Exploring Open Content Models

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Today’s Agenda

• Some background
• Overview of revenue models and open programs
• Normalizing Open Acquisitions

A few disclaimers...
• I will not be talking about Transformative Agreements today.
  • ESAC https://esac-initiative.org/
• I am a librarian, not a businesswoman.
  • Goal = Holistic view
• The webinar recording and presentation slides will be shared.
First, some background...
Content & Scholarly Communication Initiatives Division

Celeste Feather  Jill Grogg  Paulo Gujilde  Sharla Lair  Stephanie Moreland  Sheila Rabun  Hannah Rosen
The LYRASIS Content & Scholarly Communication Initiatives Division supports Open programs that align with our core principles.

Read more here: https://lyrasisnow.org/lyrasis-now-csci-values-and-principles/
A Multi-Pronged Approach

We need many approaches to support the diversity of scholarship.

We focus on programs that create opportunities for diverse libraries and institutions to engage.

We seek transformation through a variety of models.

Open Books
- Directory of Open Access Books/OAPEN Library
- Knowledge Unlatched Book Collections
- LYRASIS UN Sustainable Development Goals OA Books Fund
- Opening the Future
  - Central European University Press
  - Liverpool University Press
- punctum books
- SCOAP3 for Books
- University of Michigan Press Fund to Mission

Open Journals
- Annual Reviews Subscribe to Open
- Demography
- Knowledge Unlatched Journal Collections
- Open Access Community Investment Program (OACIP)
- Open Library of Humanities
- SCOAP3

Open Research Infrastructure Services
- IRUS – US (Institutional Repository Usage Statistics)
- LYRASIS DataCite US Community (Digital Object Identifiers)
- ORCID US Consortium (Researcher IDs)
Next, let’s talk about models...
Dominant Revenue Models for Open

**Earned Revenue Models**
- Advertising
- Article/Book Processing Charge
- Cross Subsidies
- Crowdfunding from Individuals
- Embargoed/Delayed OA
- Endowments
- Fundraising
- Hybrid (digital-only freemium)
- Hybrid (print)
- Third-Party Licensing

**Embedded Institutional Support**
- Library-Based Publishing
- Subsidy Model

**Third-Party Subsidies**
- Grants
- Liberation

**Consortial Models**
- Library Crowdfunding
- Membership Fees
- Shared Infrastructure
- Subscribe-to-Open

Earned Revenue OA Models

- **Advertising**
  - $ from ads

- **Article or Book Processing Charge**
  - $ from author

- **Cross Subsidies**
  - $ from commercial activities

- **Crowdfunding from Individuals**
  - $ from readers/individual stakeholders (GoFundMe)

- **Embargoed/Delayed OA**
  - Paywalled for fixed time
  - Paywalled until fully funded

- **Endowments**
  - $ from annual interest

- **Fundraising (donations and grants)**
  - $ from individuals or foundations

- **Hybrid (digital-only freemium)**
  - $ from higher utility digital formats

- **Hybrid (print)**
  - $ from print version

- **Third-Party Licensing**
  - $ from separate licenses, i.e. non-OA material

Embedded Institutional Support

Library-based publishing
- $ from university library budget
- Shared resources (in-kind and financial)

Subsidy Model
- $ from institution, faculty, research center, and/or library
- University Press as a separate entity

Third-Party Subsidies

Grants
- $ from learned society, not-for-profit organization, government agency, or foundation

Liberation
- $ from sponsors (foundations or government agencies)

### Consortial or Collaborative Models

#### Organizational Crowdfunding
- $ from libraries, institutions, departments
- AKA Sponsorship or Diamond OA
  - [OA Diamond Journals Study](https://zenodo.org/record/4011836)
  - [Action Plan for OA Diamond Journals](https://zenodo.org/record/4011836)

#### Membership Fees
- $ from libraries
- Receive membership benefits

#### Shared Infrastructure
- $ from users or beneficiaries of shared infrastructure

#### Subscribe-to-Open
- $ from libraries
- Based on existing funding communities
  - S2O Community of Practice

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# OA Books Revenue Models

<table>
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# OA Books Revenue Models

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What it boils down to

One-Time Spend
Libraries pay the full cost of publishing an OA book or article out of library funds.
Example business models: Publication Fees, also referred to as Article Processing Charges (APCs), Book Processing Charges (BPCs) or Subvention Grants
Example program: TOME Initiative, SCOAP³ for Books

Ongoing Spend
Libraries pay an ongoing fee, usually less than any APCs or BPCs
Example business models: Membership, Subscribe to Open, Collective/Collaborative Funding, Diamond OA
Example OA program: Opening the Future, Open Library of Humanities, Annual Reviews
What is a “successful” revenue model in open?

• It is the model that sustainably supports the publisher’s mission.
  • Sustainable: Covers costs plus a healthy pool of funds for contingency or innovation investment
    • It isn’t enough to just cover publishing costs
  • Equitable and Inclusive: Allows for all funding stakeholders (all types and budget sizes) to participate with the least amount of barriers as possible
    • Allows for a larger funding community to support a program

• Why don’t all publishers flip to open?
  • Participate!
The programs...
The Universe of OA Programs Seeking Library Funding...that I could find

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<th>OA Journal Programs</th>
<th>OA Book Programs</th>
<th>Open Infrastructure Programs</th>
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<td>• Amsterdam University Press (Subscribe to Open)</td>
<td>• Central European University Press Opening the Future (Subscribe to Open)</td>
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<td>• Annual Reviews (Subscribe to Open)</td>
<td>• Cambridge University Press Flip it Open (Embargoed/Delayed OA)</td>
<td>• Directory of Open Access Journals (DOAJ) (Membership)</td>
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<td>• Berghahn Open Anthro (Subscribe to Open)</td>
<td>• De Gruyter OA Book Transformation Pilot (Library Crowdfunding)</td>
<td>• Knowledge Unlatched Open Infrastructure (Membership/Subscription)</td>
</tr>
<tr>
<td>• Brepols Centaurus, Journal of the European Society for the History of Science (Subscribe to Open)</td>
<td>• JSTOR OA Pilot for Latin American Monographs (Library Crowdfunding)</td>
<td>• OA Switchboard (Subscription)</td>
</tr>
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<td>• De Gruyter (Subscribe to Open)</td>
<td>• Knowledge Unlatched (Library Crowdfunding/Memberships)</td>
<td>• OAPEN Library (Membership)</td>
</tr>
<tr>
<td>• Demography (Mixed Model – Small publishing fee + collective funding)</td>
<td>• Language Science Press (Membership)</td>
<td>• SCOSS (Membership)</td>
</tr>
<tr>
<td>• Duncker &amp; Humblot (Subscribe to Open)</td>
<td>• Liverpool University Press Opening the Future (Subscribe to Open)</td>
<td>• Luminos (Membership)</td>
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<tr>
<td>• EDP Sciences (Subscribe to Open)</td>
<td>• Lever Press (Membership)</td>
<td>• LYRASIS United Nations Sustainable Development Goals Fund (Library Crowdfunding)</td>
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<td>• EMS Press (Subscribe to Open)</td>
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<td>• MIT Press Direct to Open (Subscribe to Open)</td>
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<td>• Free Journals Network (Diamond OA)</td>
<td>• LYRASIS Open Access Community Investment Program (Diamond OA)</td>
<td>• Open Book Collective (Membership)</td>
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<td>• IWA Publishing (Subscribe to Open)</td>
<td>• Open Library of Humanities (Membership)</td>
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<td>• Practical Action Publishing (Subscribe to Open)</td>
<td>• SCOAP3 Books (Crowdfunding)</td>
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<td>• LYRASIS Open Access Community Investment Program (Diamond OA)</td>
<td>• Toward an Open Monograph Ecosystem (TOME) (Book Processing Charge)</td>
<td>• University of Michigan Press Fund to Mission (Subscribe to Open)</td>
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Open Program Hubs

- LYRASIS
  - [https://www.lyrasis.org/content/Pages/Open-Access-Programs.aspx](https://www.lyrasis.org/content/Pages/Open-Access-Programs.aspx)

- Jisc
  - [https://www.jisc.ac.uk/content/open-access/our-role](https://www.jisc.ac.uk/content/open-access/our-role)

- Knowledge Unlatched
  - [https://knowledgeunlatched.org/](https://knowledgeunlatched.org/)

- SCOSS
  - [https://scoss.org/](https://scoss.org/)

- Peer libraries
  - KU Leuven
  - University of Kansas
OA Programs at LYRASIS

• All are non-APC/BPC Consortial or Collaborative Models
• Books, Journals and Open Infrastructure
• Most require ongoing spend
• Some require license agreements
Consortial or Collaborative Models
punctum books
Supporting Library Membership Program

• An open access and print-on-demand independent publisher

• Dedicated to radically creative modes of intellectual inquiry of high-quality academic books in the Humanities, Social Sciences

• Provides an opportunity for the library community to support:
  • The publication of at least 35 high-quality OA books with no publication fees imposed upon authors; and
  • The collaborative development and sustainable maintenance of open-source and community-owned infrastructure for open-access books in the HSS.

• Library-friendly, tiered pricing; Multi-year pricing available; Ongoing spend

• No license; Participation agreement available

Learn More
DOAB/OAPEN Membership

• Global infrastructure services for OA scholarly books
  • DOAB aggregates metadata for over 50,000 peer-reviewed OA books and chapters from over 560 publishers worldwide in 89 languages
  • The OAPEN Library hosts over 20,000 peer-reviewed OA books and generates more than 11 million downloads annually.

• Benefits include
  • Free hosting, distribution and preservation service for affiliated publishing entities, i.e. university presses
  • Metadata integration
  • Usage Reports
  • New Title Alerts, and more...

• Library-friendly, tiered pricing; Multi-year pricing available; Ongoing spend
• No license; Participation agreement available

Learn More
Consortial or Collaborative Models
Annual Reviews
Subscribe to Open

- Annual Reviews successfully launched their *Subscribe to Open* initiative in 2020 and made 5 of their 2020 journals OA. There are now 8 journals in the S2O program.
- Institutions subscribe in the normal fashion and, if enough revenue is collected, the journal is published OA.
- Allows institutions to easily use their collections budget to support open without hassle.
- Library-friendly pricing; ongoing spend.
- A license is required to participate.

Learn More
• OA publishing model gives Opening the Future members access to a selection of backlist, DRM free and with perpetual access to this backlist collection after three years of participation.

• The membership revenue is used to make newly-published books openly accessible to anyone.

• Library-friendly tiered pricing. Three-year commitment is required; The three-year commitment can be paid upfront or invoiced annually.

• License agreement required; registered with SERU.

Learn More
University of Michigan Press Fund to Mission

**Mission Driven**: The program is called “Fund to Mission” because it is designed to allow a university press to achieve its mission-related goals of maximizing access to quality information while sustaining its operations.

**Transformational**: UMP aims to convert at least 75% of U-M Press monographs (for research and teaching) to OA by the end of 2023, without any author ever having to pay.

**Multiple Funding Stakeholders**: We will achieve stable funding for this monograph program (at least 80 OA books/year) from three sources: (1) the community of supporting libraries; (2) author-side funding (where possible); and (3) the U-M Provost’s office.

Library-friendly, tiered pricing; Multi-year pricing available; Ongoing spend

License agreement required to participate

Learn More
Consortial or Collaborative Models

Organizational Crowdfunding/Diamond OA
SCOAP$^3$ for Journals

- High energy physics articles
- Multiple publishers
- Credits off subscription costs redirected to OA
- Global community
- 95% of relevant articles now published in OA

Learn More
SCOAP³ Open Physics Books Fund

- Key classic works
- Recently published titles
- Selected by researchers and librarians
- Crowdfunded by libraries
- 100 books made OA in 2021
- More to be converted in 2022 if funds are available

Learn More
Knowledge Unlatched Programs

• Content available:
  • KU Select (Humanities and Social Sciences) OA books
  • Focus Collection
  • Subject Collections
  • Spotlight Collections
  • OA journals
  • Open Infrastructure

• Support crowdfunding models and recently, Subscribe to Open for journals.

Learn More
• No fees to authors; provides a path for libraries to support humanities-focused OA peer-reviewed journal content
• Libraries pay a small yearly contribution, aka a voluntary subscription to support OLH
• OLH also supports open infrastructure, hosting materials on their open-source journal platform Janeway
• Library-friendly, tiered pricing
• No license; Participation agreement available

Learn More
LYRASIS UN SDG OA Books Fund

- United Nations Sustainable Development Goals (UN SDGs)
- Currently, Springer Nature, possibly other publishers in future
- Supporting Open Access books in the following goals:
  - SDG5: Gender and Equality
  - SDG9: Industry, Innovation, and Infrastructure
  - SDG12: Responsible Consumption and Production
  - SDG13: Climate Change
  - SDG16: Peace, Justice, and Strong Institutions
- Pricing is whatever you want to contribute
- No license; Participation agreement available

Learn More
Demography

- Recently left a commercial publisher, now published open access by Duke University Press
- Leader in the field of population studies
- Seeking the support of stakeholders - demographic research centers and departments, foundations, consortia, and libraries
- Library-friendly pricing; ongoing spend
- No license required to participate

Learn more
LYRASIS
Open Access Community Investment Program (OACIP)

A community-driven framework that facilitates multiple stakeholders (including funders, institutions, libraries, authors, and editors) to efficiently and strategically evaluate and collectively fund diamond open access content initiatives.

Recently recommended for investment by Budapest Open Access Initiative (BOAI) 20th Anniversary Recommendations. (3.13)

Participating Diamond OA Journals:
• Algebraic Combinatorics
• History of Media Studies
• Journal of Librarianship and Scholarly Communication

Library-friendly, tiered pricing; Ongoing spend or One-time spend; Five-year commitments can be paid upfront or annually.

No license required to participate; Participation agreement available

Learn More
Normalizing “OA acquisitions”...
Library Participation in Open

DRAFTING PRINCIPLES AND VALUES TO GUIDE INVESTMENT DECISIONS

BUILDING COMMUNITY

UNBUNDLING/DISINVESTING => REINVESTING IN OPEN
Shared Values Resources

### Principles & Values Statements

- MIT Libraries Framework for Publisher Contracts
- Iowa State University Libraries Principles & Strategies to Support Openness
- KU Leuven Fair Open Access
- NERL Demands a Better Deal
- GWLA Licensing Principles
- BTAA The Big Collection

### Tools for Operationalizing Values

- NGLP Values and Principles Framework and Assessment Checklist
- SPARC-COAR Good Practice Principles
- University of California Scholarly Transformation Advice and Review (STAR) Team Criteria Summary
- LYRASIS Open Access Community Investment Program
What is the acquisition or procurement process for participating in OA programs?

Normalizing OA Acquisitions

- Transactional Experience - You get a “thing”
  - Example: Access to paywalled content
- Procurement-Appropriate Language
  - Examples: Membership, contribution, support, ongoing spend, one-time spend
- Agreements
  - Participation agreements and license agreements
  - ILL, DRM-free, scholarly sharing, etc.
Given this is open access, what other criteria, beyond what we use to evaluate paywalled content, should we consider using to evaluate OA programs?

- Collection Development Procedures/Policies
- Local value: citation data; author and editorial board affiliation; Affordable Learning Initiatives
- High quality use: Course adoption (Open Syllabus Project)
- Principles and Values Statements
- Tools for Operationalizing Values and Principles Statements
The money system is a game of musical chairs, a mad scramble in which some are necessarily left out. It is an outgrowth of our attitude of scarcity. But we can’t just change our attitudes about money; we must change money too, which after all is the embodiment of our attitudes. - Charles Eisenstein
Act! Put your money energy where your mission is

- Establish principles and values as well as mechanisms and tools for operationalizing them
- Invest in your mission FIRST
  - Consider creating a budget line specifically for investing in new OA programs
    - Start small
  - Diversify and balance your investments
- Look for opportunities to invest in publishers that align with your mission
  - Keywords: Academic-led, Scholar-led, Diamond OA, Collective/Collaborative Funding, Membership, Subscribe to Open, Native/Pure OA
Time for Questions
Want to learn more?

• LYRASIS Open Access Programs - https://www.lyrasis.org/content/Pages/Open-Access-Programs.aspx

• Subscribe to LYRopen - http://lyralists.lyrasis.org/mailman/listinfo/lyropen

• Open Access Directory - http://oad.simmons.edu/oadwiki/Main_Page

• Keep up with Open-related news
  • Open Access Tracking Project Feed - http://tagteam.harvard.edu/remix/oatp/items
  • Open Access Tracking Project Twitter - https://twitter.com/oatp
Thank you!

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