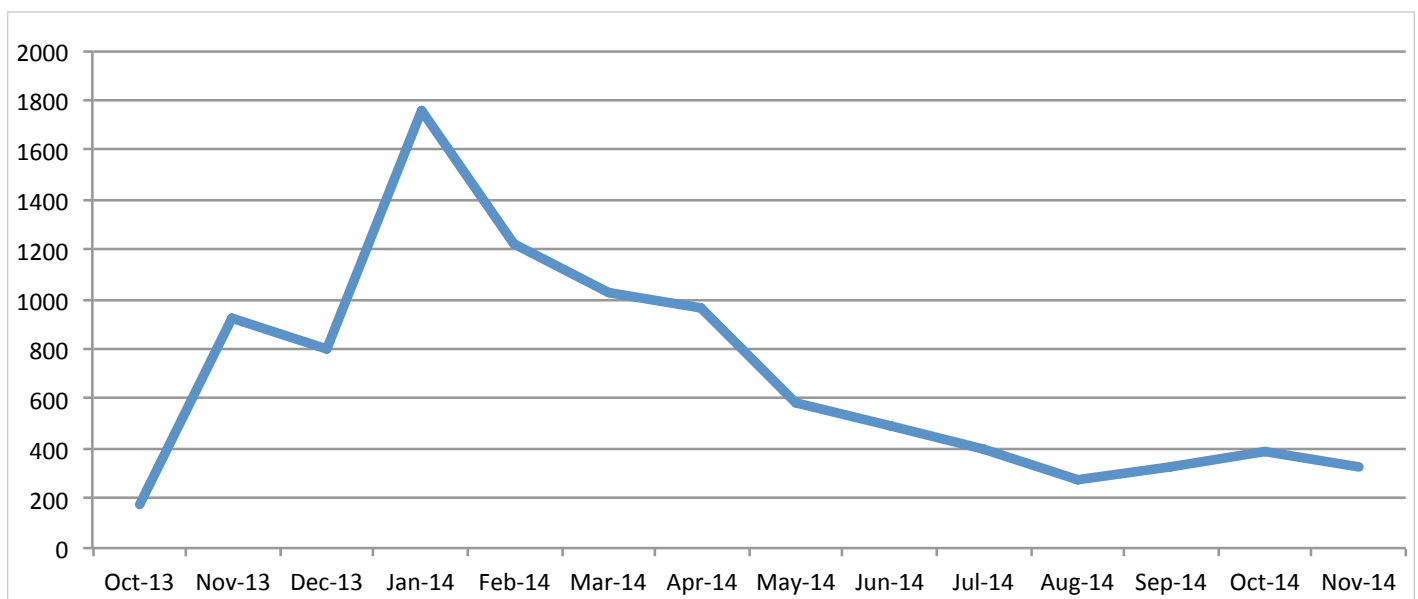


Slideshare proved to be an especially valuable resource: allowing librarians and others interested in the project to view presentations on the KU project in their own time.

The KU team recorded a simple slideshow with a voiceover, providing information about the KU model, the goals of the Pilot, and how libraries could get involved.

By the end of November 2014 the presentation had been viewed more than 9,500 times.

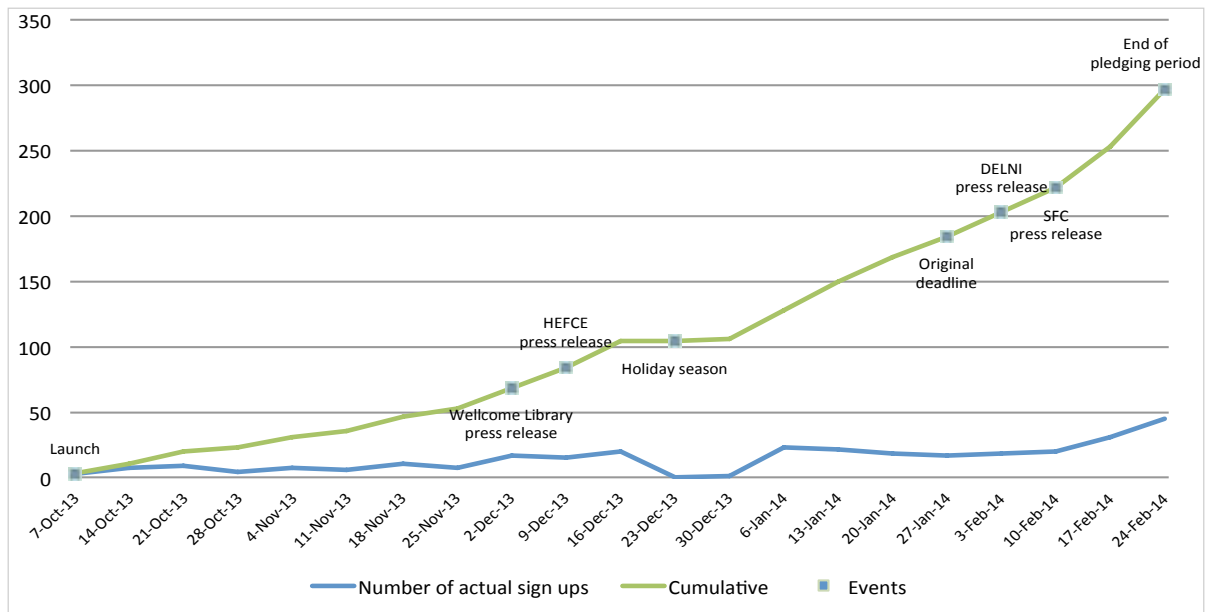
Slideshare Views



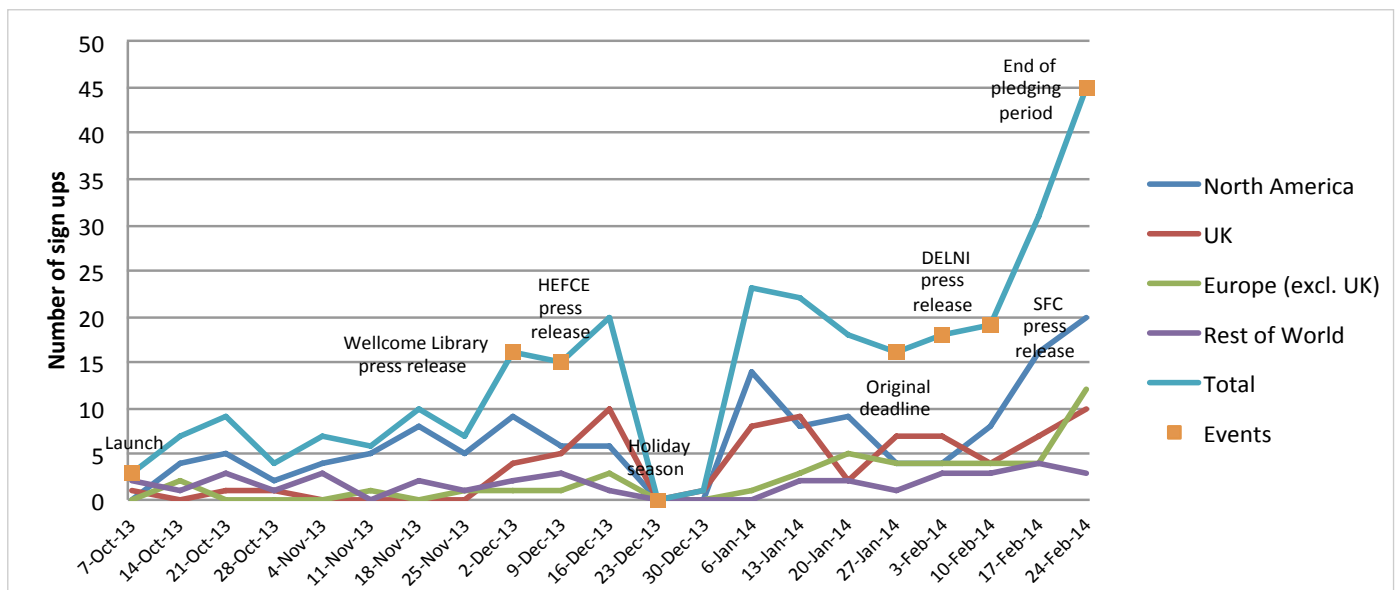
4.12 Pledging

The pledging window for the proof-of-concept Pilot lasted from 4 October 2013 until 28 February 2014. It was initially expected that the pledging window would close on January 31. However, in December 2013 the Higher Education Funding Council of England announced its decision to provide matched funding for libraries in England that signed up for the Pilot Collection (Anon n.d.). The late announcement of this decision, and the need to ensure that libraries in England were informed of the availability of matched funding, prompted the extension of the pledging window by an additional month.

Timelines of sign ups
Pledging period 04 10 13 – 28 07 14



Timeline of sign ups split by region (non-cumulative)



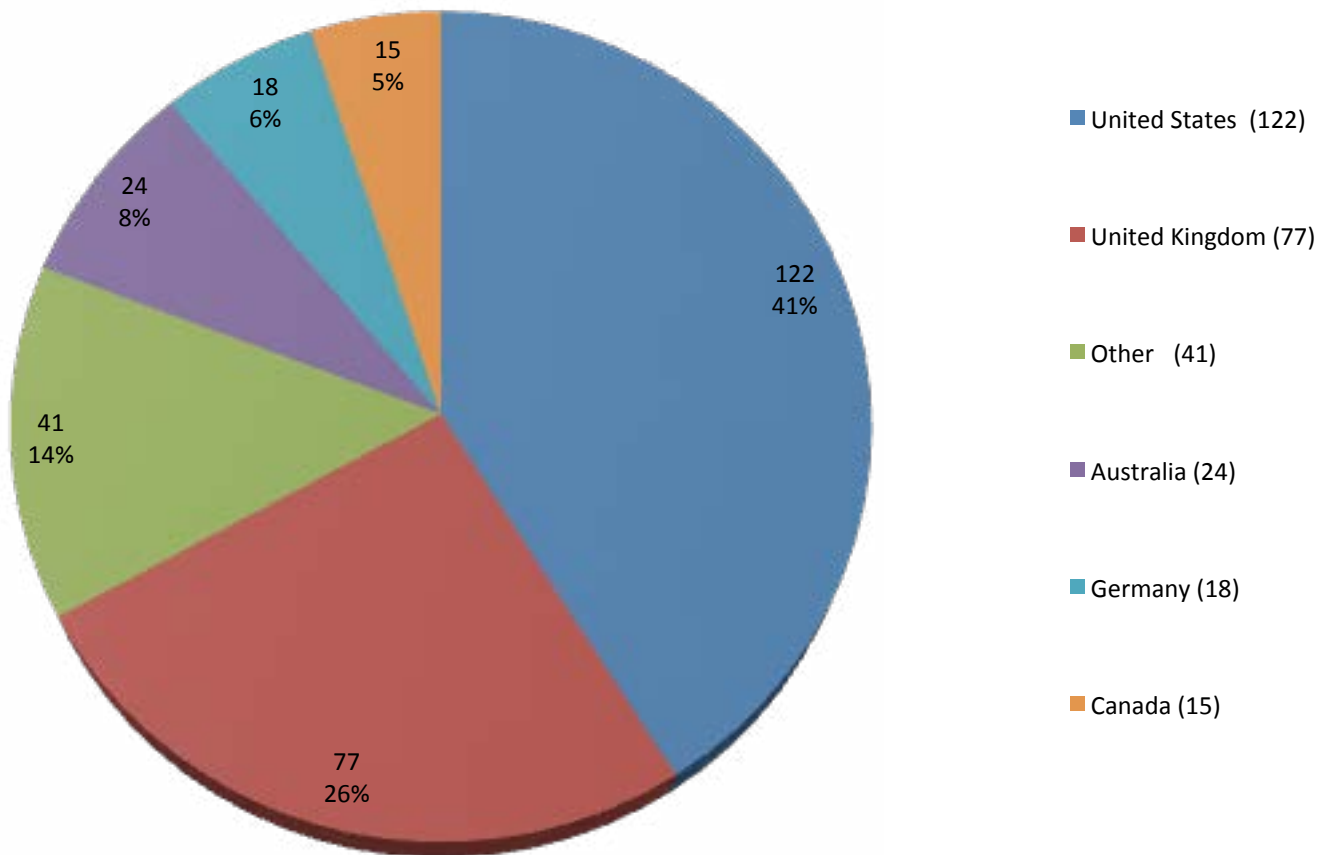
Chapter 5: Pilot Outcomes

5.1 Library Buy-in

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 just under \$43 per title. This was less than the average of \$60 per book that would have been paid if the minimum of 200 libraries had joined the Pilot. It also compared favourably with an average hardback cover price of \$95.

Geographical breakdown of sign ups



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.

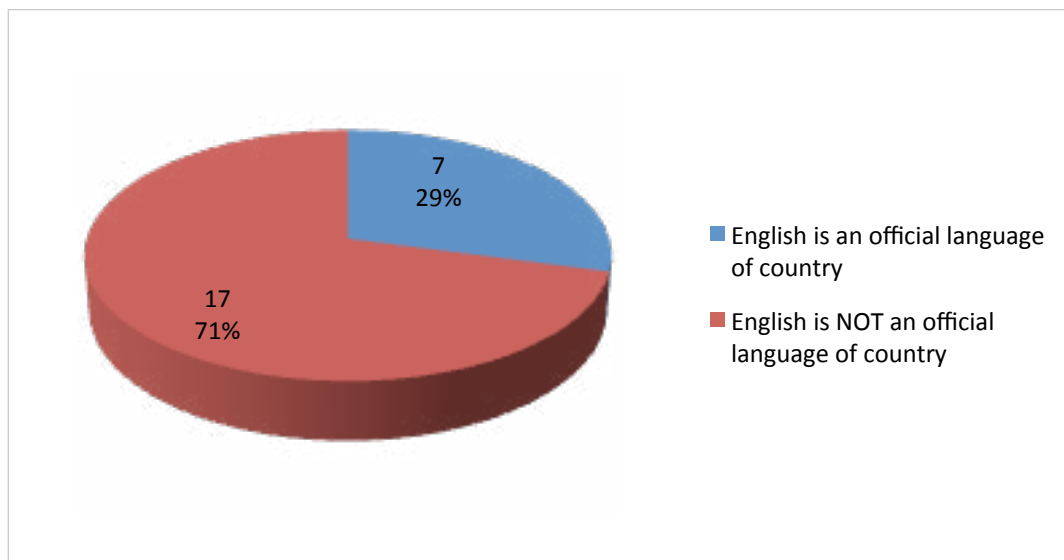
Diversity in the official languages of countries involved in the Pilot highlights the international reach of the project.

English is an official language in just 29% of the countries represented in the KU Pilot.

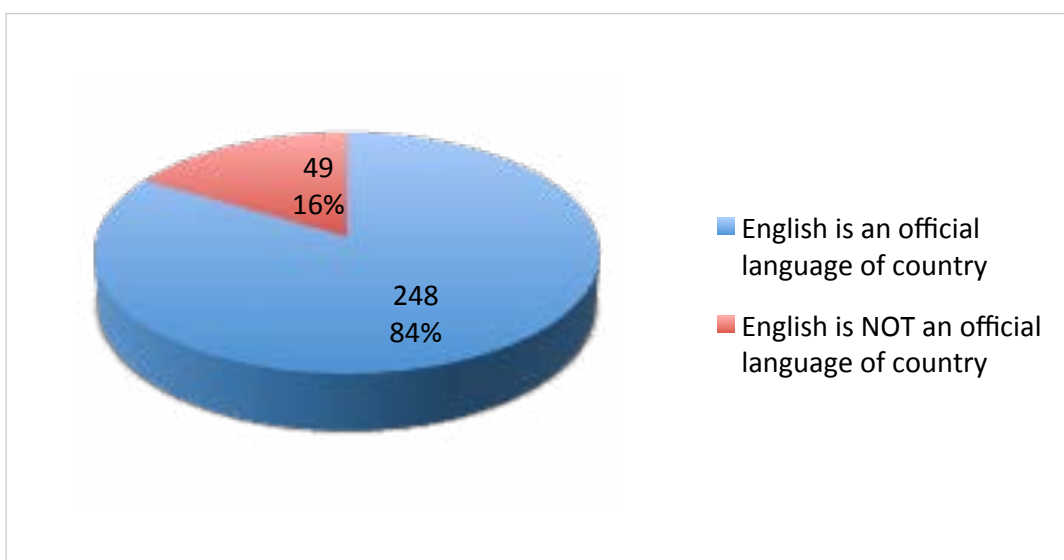
English is not an official language in 71% of the countries involved.

84% of Charter Member institutions are in a country where English is an official language, and 16% are not.

Language division of sign up by country

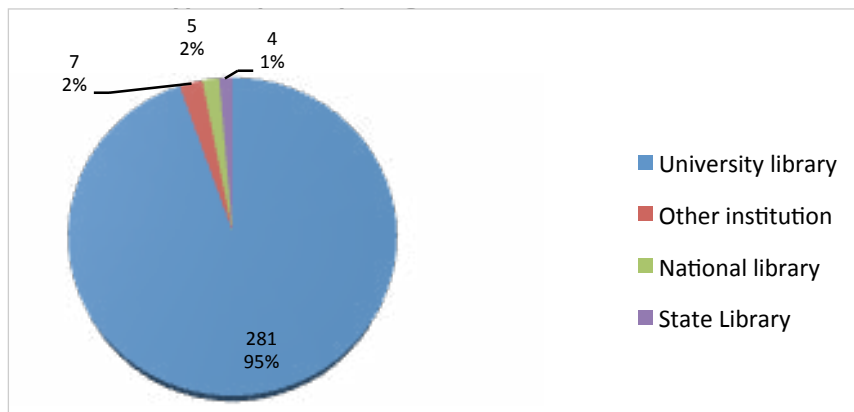


Official language of each Charter Member

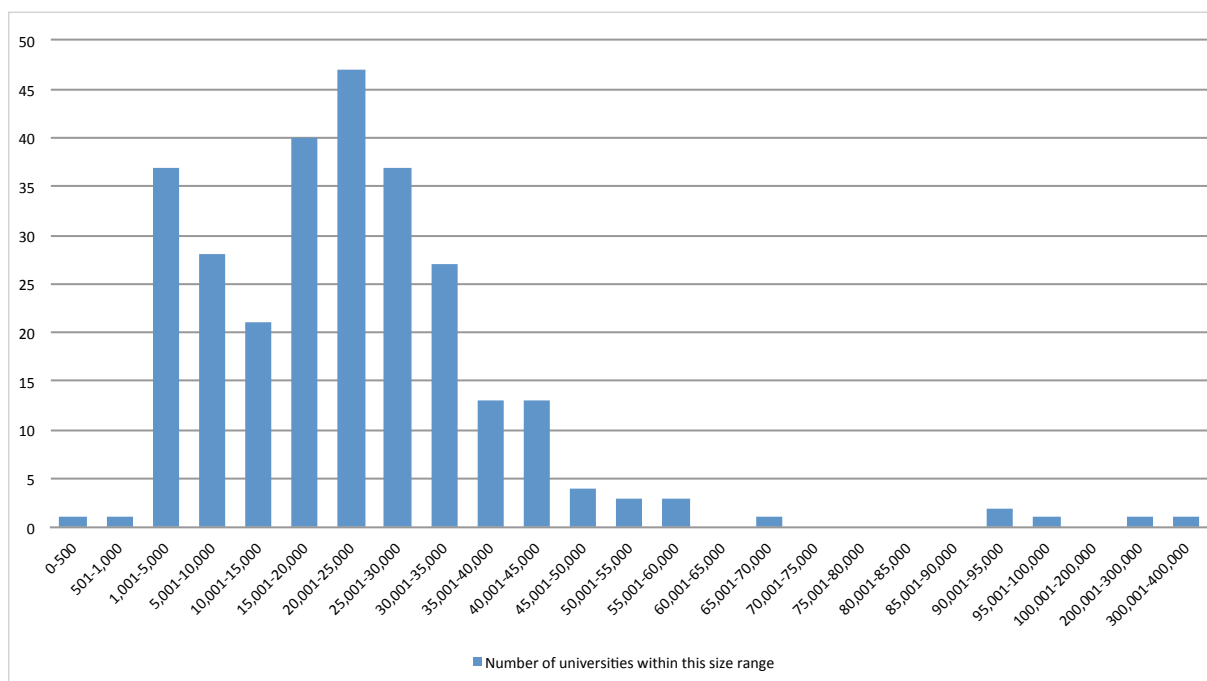


National libraries in the following countries took part in the Pilot: Great Britain; Latvia; The Netherlands; Scotland and Wales. Four State Libraries also participated. These were: The State Library of Baden; The State Library of Bavaria; The State Library of Berlin and The State Library of Western Australia.

Type of participating institution



Size of participating institution by number of students



Non-university research organisations also took part:

- Abt Associates: A US-based research firm and international development innovator;
- Amigos Library Services: A not-for-profit, membership-based organisation dedicated to serving libraries in the US;
- Consejo Superior de Investigaciones Científicas (Spanish National Research Council): The largest public institution dedicated to research in Spain;
- Helmholtz-Zentrum Berlin für Materialien und Energie GmbH: Operator of two large facilities for materials research in Germany;
- Max Planck Digital Library: A central service unit within the Max Planck Society, providing electronic publications and publication databases to the Max Planck Institutes and to support them creating digital and network-based research environments in Germany;

- The New York Public Library: The second largest public library in the US;
- The Wellcome Library: A resource for the study of medical history in the UK.

5.2 Content Delivery

Developing technical workflows and identifying content delivery and metadata bottlenecks, as well as strategies for overcoming these in order to scale the model, were important aspects of the Pilot. The results indicate that generally better metadata is required of publishers.

5.3 Hosting

KU elected not to 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 each unatched book is being hosted in the OAPEN Digital Library and by HathiTrust. Some publishers have also elected to host the OA version of each book on their platforms (see table below) and the possibility of hosting the OA version of books within the British Library's Digital Library is being explored.

KU's decision to work with partners to ensure that content is preserved, available and discoverable provided important advantages: allowing KU to build on existing investments in hosting and discovery services, and to benefit from the visibility and networks of its partners. The willingness of OAPEN and HathiTrust to work with KU to deliver the Pilot Collection significantly reduced the costs of developing and testing the KU model and helped minimise technical risks.

Loading the books onto the OAPEN and HathiTrust platforms began in early March, once the pledging period had closed. The OA versions of the first books became available on 11 March 2014 via OAPEN. Loading content onto HathiTrust took longer, but the first KU titles became available via HathiTrust on 15 May 2014.

Pilot Collection titles also available as OA on publishers' own websites:

PUBLISHER	TITLE (AND HYPERLINK)	OA VERSION
Amsterdam University Press	Fighting for a Living	Links to OAPEN
Bloomsbury Academic	Human Rights and Democracy	On Bloomsbury Collections site as HTML or page-by-page PDF
Bloomsbury Academic	On Global Citizenship	On Bloomsbury Collections site as HTML or page-by-page PDF
Brill	Aging Gracefully in the Renaissance	On Brill Online
Brill	Verse and Transmutation	On Brill Online
Cambridge University Press	Governing Failure	On Cambridge Books Online as PDF
Cambridge University Press	Networks and Institutions in Europe's Emerging Markets	On Cambridge Books Online as PDF
Cambridge University Press	The Myth of Piers Plowman	On Cambridge Books Online as PDF
De Gruyter	The World Jewish Congress during the Holocaust	On De Gruyter's website as OA PDF and EPUB
De Gruyter	Oaths and Swearing in Ancient Greece	On De Gruyter's website as OA PDF and EPUB
De Gruyter	Thinking and Killing	On De Gruyter's website as OA and PDF
Purdue University Press	Understanding the Global Energy Crisis	On Purdue UP's website
Purdue University Press	Composing the Party Line	On Purdue UP's website

5.4 Preservation and Discoverability

KU has agreements with CLOCKSS and Portico to ensure that the OA version of each book in the Pilot Collection is digitally preserved. The OAPEN Digital Library is also acting as a preservation platform.

OAPEN provided MARCXML records for the KU Pilot Collection. These were enhanced using data available through

other systems and refined to ensure consistency and quality by teams at Duke University Library, Kenyon College Library, Denison Library and the Boston College Libraries.¹³ MARC21 records were also prepared.

Both versions are available for download, for free, on the KU Collections website.

These records were then sent to:

- HathiTrust as part of the package used to load KU content onto their platform;
- OCLC to load into WorldCat;
- ProQuest for use in Summon;
- CLOCKSS and Portico for preservation.

KU ensured that metadata provided to these services was complete and of a high quality. The opaque world of how web-based discovery tools integrate metadata into their services is an issue currently being addressed by a number of bodies, including the US's National Information Standards Organisation (NISO). KU has contributed to NISO's work in this area,¹⁴ and will continue to share information arising from the Pilot with groups working towards increased visibility and discoverability of OA content.

5.5 Governance

The KU Pilot served as a mechanism for establishing a core group of member libraries with the right to help govern the organisation as it moves forward. The Library Steering Committee was appointed in the summer of 2014 (see Appendix 5 for a list of Library Steering Committee members).

Membership Fees

Levying a small membership fee was considered during the scoping stages of the project, but not applied during the Pilot. Library consultation and surveys indicated that libraries would be willing to pay a small annual membership fee in the region of \$500.

A membership fee will be applied in the next stages of the project. Charter libraries that took part in the KU proof-of-concept Pilot will be exempt from paying a membership fee until at least 2016. KU Founding Libraries are permanently exempt from paying a membership fee.

Founding Libraries

Founding Library status has been granted to institutions that have made a substantial contribution to the startup and running costs of KU, particularly during the proof-of-concept Pilot phase. Founding Libraries are entitled to a permanent position on the KU Library Steering Committee and will not be required to pay a membership fee.

KU Founding Libraries are:

- Queensland University of Technology
- The University of Melbourne
- The University of Western Australia

Charter Members

Libraries that took part in the KU Pilot are Charter Members of KU and are exempt from paying a membership fee until 2016.

¹³ For more information see: <http://www.knowledgeunlatched.org/pilot-collection/marcxml-data/>

¹⁴ Frances Pinter, 'Knowledge Unlatched – Navigating Through the Rapids of Change', *Using the Web as an E-Content Distribution Platform: Challenges and Opportunities*, NISO two-day virtual conference, 21-22 October 2014. http://www.niso.org/news/events/2014/virtual-publishing_econtent/

Members

Libraries that join KU during its next phases will become regular members. They will be required to pay a membership fee, which will be set with advice from the Library Steering Committee.

Knowledge Unlatched Governance Structure

KU is adopting a two-tier approach to library governance (Anon 2014c). A Library Steering Committee was established in 2014. A Collections Committee will be established in 2015.

i. Library Steering Committee

Members of the nine-person Inaugural Library Steering Committee were invited to join, based on existing support for and engagement with KU. They will serve a two-year term (September 2014 – September 2016), after which new members will be nominated. See Appendix 5 for a list of the Inaugural Library Steering Committee members.

The Library Steering Committee is responsible for:

- Approving recommendations made by the Collections Committee on title selection.
- Making recommendations to KU on matters including:
 - Adjustments to the KU business model and strategy for scaling;
 - The development of new business opportunities and partnerships;
 - Overall strategic direction for KU

Members of the Library Steering Committee will be asked to assist with:

- Representing KU to library and OA communities;
- Identifying external sources of funding for KU;
- Reviewing the performance of the KU project, drawing on indicators including usage data, levels of library participation, satisfaction and engagement.

ii. Collections Committee

In 2015 KU Charter Member libraries will be invited to nominate representatives and vote for the Collections Committee.

In order to be eligible to serve on the KU Collections Committee, a nominee must be employed in a collections/ acquisitions capacity at a KU Charter Member library.

The Collections Committee will play a key role in selecting content to be offered to libraries via KU. The committee 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 programme;
- Subject areas included within the KU programme.

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

5.6 Usage

On 11 March 2014 the first of the KU Pilot Collection books became available via the OAPEN Digital Library. Books became available via HathiTrust several weeks later.

The books in the Pilot Collection were not uploaded onto OAPEN or HathiTrust in a single batch. Rather, each book was uploaded as it was provided to KU by the publisher. Some of the books in the Pilot Collection were not published until the second half of 2014. As a result, the final Pilot Collection title became available via OAPEN in September 2014.

In spite of this, OAPEN recorded 6,301 downloads of KU books in the first 12 weeks of the Pilot Collection's availability online. Readers in at least 121 countries downloaded books from the Collection. After 24 weeks, the numbers had increased to 12,763 downloads from at least 138 countries.

OAPEN Digital Library usage data is COUNTER compliant. This means that raw download figures have been filtered according to a standard methodology, in order to ensure that an accurate number of downloads is reported, and that activity generated by online bots is excluded. OAPEN work with IRUS-UK, a Jisc-funded repository and infrastructure service in order to produce COUNTER compliant usage data. The period covered by the data is from 11 March to 31 August 2014.

Statistics by Collection

- Published titles in Collection: 28 (only 27 have been included in the below figures)
- Total number of downloads: 12,763
- Mean average number of downloads per week: 1,064
- Mean average number of downloads per book/week: 40

Statistics by Title

- Mean average number of downloads: 473 (Range per book: 59 – 1,219 each)

Global impact

- Number of countries downloading KU titles: 138*
 - * The country of origin of 59 downloads could not be identified
- Mean average number of downloads by country: 92

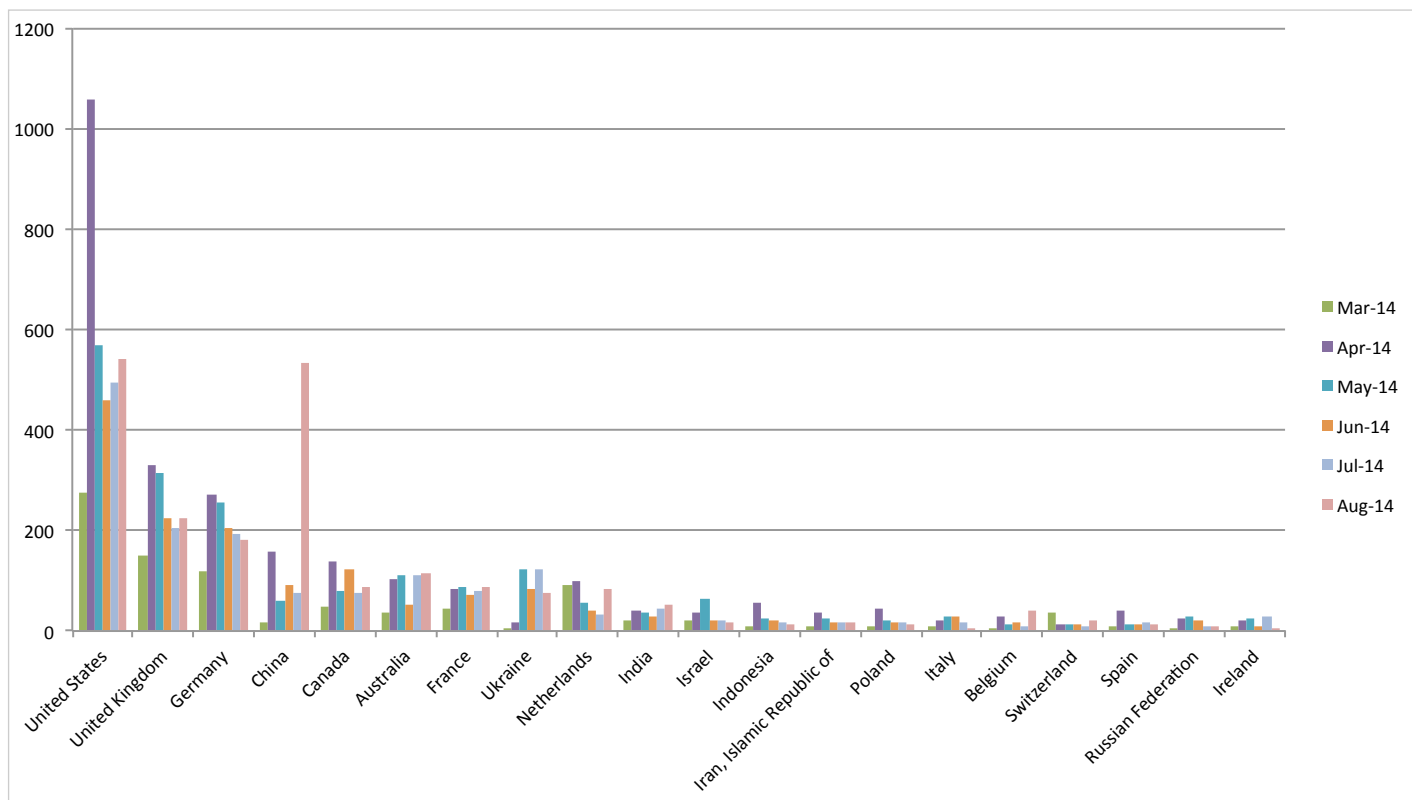
Top 20 countries

COUNTRY	TOTAL DOWNLOADS	PERCENTAGE OF TOTAL
1. United States	3401	27%
2. United Kingdom	1448	11%
3. Germany	1229	10%
4. China	938	7%
5. Canada	550	4%
6. Australia	530	4%
7. France	453	4%
8. Ukraine	422	3%
9. Netherlands	405	3%
10. India	227	2%

COUNTRY	TOTAL DOWNLOADS	PERCENTAGE OF TOTAL
11. Israel	180	1%
12. Indonesia	139	1%
13. Iran, Islamic Republic of	126	1%
14. Poland	122	1%
15. Italy	116	1%
16. Belgium	115	1%
17. Switzerland	106	1%
18. Spain.	105	1%
19. Russian Federation	99	1%
20. Ireland	91	1%
21. Rest of World	1961	15%

Where are KU Pilot Collection books being read?

Downloads by month (Top 20)



KU is also working with HathiTrust to gather usage data. However, at this stage, usage figures provided by HathiTrust are not Counter compliant.

All of the books in the KU Pilot Collection are being made available on licences that allow for sharing by others, as long as it is for non-commercial purposes. This means that users have permission to share PDFs with each other directly via email or messenger. It also means that the books can be made available for download for platforms other than OAPEN and HathiTrust, which KU is partnering with directly.

This approach to licensing is in keeping with the OA goals of the KU model. Ensuring that books can be shared by others seems likely to increase their visibility and discoverability (Snijder 2013a; Willinsky 2006), and in so doing to increase their reach and impact. Other organisations have already begun making Pilot Collection titles available via alternative channels: [Unglue.it](http://unglue.it) has posted the KU Pilot Collection to the Internet Archive, for example.

The corollary of allowing much wider sharing of KU books is that gathering comprehensive usage data becomes much more challenging. It seems likely that downloads visible via the OAPEN and HathiTrust sites are just a fraction of the total number relating to any of the titles in the Pilot Collection.

Nonetheless, KU is working towards providing institution-specific usage information to its Charter Member libraries. It is also developing a research agenda exploring the methodologies that might be used to provide stakeholders with useful information about the reach and impact of OA books; how such information might be gathered and shared transparently; and whether usage data associated with KU titles might feed into Alternative Impact Metrics for books (Altmetrics).

Chapter 6: Conclusions

The KU proof-of-concept Pilot established that academic libraries and scholarly publishers are willing to work together in new ways to enable the OA publication of specialist scholarly books. The Pilot successfully demonstrated that:

1. Publishers are 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 are willing to work together to share this fee; and
3. That doing so can provide a financially viable alternative to traditional content acquisition models for both publishers and libraries.

During the course of the Pilot, the KU team worked to understand the needs of libraries, publishers, authors and readers; and to develop a model that offered benefits to all of the stakeholders in the scholarly communication system. By recognising the key role that academic libraries already play in paying for the publication of monographs, as well as the potential for established scholarly presses to change the way in which the costs of high quality publishing are recouped with minimal disruption to their workflows and value propositions, KU was able to design a model that balanced the competing interests of different groups within the monograph system.

The consortium model trialled during the Pilot operated as a simple assurance contract between libraries and publishers: allowing libraries to collectively signal their willingness to pay for the OA availability of specialist scholarly books. In doing so, KU provided publishers with a low-risk opportunity to recoup the costs of publishing book-length works in a manner that met the needs of research funders, authors, libraries and readers more effectively than closed alternatives.

The capacity of the KU model to enhance the value contributed to scholarly communication systems by libraries and publishers, and to leverage the value of earlier investments in infrastructure to support OA books, such as the OAPEN Digital Library, were key factors in the Pilot's success. The leadership and good will displayed by KU partners located in the United States, United Kingdom, Europe and Australia, as well as the authors and publishers that engaged with the model, reflect the truly global nature of the communities that care for and about the future of the monograph.

During the pledging period, which lasted from October 2013 until February 2014, 297 libraries from 24 countries signed up for the Pilot Collection, exceeding the original target for library participation by almost 50%. Each unlatched book was uploaded onto the OAPEN and HathiTrust platforms as its publisher provided it to KU. The first unlatched book became available via the OAPEN Digital Library on 11 March 2014, followed shortly after by HathiTrust. Because the Pilot dealt with new and forthcoming titles, rather than backlists, some of the books in the Collection were not published until the second half of 2014.

As a result, the final Pilot Collection title became available via OAPEN and HathiTrust in September 2014. Between March 11 and August 28 a total of 12,763 downloads from the OAPEN Digital Library were recorded for 27 of the books in the Pilot Collection. This equated to an average of 40 downloads per book, per week, by users from at least 138 countries.¹⁵ In the first six months of the Collection's availability online, each book was downloaded a mean average of 473 times.

These figures are impressive, particularly as they relate to a period when titles were still being loaded onto the OAPEN platform. Viewed in the context of the small print-runs of a few hundred titles that have become standard for most monographs,¹⁶ they represent an extraordinary achievement: highlighting the capacity of OA monograph models to connect specialist scholarly books with readers located all over the world, regardless of their access to a university library, or their capacity to pay for access.

¹⁵ The country of origin of 59 downloads could not be identified.

¹⁶ See for example: Steele, Colin. (2008). 'Scholarly Monograph Publishing in the 21st Century: The Future More Than Ever Should Be an Open Book', *The Journal of Electronic Publishing*, Vol. 11, Issue 2.

6.1 Next Steps

The agenda that KU set for itself when it was established in 2012 and for libraries, publishers, authors and readers, was no less than revolutionary. Frances Pinter and her team sought to secure the future of monographs by widening access to them. In order to help global markets for scholarly books to operate more effectively, KU set out to develop a coordinating mechanism that would maximise the value that established institutions (publishers, libraries and OA digital platforms) added to scholarly communication processes as they related to long-form publications. It also secured the funding necessary to run a major global Pilot of the model that it was proposing, and offered itself as a trusted, neutral broker between libraries and publishers. Its ultimate goal was to create a sustainable, scalable route to OA for specialist scholarly books, and to affect a positive change across the global monograph ecosystem.

The unequivocally positive outcomes of the Pilot highlight the power of international coordination and trusted, neutral, intermediaries to enable innovation in scholarly communication. Enthusiasm for the KU model continues to be demonstrated by the rate at which libraries and publishers are registering their interest in participating in future rounds. Since March 2014 more than 100 libraries have pre-registered for future rounds. KU is also operating a waiting list of publishers that have indicated that they would like to offer books to libraries for unlatching. So far over thirty have signed up. Although the Pilot demonstrated significant interest among libraries, publishers, research funders and authors in the KU model, its limited scope left some critical issues unresolved. These include ensuring that the process of unlatching books through KU is integrated effectively into the workflows of libraries and publishers working at scale; the approach to recognising additional format purchases, which may present practical challenges for libraries and publishers when larger numbers of books are involved; and the extent to which the KU model can support 'pure OA' publishers.¹⁷ Additional investment will be needed in order to further develop these elements of the model, and to support its successful scaling.

KU is now working with library, publishing and funding communities to explore possibilities for scaling, including opportunities to partner with established players in the scholarly communication market in order to achieve this. It is also working with university-based researchers, OA platforms and libraries to understand data generated by the Pilot, and to ensure that this information is shared with KU Charter Members and the wider community of monograph stakeholders. Key themes of this research work include:

- Mapping the impact of OA availability of Pilot Collection titles on the purchase and use of other formats within libraries (print books; closed digital formats);
- Developing robust methodologies and community protocols benchmarking and sharing information about how OA monographs are used;
- Working towards international standards for metadata, accessibility and licensing for OA books;
- Exploring how the model piloted by KU might be applied to regional contexts and languages other than English;
- Developing and refining quantitative instruments for tracking, analysing and modelling humanities monographs; and
- Reconceptualising the role of both the humanities book and library, shifting the analytical lense from content and curation to the development of information that is collectively owned, managed and distributed - the 'knowledge commons'.

The proof-of-concept Pilot demonstrated that global communities of monograph stakeholders are eager to work together in new ways to secure positive change for monograph markets, and an open future for long-form publications. Creative, collaborative approaches to supporting OA will be essential to ensuring the widest possible access to high quality Open publishing opportunities for authors; as well as the visibility and discoverability of OA works.

¹⁷ Publishers that are committed to making books available in OA immediately upon publication, regardless of the willingness of the library community to 'unlatch' a particular title. Open Book Publishers is one example.

Core Team



ABOVE (FROM LEFT): Christina Emery, Frances Pinter, Leon Loberman and Lucy Montgomery

Director: Frances Pinter

Dr Frances Pinter is a serial entrepreneur who has been at the forefront of innovation in the publishing industry for nearly forty years. She is passionate about books, and about the potential of new technology to increase access to knowledge. As the founding publisher at Bloomsbury Academic, Pinter pioneered the use of open content licences for Humanities and Social Sciences monographs. Under her leadership, Bloomsbury took the bold step of ‘giving books away for free’ in digital form, using Creative Commons Non-Commercial licences and demonstrated that doing so made good commercial sense. As the Publisher of the Churchill Archive for Bloomsbury, Pinter used digital technology to demonstrate the ways in which the world can interact with iconic historical documents. Frances has a track record of finding innovative ways to increase access to knowledge. She was Publishing Director at the Soros Foundation (Open Society Institute), which involved supporting the growth of publishing industries in transition countries after the fall of communism. In the late 90s she established eIFL, a library consortium that straddles nearly 50 countries. Earlier in her career she founded Pinter Publishers that also owned Leicester University Press and established the imprint Belhaven Press. Frances was a Visiting Fellow at the London School of Economics and a Visiting Fellow at the Big Innovation Centre in London. For more information see www.pinter.org.uk

Deputy Director/Research Director: Lucy Montgomery

Associate Professor Lucy Montgomery is a Principal Research Fellow at the Centre for Culture and Technology at Curtin University. She is also Deputy Director for KU. For the duration of the KU Pilot she was based at the Big Innovation Centre in London, with generous support from Queensland University of Technology. Lucy trained as a China

specialist at the University of Adelaide, before going to complete a PhD in Media and Cultural Studies at Queensland University of Technology. She has a decade of experience as both a researcher and as project manager, working on major international research projects tracing the emergence of China's creative industries. Her research focuses on the impact of transformative technological change on the growth of the creative economy.

Head of Operations and Technology: Leon Loberman

Leon Loberman has worked in the IT industry for over 30 years, covering a broad range of disciplines from IT Operations, through Applications Development to Strategic Planning. Leon has also held senior business roles including Third Party Distribution Partnership Manager for financial data at FT Extel and Head of Operations and Technology at Extenza, hosting academic and scientific journals. More recently, Leon has been providing project management consultancy to Oxford University Press on a number of projects, as well as other technology-focused projects across a broad range of industries.

Project Coordinator: Christina Emery

Christina Emery is a multi-lingual administrator whose experience includes work in publishing, education, events and hospitality, intergovernmental and financial services. She has also contributed to printed and online publications as editor, proofreader and translator.

Christina studied French with German at the University of Leeds before moving to Germany to work for the European Patent Office, disseminating procedural information about European and international patents to inventors, attorneys and the general public.

Partners and Supporters of Knowledge Unlatched



Amsterdam
University
Press



BIG
INNOVATION
CENTRE



BRILL



B L O O M S B U R Y



CAMBRIDGE
UNIVERSITY PRESS



DE GRUYTER

Duke
UNIVERSITY



EDINBURGH
University Press



HATHI
TRUST

JISC

LYRASIS[®]
Advancing Knowledge

LIVERPOOL
UNIVERSITY PRESS



MANCHESTER
1824
Manchester University Press



MAX PLANCK
digital library



PORTICO



OCLC[®]

PURDUE
UNIVERSITY[™]



Queensland University of Technology
Brisbane Australia



open
Open Access
Publishing in European Networks

TEMPLE
UNIVERSITY PRESS

University
Library
THE UNIVERSITY OF
MELBOURNE



THE UNIVERSITY OF
WESTERN AUSTRALIA

Appendix 1: Charter Members

Aalborg University Library
Aarhus University Library
Abt Associates Inc.
Albert-Ludwigs-Universität Freiburg
American University of Paris
Amherst College Library
Amigos Library Services
Aranne Library, Ben-Gurion University of the Negev,
Be'er Sheva, Israel
Aston University
Auburn University
Australian Catholic University
Badische Landesbibliothek
Bangor University
Bar-Ilan University
Bath Spa University
Bayerische Staatsbibliothek
Baylor University
Bibliothek der Universität Konstanz
Bibliothèques de l'Université de Montréal
Bielefeld University Library
Birkbeck, University of London
Birmingham City University
Boston College
Boston University
Bozok University Library
Brandeis University Library
Brock University
Brunel University
Bryn Mawr College
Cambridge University Library
Cardiff University
Carleton College Library
Carnegie Mellon University
Case Western Reserve University
Catholic University
Central European University Library
Charles Darwin University
Charles Sturt University
Claremont Colleges Library
Coates Library, Trinity University
College of Saint Benedict/Saint John's University
College of William and Mary
Colorado State University
Columbia University in the City of New York
Concordia University
Connecticut College
Consejo Superior de Investigaciones Cientificas-Spanish
National Research Council
Cornell University
Coventry University
Curtin University Library
Dartmouth College
De Montfort University
Deakin University Library
DePaul University
DePauw University
Dickinson College
Drake University
Duke University Libraries
Durham University
Edge Hill University
Edith Cowan University
F.W. Olin College of Engineering
Flinders University
Florida International University
Florida Southern College
Franklin College
Freie Universitaet Berlin, Universitaetsbibliothek
Fudan University Library
Georg-August-Universität Göttingen / Niedersächsische
Staats-und Universitätsbibliothek
George Mason University Libraries
Gettysburg College
Goldsmiths College, University of London
Grand Valley State University
Griffith University
Grinnell College
Harvard University Library
Haverford College
Helmholtz-Zentrum Berlin für Materialien und Energie
GmbH

Helsinki University Library
Hope College
Humboldt-University, University Library
Imperial College London
Indiana University (Bloomington)
Indiana University East
Indiana University Kokomo
Indiana University Purdue University Fort Wayne
James Cook University
Johns Hopkins University
Keele University
Kenyon College Library
King's College London
KIT Library
Koninklijke Bibliotheek (KB) - National Library of the Netherlands
KU Leuven
La Trobe University
Lafayette College
Lancaster University
Liverpool John Moores University
London Metropolitan University
London School of Economics & Political Science
Loughborough University
Loyola/Notre Dame Library
LSU Libraries
Lund University Library
Macalester College
Macquarie University
Manchester Metropolitan University
Massey University Library, Palmerston North, New Zealand
Max Planck Digital Library
McGill University
McMaster University
Memorial University of Newfoundland
Miami University Libraries
Michigan State University
Minnesota State University, Mankato
MIT
Montana State University
Murdoch University
National Library of Latvia

National Library of Scotland
National Library of Wales
New York Public Library
New York University
Newcastle University
Northeastern University
Northumbria University
Northwestern University Library
Nottingham Trent University
Oberlin College Library
Ohio State University
Ohio Wesleyan University
Open University of Israel
Oregon State University Libraries
Pennsylvania State University
Phillips Academy
Phillips Exeter Academy
Portland State University Library
Purdue University
Queen Margaret University
Queen Mary, University of London
Queen's University
Queen's University Belfast
Queensland University of Technology
Radboud University Nijmegen, University Library
Ravensbourne
Rollins College
Roskilde University Library
Royal Holloway, University of London
Sacred Heart University
School of Oriental and African Studies
Sheffield Hallam University
Simon Fraser University Library
Skidmore College
Smith College
Staatsbibliothek zu Berlin
State Library of Western Australia
Stockholm University Library
Swansea University
Swarthmore College
Syracuse University Libraries
Taylor University

The Australian National University
The British Library
The Hebrew University of Jerusalem, the Library Authority
The Open University
The Royal Library, Copenhagen University Library
The University of Queensland
Tuebingen University Library
Tufts University Library
UMASS BOSTON
UNISA Library (University of South Africa)
Univerisity at Albany Libraries
Universitaetsbibliothek Johann Christian Senckenberg Frankfurt am Main
Universitat de Barcelona
Universitätsbibliothek Heidelberg
Universitätsbibliothek Magdeburg
Universitätsbibliothek Mannheim
Universitätsbibliothek Regensburg
Université de Lorraine
Universiteit Leiden – Universitaire Bibliotheken Leiden
Universiteit van Amsterdam
University College London
University Library of Southern Denmark
University of Alberta Libraries
University of Auckland Library
University of Bath
University of Bedfordshire
University of Birmingham
University of Bristol
University of British Columbia
University of Calgary
University of California Berkeley
University of California Davis
University of California Irvine
University of California Los Angeles
University of California Merced
University of California Riverside
University of California San Diego
University of California San Francisco
University of California Santa Barbara
University of California Santa Cruz
University of Canterbury

University of Colorado Boulder
University of Colorado Denver - Auraria Library
University of Dundee
University of East Anglia
University of East London
University of Edinburgh
University of Glasgow
University of Groningen Library
University of Huddersfield
University of Hull
University of Illinois Urbana-Champaign
University of Iowa
University of Kansas Libraries
University of Kent
University of Leeds
University of Leicester
University of Lincoln
University of Liverpool
University of Manchester
University of Manitoba
University of Massachusetts, Amherst
University of Melbourne
University of Miami
University of Michigan
University of Minho
University of Montevallo
University of New England
University of New Hampshire
University of North Carolina at Chapel Hill
University of Northampton
University of Notre Dame
University of Nottingham
University of Oklahoma Libraries
University of Oregon
University of Oslo
University of Ottawa
University of Oxford
University of Pennsylvania Libraries
University of Portsmouth
University of Reading
University of Rhode Island
University of Roehampton

University of Salford
University of Saskatchewan
University of Scranton
University of Sheffield
University of South Alabama
University of South Australia
University of Southampton
University of Southern Queensland
University of St. Andrews
University of St. Gallen Library
University of Sussex
University of Sydney Library
University of Tartu Library
University of Tennessee Knoxville
University of Texas at Arlington Libraries
University of the Arts London
University of the South
University of the Sunshine Coast
University of the West of England
University of the West of Scotland
University of Toronto
University of Ulster
University of Utah
University of Virginia Library
University of Warwick
University of Washington Libraries
University of Western Australia
University of Westminster
University of Winchester
University of Wollongong Library
University of Wolverhampton
University of York
Uppsala University Library
Utrecht University Library
Victoria University of Wellington
Vienna University Library
Virginia Commonwealth University
Virginia Tech
Vrije Universiteit Amsterdam, Library
Washington State University
Washington University in St. Louis
Webster University

Wellcome Library
Wellesley College
Wesleyan University (CT)
Whitman College - Penrose Library
Williams College
Winthrop University
Worcester Polytechnic Institute
Wright State University
York St John University
Younes & Soraya Nazarian Library
Zentralbibliothek Zürich

Appendix 2: Funders and Contributors

Complete list of direct funders and in-kind contributions

Partners

CLOCKSS

HathiTrust

Jisc Collections

LYRASIS

Max Planck Society

New York Public Library

OAPEN

Portico

Key Supporters

Big Innovation Centre

British Library Trust

Open Society Foundation

Founding Libraries

Queensland University of Technology

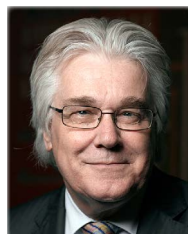
The University of Melbourne

The University of Western Australia

Appendix 3: Advisory Board



Dr Paul Ayris, Director of UCL Library Services, University College London; President of LIBER, Chair of the Board of SPARC Europe



Bas Savenije, General Director of the National Library of the Netherlands



Mark Bide, Chairman, Publishers Licensing Society



Professor Stuart M. Shieber, Welch Professor of Computer Science and Director, Office for Scholarly Communication, Harvard University



Professor Tom Cochrane, Emeritus Professor, Queensland University of Technology



Professor Peter Suber, Director of the Harvard Office for Scholarly Communication, Fellow at the Berkman Center for Internet and Society, Harvard University



Alex Holzman, Former Director, Temple University Press



Winston Tabb, Dean of University Libraries and Museums, Johns Hopkins University Director of Sheridan Libraries



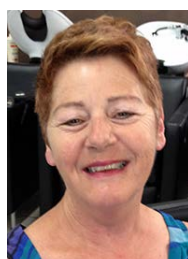
Dr Michael Jubb, Consultant, Research Information Network



Jan Velterop, former Managing Director, AKnowledge



Sue Polanka, Head, Reference and Instruction, Paul Laurence Dunbar Library, Wright State University



Dr Hazel Woodward, Director of Information Power and formerly University Librarian, Cranfield University



David Prosser, Executive Director, Research Libraries United Kingdom (RLUK)

Appendix 4: Board of Directors



Birgitte Andersen, CEO, Big Innovation Centre



Stephen Lloyd, Former Senior Partner, Bates Wells Braithwaite



Tom Cochrane, Emeritus Professor, Queensland University of Technology



Phil O'Neill, Former Vice President, Nokia



Shannon Edwards, Chief Executive Officer, Styloko



Frances Pinter, Chair and Executive Director, Knowledge Unlatched



Carol Jackson, Chief Operating Officer, Royal Society for the Encouragement of Arts



Michael Ryder, Former Diplomat, Foreign and Commonwealth Office



Adrian Laycock Formerly BNP Paribas, Trustee, Tomorrow's Company (up to November 2014)



Paul Stallard, Managing Director, Hurndall-Stallard Associates

Appendix 5: Library Steering Committee



Kurt De Belder, University Librarian,
Director Leiden University Libraries
& Leiden University Press
The Netherlands



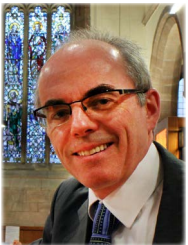
Judy Stokker, Deputy Vice-Chancellor
(Technology, Information and
Learning Support), Queensland
University of Technology, Australia



Elizabeth Kirk, Associate Librarian
for Information Resources,
Dartmouth College Library, USA



Jan Wilkinson, University
Librarian and Director of The John
Rylands Library, University of
Manchester, England



John MacColl, University Librarian
and Director of Library Services
University of St Andrews, Scotland



John Unsworth, Vice Provost,
University Librarian, Chief
Information Officer
Brandeis University, USA



Jim Mullins, Dean of Libraries,
Professor of Library Science, Purdue
University Libraries, USA



Winston Tabb, Dean of University
Libraries and Museums, Johns
Hopkins University, Director of
Sheridan Libraries, USA



Hildegard Schäffler, Head of Serials,
Licensing and Electronic Publishing
Department
Bavarian State Library, Germany

Appendix 6: Publisher Questionnaire

1. Would you like to set the Title Fee and if so, on what basis? i.e. What elements do you include in your origination costs?
2. What sort of a mark up would you consider reasonable as a contribution for your overheads?
3. Do you agree that by providing a discount on the premium product you'd avoid accusations of double dipping?
4. Would you be willing to make the total paid by a library that contributes to the Title Fee and buys a premium edition equal to or less than a non-member would pay for a premium edition? If so, by how much? (i.e. A = unlaunching cost, B = premium version, C = premium version price to non-member. In this case, $A+B < C$).
5. How far in advance of publication would you need to commit a title to KU?
6. Who in your company would be the person to liaise with on the details? e.g. metadata and platform issues.
7. What format would you be posting your free version and where?
8. What metadata are you able to provide? Can you provide ONIX and MARC? Or with whom should we talk to about this at your end?
9. What benefits do you see to your company from joining KU?
10. Would you be willing to place the KU logo on your copyright page?
11. KU is a Community Interest Company and will become sustainable through taking a cut or mark up on the Title Fee. What percentage sounds fair to you?
12. Some libraries are advancing funds and supporting the start up phase. Would you be willing to offer a special fee/discount for the first few titles?
13. What kind of a contract would you like with KU; a supplier's contract or a letter?
14. Would you be willing to publically endorse the Pilot? If so, could you write a couple of sentences for us?
15. We'll be providing a template document for publishers should they wish, e.g. addendums to author contracts. Are there any other areas you'd like materials from us?
16. Are there any "don'ts" that you can think of at this stage?
17. Payment terms – In the first instance, we'd like 90 days after the end of the quarter when the title goes live. Is that ok for now?
18. Are you ok with libraries holding the OA version? And would you be ok with aggregators and/or non-profits such as OAPEN hosting the OA version?
19. Are you able to supply libraries directly? If not, do you have any plans to do so in the future?
20. What can we do to make participation easier for you?

Appendix 7: Sample Publisher Metadata Request Form

title
sub_title
author publisher
affiliation
pub_place
pub_date
price
binding
pagination
Main Subject Area
subject
series level
geo_focus
language
pub_unlatch_cost_gbp
pub_unlatch_cost_eur
pub_unlatch_cost_usd

Appendix 8: Author Survey

Questionnaire for Pilot Collection Authors

Responses to the author survey can be read in the [‘Featured Authors’](#) section on the KU website.

1. What is the title of your book?
2. Why did you agree to allow your book to be included in the Knowledge Unlatched Pilot?
3. What are your hopes for your book, and do you think Open Access will play a role in achieving them?
4. What do your friends/colleagues think about your decision to allow your book to be made available for free under a CC licence?
5. Do you think that making your book available on an Open Access licence will increase its reach and impact?
6. Who would you most like to read your book and why? This may be a real person or a ‘type’ of person.
7. How do you think your dream reader might find your book?
8. Were you interested in Open Access before you became aware of the Knowledge Unlatched Pilot?
9. Any other comments?

Appendix 9: Pilot Prospectus

Knowledge Unlatched Project Prospectus: Pilot Collection

Creating a Path for Open Access E-books

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.
- A fully downloadable PDF version of all of the books in the Pilot Collection will be hosted and preserved by OAPEN and HathiTrust without an embargo and is DRM free.
- The Open Access version of Pilot Collection titles will be preserved by CLOCKSS.
- 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 organisation 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 Annex A (page 63) 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.

If at least 200 libraries pledge their support for the Pilot Collection, a fully downloadable PDF for each of the 28 titles will be made available on a Creative Commons licence via OAPEN and HathiTrust as soon as possible after publication.

Hosting and preservation of the Pilot Collection will be provided free by OAPEN and HathiTrust for the Pilot. CLOCKSS will also be providing free preservation for the Pilot Collection.

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 programme. 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 March 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 start-up costs for the KU Pilot are covered by grants and generous support from founding libraries. Organisations that have provided support to Knowledge Unlatched during its start-up 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.

4. Acquisition Model and Pricing

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

AVERAGE TITLE FEE	NUMBER OF TITLES	COST TO UNLATCH 28 TITLES
\$12,000	28	\$336,000

The price to unlash 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 e-book 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 recognised 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 recognising 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 28 February 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. UK libraries should pledge via the Jisc Collections website: <https://www.jisc-collections.ac.uk/Catalogue/Overview/index/1704>

At the end of the pledging period KU will evaluate the commitments from libraries and make a decision to either unlash the Pilot Collection or announce that there is insufficient participation to unlash titles. If titles will not be unlash, 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 licence and that permissions for third party materials have been obtained.

PLATFORM: OAPEN and HathiTrust will host the OA version of unattached titles without an embargo or DRM as a fully downloadable PDF.

PRESERVATION: All of the titles included in the Pilot Collection will be preserved by OAPEN, HathiTrust and CLOCKSS.

MARC: MARC records will be available from OAPEN. Links to a folder with MARC records will be included in the notification of unattached titles 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 and HathiTrust. 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 programme.
- Subject areas included within the KU programme.

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 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 the Pilot Collection 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 will take a leadership role in making new book content openly available.
- Librarians will have direct experience with the dynamics of OA e-book models.

- Librarians will have complimentary membership until January 2016.
- Librarians will be entitled to participate in governance guiding the organisation.

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 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.

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 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, 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 programme. 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 licences through its programme 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

Notes

The following amendments have been made to this version:

1. The deadline for the pledging period has been extended from 31 January 2014 to 28 February 2014.
2. From March 2014 onwards a modest tiered membership fee of no more than \$500 is anticipated – this was previously February 2014.

Annex A

PUBLISHER	AUTHOR	TITLE	TITLE FEES	DEDUCTION VALUE
Amsterdam University Press	Erik Jan Zürcher (Ed.)	Fighting for a Living	\$15,000	\$75
Bloomsbury Academic	James Tully	On Global Citizenship	\$10,000	\$50
Bloomsbury Academic	Matthew D. Johnson Keith B. 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	Alan H. Sommerstein Isabelle Christiane Torrance (Eds.)	Oaths and Swearing in Ancient Greece	\$12,000	\$60
De Gruyter	Zohar Segev	The World Jewish Congress During the Holocaust	\$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	David Sartorius	Ever Faithful	\$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
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	David G. Tompkins	Composing the Party Line	\$10,000	\$50
Purdue University Press	Eugene D. Coyle Richard A. Simmons	Understanding the Global Energy Crisis	\$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

Annex 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 28 February 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 (28 February 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 as fully downloadable PDFs via the OAPEN Library: <http://www.oapen.org/home> and via the HathiTrust Digital Library: <http://www.hathitrust.org>
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 optimised for import in Excel feeds will be included in the notification of unlatching sent to libraries.

References

- Adamson, B., 2011. ACU Research Net » Blog Archive » Open Access model for scholarly books proposed. ACU Research Net. Available at: <http://blogs.acu.edu.au/researchnet/2011/09/29/open-access-model-for-scholarly-books-proposed/> [Accessed December 5, 2014].
- Adema, J., 2010. Overview of Open Access Models for eBooks in the Humanities and Social Sciences. , pp.1–73.
- Adema, J. & Ferwerda, E., 2014. Publication Practices in Motion : The Benefits of Open Access Publishing for the Humanities P. Dávidházi, ed. New publication cultures in the humanities : Exploring the Paradigm Shift, pp.133–148. Available at: [file:///C:/Users/Ronald/Documents/OA Monographs/Publication Practices in Motion.pdf](file:///C:/Users/Ronald/Documents/OA%20Monographs/Publication%20Practices%20in%20Motion.pdf).
- Adema, J. & Rutten, P., 2010. Digital Monographs in the Humanities and Social Sciences: Report on User Needs, Available at: [http://project.oapen.org/images/documents/d315 user needs report.pdf](http://project.oapen.org/images/documents/d315_user_needs_report.pdf).
- Adema, J. & Schmidt, B., 2010. From service providers to content producers: new opportunities for libraries in collaborative open access book publishing. *New Review of Academic Librarianship*, 16(Suppl. 1), pp.28–43. Available at: <http://www.informaworld.com/smpp/1399711595-6349284/section?content=a928309305&fulltext=713240928>.
- Anon, 2013-Knowledge Unlatched pilot given HEFCE backing - HEFCE. Available at: <http://www.hefce.ac.uk/news/newsarchive/2013/news85263.html> [Accessed December 6, 2014a].
- Anon, 2014a. Developments in OA monograph publishing | Australian Open Access Support Group on WordPress.com. Available at: <http://aoasg.org.au/oa-monographs-developments/> [Accessed November 27, 2014].
- Anon, 2012. Exploratory Seminars | Radcliffe Institute for Advanced Study at Harvard University. Available at: <https://www.radcliffe.harvard.edu/exploratory-seminars/open-access-scholarly-books-sustainable-funding-model-21st-century> [Accessed November 27, 2014].
- Anon, Jisc Collections - The trusted experts in negotiating, procuring, and licensing digital content for libraries. Available at: <https://www.jisc-collections.ac.uk/News/Knowledge-Unlatched---Good-news-for-Higher-Education-Institutions-in-Northern-Ireland/> [Accessed December 6, 2014b].
- Anon, 2014b. Knowledge Unlatched - Scottish Universities to benefit from a grant towards participation feew. Available at: <http://www.jisc-collections.ac.uk/News/Knowledge-Unlatched---Reduction-in-Fees-for-Higher-Education-Institutions-in-Scotland/> [Accessed December 6, 2014].
- Anon, 2014c. Knowledge Unlatched Governance Strategy Document. , 44(02), pp.1–4. Available at: <http://collections.knowledgeunlatched.org/wp-content/uploads/2013/09/KUGovernanceStrategy8Oct2013v2.pdf>.
- Anon, 2013. Press Releases – Knowledge Unlatched. Available at: <http://www.knowledgeunlatched.org/press-release/> [Accessed December 6, 2014].
- Bunz, M., 2014. “The Returned”: on the future of monographic books. *Insights: the UKSG journal*, 27(0), pp.30–34. Available at: <http://dx.doi.org/10.1629/2048-7754.122>.
- Crow, R., 2012. A Rational System for Funding Scholarly Monographs A white paper prepared for the AAU-ARL Task Force on Scholarly Communications, Flint Hill. Available at: <http://bit.ly/1ApmBPF>.
- Finch, D.J. et al., 2013. Accessibility, sustainability, excellence: How to expand access to research publications. Executive summary. *International Microbiology*, 16(2), pp.125–132. Available at: <http://www.mendeley.com/catalog/accessibility-sustainability-excellence-expand-access-research-publications-executive-summary/> [Accessed December 6, 2014].
- Gasson, C., 2004. The Economics of Academic Publishing - Royal Economic Society. *Royal Economic Society Newsletter*. Available at: <http://www.res.org.uk/view/art2Apr04Features2.html> [Accessed November 27, 2014].
- Hargreaves, I., 2011. Digital Opportunity: A Review of Intellectual Property and Growth. London: UK Government Department for Business, Innovation & Skills. Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/32563/ipreview-finalreport.pdf.

- Hartley, J. & Potts, J., 2014. *Cultural Science: A Natural History of Stories, Demes, Knowledge and Innovation*, London: Bloomsbury.
- Lessig, L., 2004. *Free Culture*, New York, New York, USA: Penguin. Available at: <http://www.free-culture.cc/>.
- Mandler, P., 2014. Open access: a perspective from the humanities. *Insights: the UKSG journal*, 27(2). Available at: <http://uksg.metapress.com/content/r4l93570325h6144/?p=7aa5b00acdf54ce9b78953919c57259e&pi=0>.
- Montgomery, L., 2013. *Knowledge Unlatched Open Access and Scholarly Books: Workshop Report*, London. Available at: <http://www.knowledgeunlatched.org/2013/09/open-access-and-scholarly-books-workshop-report/>.
- Montgomery, L. & Potts, J., 2009. Does weaker copyright mean stronger creative industries? Some lessons from China. *Creative Industries Journal*, 1(3), pp.245–261. Available at: http://www.tandfonline.com/doi/abs/10.1386/cij.1.3.245_1 [Accessed December 6, 2014].
- OAPEN Consortium, 2011. *OAPEN Final Report*, Amsterdam. Available at: http://project.oapen.org/images/documents/oapen_final_public_report.pdf.
- OAPEN-UK, 2014. *Researcher Survey 2014*, London. Available at: <http://oapen-uk.jiscebooks.org/research-findings/researcher-survey-2014/>.
- Polanka, S., 2010. *Charleston Conference – Funding of Open Access Books | No Shelf Required. No Shelf Required*. Available at: <http://www.libraries.wright.edu/noshelfrequired/2010/11/06/charleston-conference-funding-of-open-access-books/> [Accessed December 5, 2014].
- Priem, J. et al., 2010. *Altmetrics: a manifesto*. Available at: <http://altmetrics.org/manifesto/> [Accessed December 5, 2014].
- ROARMAP, 2014. *About the Repository - ROARMAP*. Available at: <http://roarmap.eprints.org/> [Accessed November 26, 2014].
- Snijder, R., 2013a. A higher impact for open access monographs: disseminating through OAPEN and DOAB at AUP. *Insights: the UKSG journal*, 26(1), pp.55–59. Available at: <http://uksg.metapress.com/content/mw19006142432562/?genre=article&id=doi:10.1629/2048-7754.26.1.55>.
- Snijder, R., 2013b. Do developing countries profit from free books?: Discovery and online usage in developed and developing countries compared. *Journal of Electronic Publishing (JEP)*, 16(1). Available at: <http://quod.lib.umich.edu/jjep/3336451.0016.103?view=text>.
- Snijder, R., 2014. *The Influence of Open Access on Monograph Sales : The experience at Amsterdam University Press*. *LOGOS: The Journal of the World Book Community*, 25(3), pp.13–23. Available at: [file:///C:/Users/Ronald/Documents/OA Monographs/The Influence of Open Access on monograph sales.pdf](file:///C:/Users/Ronald/Documents/OA%20Monographs/The%20Influence%20of%20Open%20Access%20on%20monograph%20sales.pdf).
- Steele, C., 2008. *Scholarly Monograph Publishing in the 21st Century: The Future More Than Ever Should Be an Open Book*. *Journal of Electronic Publishing*, 11(2). Available at: <http://hdl.handle.net/2027/spo.3336451.0011.201> [Accessed May 20, 2012].
- Suzor, N., 2015. Free-riding, cooperation, and 'peaceful revolutions' in copyright. *Harvard Journal of Law and Technology*, pp.0–74. Available at: <http://eprints.qut.edu.au/70343/> [Accessed December 5, 2014].
- Wasserman, M., 1998. Reprint: How Much Does It Cost to Publish A Monograph and Why? *Journal of Electronic Publishing (JEP)*, 4(1). Available at: <http://quod.lib.umich.edu/cgi/t/text/idx/jjep/3336451.0004.104?rgn=main;view=fulltext> [Accessed April 10, 2013].
- Williams, P. et al., 2009. The role and future of the monograph in arts and humanities research. *Aslib Proceedings*, 61(1), pp.67–82. Available at: <http://www.emeraldinsight.com/doi/abs/10.1108/00012530910932294> [Accessed November 26, 2014].
- Willinsky, J., 2006. *The Access Principle: The Case for Open Access to Research and Scholarship*, Cambridge, Mass.: MIT Press. Available at: <http://arizona.openrepository.com/arizona/handle/10150/106529> [Accessed December 6, 2014].
- Willinsky, J., 2009. Toward the Design of an Open Monograph Press. *The Journal of Electronic Publishing*, 12(1). Available at: <http://quod.lib.umich.edu/jjep/3336451.0012.103?view=text;rgn=main> [Accessed November 26, 2014].