



OAPEN

Overview of Open Access Models for eBooks in the Humanities and Social Sciences

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¹ OJ L 79, 24.3.2005, p. 1.

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2 Summary

Open Access book publishing in the Humanities and Social Sciences (HSS) is on the rise. Initiatives are emerging on an international scale, ranging from providing Open Access to single titles to full-fledged Open Access book publishers. Most of these efforts, however, are still in the experimental phase, testing and developing new publishing and business models as well as tracking customer behavior both online and offline. Nonetheless, some trends and patterns are discernable.

This research has looked at a variety of initiatives and specifically at their publishing models, business models and publishing processes. Within these divisions, special attention has been paid to the nature of the content, the level of Open Access provided, the peer review and copyright policies and, finally, the strategies of collaboration. The Open Access book publishing initiatives analyzed in this report have been classified according to their publishing models, they have thus been categorized into commercial publishers, presses established by societies or academies, presses established by libraries, library-university collaborations, university presses, presses established by academics and press-commercial publisher partnerships.

Although Open Access book publishing is still in the start-up phase, the steady increase in experiments reflects a need for new (sustainable) business models in the field of HSS monograph publishing and greater experimentation with digital monographs. The reasons given for choosing Open Access book publishing range from missionary motives (opening up the whole of scholarship to a broader, international public whilst at the same time battling the negative perceptions that still beleaguer Open Access publications) to economic motives (easier and cheaper to experiment with digital techniques, resources and cost-sharing in strategic partnerships, saving the monograph from a print-based model that is no longer sustainable). The characteristics particular to the monograph, and to monograph publishing and funding, create their own challenges, which these experiments hope to resolve.

A few clear patterns emerge when we look at the collection of initiatives described in this report. First of all, the business models used are very straightforward, but also quite eclectic. Almost all of the experiments depend (substantially) on some kind of funding (internal, external, collaborative, project-based, structural, etc.). Moreover, they all hope to profit monetarily from the so-called hybrid model, offering the online version of the monograph for free in Open Access and charging a fee for the printed version. The eclectic nature of the models is due to the different kinds of funding they receive, but also to the fact that the hybrid model may not earn sufficient revenues in the long term. This has led to a variety of experiments with services that are either free or paid for on top of the available online content.

When it comes to the publishing model used, new forms of on- and off-campus collaborations and partnerships have become quite common in Open Access book

publishing. The rise of the so-called library-press collaboration, the establishment or revamping of a new institutional player, the scholarly communications or publishing office, and the rising and ongoing significance of academics and academic departments (including ICT) in Open Access initiatives is characteristic of this development. These kinds of university-based cross-collaborations are very influential when it comes to the business models used, serving as good examples of efficient task allocation and resource and infrastructure sharing. But, besides these innovative publishing models, more traditional publishing models will also continue to survive in Open Access book publishing.

In the area of the quality control and peer review of Open Access books most of the initiatives insist on rigorous (double-blind) peer reviews and quality standards, thus attempting to counter the perception that Open Access publications are inherently of a lower quality. Alternative forms of quality appraisal, based on more open and alternative forms of peer review and utilizing download and usage statistics and bibliometrics are also being tried out. Some of these initiatives are very transparent about peer review policies, while others don't even mention their policies.

The publishing process in Open Access book publishing has benefited significantly from the rise of POD and digital printing techniques. Moreover, both the digital and print workflows are often based on shared infrastructures, depending, of course, on the publishing model used. These workflows are frequently based on the use of open source production and management environments. The large variety of current copyright policies reflects the uncertainty, the lack of information, as well as the different opinions regarding what actually constitutes an Open Access publication, never mind what is actually permitted under an Open Access copyright policy. All in all, there is still a great deal of trepidation among (Open Access book) publishers regarding the use of most open copyright licenses that are based on allowing derivative works and commercial re-use.

The sustainability of these initiatives and experiments is not the major focus of this report, because of their experimental status, and the uncertainty regarding what actually determines a sustainable business model (and whether we should be focusing on the sustainability of individual models or on the sustainability of the publishing system as a whole). One could say that, not unlike in a print-based model, (some kind of) funding remains essential. The pluralistic strategy that characterizes Open Access book publishing in the HSS, which is based on subsidies and institutional and government funding, and revenues from print sales and additional services, is not that different from the current printed book model. Funding has always been part of HSS book publishing and will probably remain a necessary part of (most) Open Access business models. A complementary approach, which considers publishing as an integral part of the costs of the research process itself may thus be necessary to make Open Access book publishing in the HSS sustainable.

3 Introduction

This report provides an overview of publishers currently experimenting with Open Access books in the HSS. It describes their particular publishing models and the ways they each strive to find sufficient resources and sales revenues. Based on this overview, we offer a short analysis of our findings, summarizing the main characteristics of present Open Access book experiments and reflecting on the funding opportunities and revenue schemes available for future Open Access book experiments and initiatives in HSS.

3.1 Methods

Information on the different Open Access book publishing initiatives and experiments has been collected by using the available online resources about these initiatives: publishers' Web sites, press releases, (scholarly) articles, presentations and reports, and reviews of the different experiments and initiatives. We have chosen this method to compile a quick overview of the current initiatives. This overview will then serve as the basis for a more in-depth study of the initiatives that we have deemed to be the most promising, interesting or exemplary in their field/segment. We will study a few of these initiatives more closely (as case studies), to gather additional information about their goals, views, plans and experiences.

An overview of Open Access book publishing initiatives based on ongoing experiments can only offer a snapshot of the current movement's rapid development. Moreover, research based on available online information is bound to overlook some of the specific details of certain models, processes and policies, especially when the full details are not available via publishers' Web sites or other online resources. Therefore, this report will not be able to give a complete overview of all of the elements we aim to cover, as one will notice in the scheme found in the annex, which gives an overview of the basic characteristics of the various initiatives. A lot of essential information pertaining to specific initiatives remains unavailable in this scheme. Thus, this report will necessarily be incomplete and already partially outdated upon publication. To achieve a more up-to-date and complete overview, an Open Access resources page has been set up as part of the OAPEN project at: www.oapen.org/resources_page.asp, which will evolve into a moderated wiki-environment shortly after publication of this report. Feedback and amendments to the cases described in this report, as well as other or newer experiments can then be added via the wiki. We hope the wiki, for which this report will serve as a basis, will emerge as a valuable resource that is maintained and updated by the community.

One of the main goals of this study has been to inform the OAPEN partners about (other) current Open Access book publishing initiatives. In order to prevent claim of bias in our descriptions, the OAPEN partner presses have not been listed among the case studies in this report. We do not feel this will have a negative impact on the overall analysis of this

report, where examples similar or identical to the publishing and business models used by the OAPEN partners are represented in our overview. Case studies of the OAPEN partners will, however, be added to the wiki at a later stage.

4 Aspects of Open Access Book Publishing Initiatives

4.1 Introduction

Open Access monograph publishing, although still in its infancy, has existed for over a decade. In 1996, the National Academies Press began experimenting with publishing its books for free at its Web site, while, at the same time, charging a fee for the corresponding print editions. However, for several reasons, there has been a steady increase in the number of presses and publishers experimenting with Open Access monograph publishing over the past few years:

1. The rise and success of Open Access journals in the Scientific and Biomedical fields has begun to trickle down to the Humanities and Social Sciences, which promises similar benefits in access and outreach for the HSS. This will open up the whole of scholarly communication to Open Access, not only research confined in articles.
2. It has become easier for publishers to experiment with digital publishing models with the advent of digital printing techniques and Open Source software for process management and publishing (such as PKP's Open Journal Systems (OJS) or the forthcoming Open Monograph Publishing OMP).
3. The feeling in the HSS book-publishing field is increasingly that the traditional book-publishing model is no longer sustainable due to declining print sales per title and relatively small sales revenues on e-book titles. This means that a new approach is necessary to both ensure the publication of a rich variety of academic books and to improve their accessibility and dissemination.

The goal of this report is to give an overview of the different experiments and initiatives that are currently implementing Open Access book publishing models. We are mainly interested in analyzing their publishing models, their business approaches and funding strategies, their integration of Open Access, and ultimately, their collaboration strategies.

4.2 Publishing and Business Models

Publishers with a systematic or experimental approach to Open Access have to define three general aspects of their operations: the publishing model, the business model and the publishing process itself.

The Publishing Model looks at the different stakeholders in the publishing value chain; (for instance authors, publishers, libraries, universities, academies, societies and funding agencies); their mutual relationships and the different roles they play; and their (collaborative) involvement in publishing activities. The most common publishing

models in this respect are the commercial (for-profit) publisher and the (not-for-profit) university press (mostly in the form of a collaboration between a university and a press). In the digital age, however, other publishing models have rapidly emerged and become more common, such as university press/library collaborations, presses established by academics, by libraries, by academies, or by societies, or (almost) any other combination of stakeholders in the value chain. These different publishing models are mostly not new, but have increased due to recent digital developments, which have made it easier for (other) players in or outside of the university system to assume publishing activities. The publishing model thus looks at which parties (or combinations of parties) in the publishing value chain fulfill the functions that are perceived as necessary to be in the business of ‘publishing’ (or of being ‘a publisher’). It represents the possible modes of cooperation between the various stakeholders in the Publishing Process.

The Business Model, on the other hand, considers which funding or other income mechanisms are used to (fully or partly) pay for the publishing costs, or, in other words, to sustain the publishing process. Depending on the publishing model used, funds can be raised both internally (from within the structure of the publishing model) and externally, from the sharing of resources (also human resources, infrastructures, etc.) between different stakeholders, from grants, subsidies, sponsorships or endowments, additional services or value-added content, the sale of print and or (added value) electronic editions, cross-subsidizing etc. In most cases, the business model will consist of a combination of the revenue models mentioned above.² Publishing models can use a variety of business models to recover their costs in this respect and vice versa.

The Publishing Process looks at publications from the publishing production chain angle (from content delivery to editorial/typesetting to dissemination/access, etc.). This includes the type of (digital) workflow that is used, the kind of formats that are supported, the kind of print process used (offset, digital printing, POD etc.), the nature of the copyright policies, the kind of platforms used to present and disseminate both digital and print content, etc. We will also look at the arrangement of the peer review process as an essential element of the publishing process.

The question of sustainability, however, will remain outside the scope of this report for two reasons: One is that the current initiatives are still in an experimental stage, and thus it is still difficult to predict whether they will become sustainable in the long run. There is currently only very little data available. Two is the difficulty at defining the concept itself. Mary Waltham approaches this question by defining the key requirements for a society journal business model to be financially sustainable as:

*covering costs and returning a modest surplus to re-invest in innovation and ongoing support structures such as new content and functionality, and archiving of existing content.*³

² Raym Crow, *Campus-based publishing partnerships: A guide to critical issues*, SPARC (2009) 2.

³ Mary Waltham, JISC: *Learned Society Open Access Business Models* (June 2005) 3.

According to Waltham, the Open Access journal model is often construed as an author-fee model (this is Waltham's assumption, although most Open Access journals charge no fees).⁴ This means that it is unlikely that it meets all of these needs. However, sustainability very much depends on a specific context in which a model is considered viable. Is a model sustainable if it is profitable or breaks even? Or when its calculated losses are covered? Does sustainability mean self-sustainability or can it also be sustainable if it relies on funding? Different models might thus be sustainable (or unsustainable) in different contexts, depending on the goals (or the business plan) of a specific publisher. But, the publishers in this overview operate in a variety of contexts with their own goals, which makes it difficult to determine whether their business models are 'sustainable' in a more general sense for other publishers as well.

Moreover, most of the initiatives are still in an experimental stage, and it is thus hard to predict whether they will be sustainable in the long run. Many publishers are gathering data on their experiments (sales figures of printed editions, download figures etc.). But not all of the involved initiatives track their developments. Furthermore, not all of the publishers have made these data publicly available or even intend to do so in the future. Moreover, especially with Open Access book publishing experiments, it is very hard to establish what would be the possible cost savings of specific business models versus the perceived benefits of new models for society as a whole.⁵ Thus, the question remains whether we want to focus on the sustainability of a specific business model or on the sustainability of the system of scholarly communication as a whole.

The sustainability of these models is also a concern for the OAPEN project, which aims to provide a common platform for Open Access books with corresponding services for end-users and publishers. In the spring of 2010 we will release a 'Best Practices and Recommendations Report' combining the overview of possible publishing models and funding mechanisms, as presented in this report, with the results from our earlier released 'User Needs Report'.⁶ The needs of the stakeholders in the publishing chain will thus be combined with the available business models and the funding schemes for Open Access books in HSS. This will also integrate the results of workshops and direct contacts with experts on business models and funding possibilities. The outcomes will support OAPEN in defining, implementing and operating of its publishing and business model, which will

⁴ For references, see for instance Peter Suber's SPARC Newsletter of June 2006: <http://www.earlham.edu/~peters/fos/newsletter/06-02-06.htm>.

⁵ As John Houghton et. al. explain: 'The literature relating to the costs of scholarly publishing reveals two distinct approaches. The majority of writers focus narrowly on the publishing process and discuss the functions and costs involved. Others explore a broader context, seeing publishing as a part of a wider system of knowledge creation and dissemination. However detailed, analyses that focus on publishing activities alone are unlikely to reflect the system-wide costs or benefits involved, and risk mistaking cost shifting for cost saving.' John Houghton, Bruce Rasmussen and Peter Sheehan, *Economic Implications of Alternative Scholarly Publishing Models: Exploring the costs and benefits*. A report to the Joint Information Systems Committee (JISC) (January 2009) 2.

⁶ Janneke Adema and Paul Rutten, *Digital Monographs in the Humanities and Social Sciences: Report on User Needs* (OAPEN 2010).

lead to a recommendation on which model(s) are the most promising (or ‘sustainable’) for the platform that OAPEN wants to develop.

4.3 Open Access for Books

Open Access is a different way of distributing and making scholarly research available and accessible because it is digital, online, free of charge, and free of most copyright and licensing restrictions.⁷ Integrating this mode of access and dissemination into a publishing model has serious consequences for the underlying income model. Instead of letting the consumer (or his or her institution) pay for the content consumed, i.e., a reader gets access to publications (demand-side model), the producer (or his or her institution) pays for the services “consumed”, i.e., an author gets his/her manuscript published and disseminated, (supply-side model). In a supply-side model, one no longer needs to restrict access to scholarly publications in order to pay for the costs of publishing.⁸ This objective can be obtained by a variety of different revenue models or combination of these models, based on sharing resources, funding, and added value during the production process.⁹

One of the main reasons why publishers are increasingly considering experimenting with Open Access business models for books, may be because the current model for book publishing (a still largely print-based demand-side model) in HSS has come under sustained pressure.¹⁰ Where the prices of journals (especially in STM) have risen steadily over the last decades, libraries have seen a relative stagnation of their acquisition budgets. Moreover, acquisition budgets tend to prioritize STM journals, leading to increased cutbacks of monograph acquisitions. These overall declines in monograph sales have forced HSS publishers to focus more on general (trade) books instead of on specialized books and textbooks. This has been detrimental over the past years to the variety and accessibility of specialized academic book publishing in the HSS.¹¹ Moreover, this

⁷ Peter Suber, *Open Access Overview*: <http://www.earlham.edu/~peters/fos/overview.htm>.

⁸ Matthew Cockerill, ‘Business models in open access publishing’, in: *Open Access: Key Strategic, Technical and Economic Aspects*, N. Jacobs, (ed.) (Oxford: Oxford University Press 2006) 90.

⁹ Raym Crow, *Income models for Open Access: an overview of current practice*, SPARC (September 2009) 9, Willinsky lists possible models in his monograph funding overview: John Willinsky, *Monograph funding* (June 29, 2008).

¹⁰ There are many OA activists who believe that Open Access and online may be the only sustainable model for the monograph. See, for instance, Michael Jensen, ‘Scholarly Publishing in the New Era of Scarcity’, Plenary presentation at the Association of American University Presses (Philadelphia 2009).

¹¹ This is confirmed by figures from, among others, Greco and Wharton who write that the average library monograph purchase has dropped from 1500 in the 1970s to 200-300 currently. Thompson estimates that print runs and sales have declined from 2000-3000 (print runs) in the 1970s to 50%, selling less than 500 and the majority now selling less than 750. Greco, Albert, N., Wharton, Robert Michael, ‘Should university presses adopt an open access [electronic publishing] business model for all of their scholarly books?’ *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* / Edited by: Leslie Chan and Susanna Mornati, 154. John Thompson, *Books in the Digital Age*, (Cambridge: Polity Press 2005) 93-94.

monograph crisis also has consequences for the careers of HSS scholars, making it increasingly difficult for them to publish their books and nearly impossible for younger scholars to publish (a version of) their theses in the monograph format (essential in many cases for academic tenure and reputation). The serials crisis is not only affecting scholarly communication, but also the reputation cycle, an essential aspect of scholarly communication (serving as a filter mechanism).¹²

However, despite criticism of the current model, one could also argue that HSS monograph publishing has never been (self-) sustaining and has always relied on some form of additional funding.¹³ Moreover, in a demand-sided model, most of the publishing costs have already been paid indirectly via library budgets, which falls under the state/university institution budgets and is public money. As Matthew Cockerill has noted, this is the choice currently being made by the community, where it may just as easily decide to use their budgets to fund Open Access publishing in a more direct way.¹⁴ Another problem concerning the sustainability of HSS publishing has to do with the audience for these kinds of (often highly specialized) works. In many cases, the audience for Humanities monographs is so small that this kind of publishing can never be profitable (or even sustainable).¹⁵ Thus, one can conclude that subsidies and institutional and governmental funding have always been (a large) part of HSS book publishing and will therefore also remain part of (most) Open Access business models. A complementary approach considers publishing to be an integral part of the research costs itself.¹⁶ All these considerations should be taken into account in the development stages of an Open Access business model, as John Willinsky has pointed out:

*The development of something approaching an “economic model” for open monograph publishing will inevitably entail a combination of approaches that build on how work has always been supported in the humanities, involving small grants, the cooperation of libraries and archives, and the active collaboration of scholars and graduate students. The key to this approach is to be able to offer scholars and authors a series of economic-model options which they can pursue from the outset (based on relatively accurate projected costs).*¹⁷

For other figures of declining monograph sales, see Steele, ‘Phoenix rising: new models for the research monograph?’, 11-112, Waltham, JISC: *Learned Society Open Access Business Models*, Colin Steele, ‘Scholarly Monograph Publishing in the 21st Century: The Future More Than Ever Should Be an Open Book’, in: *Journal of Electronic Publishing*, vol. 11, no. 2, (2008), John Willinsky, *Monograph funding* (June 29, 2008).

¹² Steffen Bernius et al., ‘Open Access Models and their Implications for the Players on the Scientific Publishing Market’, in: *Economic Analysis & Policy*, vol. 39 No. 1 (March 2009) 105.

¹³ Greco and Wharton give figures that show substantial subsidies to American University presses in the period 2001-2006: Greco and Wharton, ‘Should university presses adopt an open access [electronic publishing] business model for all of their scholarly books?’ 150.

¹⁴ Cockerill, ‘Business models in open access publishing’ 91.

¹⁵ John M. Unsworth, ‘The Crisis in Scholarly Publishing in the Humanities’, in: *ARL*, no. 228 (June 2003).

¹⁶ Greco and Wharton for instance show the vast majority of presses post financial losses every year, even when they are subsidized. Greco and Wharton, ‘Should university presses adopt an open access [electronic publishing] business model for all of their scholarly books?’ 158.

¹⁷ Willinsky, *Monograph funding*.

Another reason to experiment with Open Access business models, digital book models and new forms of cooperation, is based on the expectation that these developments may eventually lead to a more efficient and cheaper publishing system. Cost reductions could, for instance, be made through innovations in the publishing model. More efficiency may be achieved through resource and cost sharing in strategic partnerships, disintermediation and the de-linking of functions, for instance. Johnson, for instance, mentions partnerships in which a logical separation of content and service components may take place in which the different services other than content provision (services that cover registration, certification, dissemination, preservation, and rewarding) can be assumed by different parties with the necessary resources and prestige to do so. Hence, the rise of “librifiers”, library-press combinations and presses established and managed by academics, where the various functions in the publishing chain are increasingly separated from the players traditionally responsible for fulfilling them.¹⁸ Innovations can also be made in the publishing process, for instance, by using digital (printing) techniques, and/or new infrastructures based on open source software. These new types of production processes may also lead to decreases in the storage space needed for the copies of actual books, which could lead to further cost savings. Besides looking at the possibilities Open Access offers for new funding and revenue models or business models, many presses in their Open Access experiments have also simultaneously pursued a strategy to make the publishing process more (cost and time) efficient.¹⁹

An Open Access model for books may also be more effective, in the sense that it could improve the access and availability of scholarly books. What is important here is that availability does not necessarily mean accessibility, where material available online may still have limited subscription access and may thus remain inaccessible to many scholars (i.e., in Third World countries or when a library simply doesn't have a subscription). The increased use of openly available books is already evidenced by the success of Google Book Search and SpringerLink and could mirror the success of openly available e-journals. The traditional small print runs are considered an ineffective dissemination strategy, where the intended target audience is small and the availability of books in libraries is very limited. Although many stakeholders in the publishing chain feel that the availability of books in the traditional model is sufficient, proponents of Open Access book models believe Open Access could truly open up scholarly book content to a wider audience and to new services and applications.

¹⁸ Richard K. Johnson, ‘The Future of Scholarly Communication in the Humanities: Adaptation or Transformation?’ Paper delivered at the Modern Language Association Annual Convention (December 30, 2004).

¹⁹ Willinsky, *Monograph funding*, Kristin Boice, ‘Open Access, Libraries, and the Future of Scholarly Publishing’, in: *Open and Libraries Class Journal*, Vol 1., No. 1 (2008) 5.

4.4 Intrinsic Differences between Books and Journals

Open Access book publishing might be seen as a logical consequence of the rise of Open Access journal or article publishing over the past few years. However, the Open Access journal publishing models developed for STM journals will not necessarily be applicable to HSS book publishing (nor to HSS journal publishing, for that matter, because many HSS journals are for instance ‘maintained’ by learned societies).²⁰ This is mostly due to the fact that author-pays models in which authors or their institutions pay for the publication of their work in an Open Access context is still contested in the world of HSS, since there is far less (extra) funding available for publishing.²¹ Moreover, as Mary Waltham has shown in her recent report, it is apparently much more expensive to produce an article in HSS than in STM (never mind a monograph). As Waltham cautiously states, where, for instance, the research costs are much higher than the publication costs in STM, the reverse may very well be true in HSS.²² The kind of Open Access offered (full, partial, delayed, etc.) might also be different in HSS, where, for instance, the ‘value’ or ‘impact’ of the published monograph (as measured in usage, citations or general influence) declines less rapidly than it does in the STM article-publishing world. In HSS publishing an Open Access embargo period might thus be a very different discussion.

Another striking difference between articles and books is that many players in the scholarly communication value chain still think (and research tends to corroborate this²³) that readers still prefer a printed version of a book, especially when it involves a thorough reading of a specialized HSS monograph. This means that profits can still be made from print sales in conjunction with free digital versions. This has become an increasingly less likely scenario for journals, however, where much of the content is already being delivered exclusively via digital formats, i.e., without a print version, where it is easier to print out PDF version of an article.

4.5 e-Publishing Collaborations

Many initiatives are currently exploring new forms of on- or off-campus collaborations and partnerships to set up digital publishing, particularly but not exclusively in Open Access HSS publishing ventures., Open Access experiments in HSS book publishing, as we already discussed above, have seen a simultaneous development towards new publishing models that may eventually support these new publishing methods in more

²⁰ A good overview of Open Access business models for journals can be found in Raym Crow’s report on income models for Open Access: Raym Crow, *Income models for Open Access: An overview of current practice*. SPARC (September 2009).

²¹ Peter Suber, *Promoting Open Access in the Humanities* (2004).

²² Mary Waltham, *The Future of Scholarly Journals Publishing Among Social Science and Humanities Associations*. Report on a study funded by a Planning Grant from the Andrew W. Mellon Foundation (February 2009) 31.

²³ One of the conclusions of the OAPEN User Needs Report: Adema and Rutten, *Digital Monographs in the Humanities and Social Sciences: Report on User Needs* (OAPEN 2010).

efficient and effective ways. One of the most common publishing models currently being used is the Library-Press collaboration, in which the publisher basically handles the peer review, editing and the content preparation tasks while the library provides the technical expertise, infrastructure and sometimes a platform for the digital publication of the research work.²⁴ Shared costs, funding and subsidies are also a common ingredient in these kinds of partnerships as Raym Crow has shown in his extensive report.²⁵ Our overview will show that the chance to broaden one's perspective and redefine one's roles and functions in the scholarly publishing value chain, is not only limited to libraries as academics are also increasingly becoming involved in setting up publishing ventures. A report issued in 2007 by Ithaka urges universities to take a stronger lead in setting up publishing initiatives, combining the strengths, resources and skills of the different university institutions they govern (academics, presses, libraries, IT departments, etc.).²⁶ However, despite the rise of these new publishing and business models and the new developments in the production process, traditional models will not disappear so that a variety of models and processes will eventually co-exist. As Joe Esposito observed:

*There is no reasonable scenario that I am aware of for the future of scholarly communications over, say, the next ten years that is not, at its heart, pluralistic. Ten years from now we may see libraries as publishers, professional societies as publishers, and university presses as publishers, but we will also see (under whatever ownership) the likes of Sage, Blackwell, Springer, and Taylor & Francis. There have been predictions to the contrary: one Open Access advocate told me that all scholarly journals would be Open Access by the end of 2006. Some supporters of Creative Commons claim that once authors are aware of the full range of options, they will all choose to work with Creative Commons licenses and not transfer their intellectual property to a commercial entity that does not have the interests of the author or society at large at the center of its mandate. There are even several Internet start-ups dedicated to "personal publishing" (e.g., AuthorHouse and Lulu.com, another sometime client), which provide the mechanism for authors to go for it alone without a contract from a traditional publisher. These are all wonderful things, and no doubt some of them will surprise us with their reach and growth, but it seems highly doubtful that the traditional forms of publishing will disappear anytime soon. Thus, a practical strategy is a pluralistic strategy.*²⁷

²⁴ For more information on library-press combinations, see: Crow, *Campus-based publishing partnerships*, Laura Brown, Rebecca Griffiths, and Matthew Rascoff, Ithaka Report. *University publishing in a digital age* (2007) and John Willinsky, *Toward the Design of an Open Monograph Press* (DRAFT, September 28, 2008).

²⁵ Crow, *Campus-based publishing partnerships*.

²⁶ Brown, Griffiths, and Rascoff, Ithaka Report. *University publishing in a digital age*.

²⁷ Joseph J. Esposito, 'The Wisdom of Oz: The Role of the University Press in Scholarly Communications', in: *Journal of Electronic Publishing*, vol. 10, no. 1, (Winter 2007).

4.6 Categorization of Book Publishing

The following overview is set up according to the publishing model instead of the business model. The reason for this is that the business models used in Open Access book publishing are still highly eclectic and experimental and most are based on a combination of funding and other income/revenue models. One of these combined models being used by almost all every press is (a specific form of) a hybrid model, offering an Open Access free online edition, whilst earning sales revenues from printed editions.

We have chosen to divide the different initiatives into the following (not necessarily unrelated) categories:

- Commercial publishers
- Presses established by Societies or Academies
- Presses established by Libraries
- Library-University Collaborations
- University Presses
- Presses established by Academics
- Press-Commercial Publisher Partnerships

Presses or initiatives that cannot be categorized based on the above categories will be grouped together in a category called 'other'. For the descriptions of the different initiatives we have looked at a couple of factors: the history and background of the publisher, its focus and aim, the type of content published (books, journals, digital resources, which fields, etc.), the publishing model used, the business model used, the kind of Open Access provided (full, delayed, partial, optional, retro-digitization, etc.),²⁸ the copyright policy, the peer review policy and other aspects of the publishing process.

²⁸ Bernius et. al, *Open Access Models and their Implications for the Players on the Scientific Publishing Market*, 106.

5 Case Studies

Reminder: The OAPEN partner presses have not been listed as cases studies in this report. They will be added to the wiki later.

5.1 Commercial publishers

5.1.1 Bloomsbury Academic

Bloomsbury Academic, set up in 2008 as a new scholarly imprint of the Bloomsbury Publishing Group, it publishes research-oriented books across the HSS with an interdisciplinary perspective. In the future, they plan to develop certain themes more in-depth. They are, as they state, strongly committed to the traditional virtues of scholarly publishing, including a rigorous peer review and editing process, whilst they also make use of cutting-edge (digital) technologies. They publish primarily research monographs, though not exclusively, as some of them cross over to the trade market. They also sell some textbooks and some of them are print-only editions. Their commitment to quality is shown through their attention to editorial selection, peer review, copy-editing and formatting.

Bloomsbury Academic hopes to recoup enough revenues by selling print copies next to the online Open Access version. They will publish predominantly hardback copies (at normal market prices) using the latest short-run technologies or Print on Demand (POD). Revenue will also be generated from royalties on commercial usage, by, for instance, selling their content in what they call 'student packs'. When it comes to libraries, they will also sell e-book bundles and work with copyright agencies to handle royalties for library photocopying.²⁹ Bloomsbury Academic will make a 'modest' royalty payment to authors and they will forego an author's fee. Furthermore, they will make use of Bloomsbury's infrastructure for their global distribution and marketing efforts.

A new service they plan to introduce in 2010 is a publishing platform, created by iFactory in Boston:

Taxonomic classification will assist users to navigate to and from what they want to read, with tools available to allow readers to cite, email, print and share the titles they find. Bloomsbury Academic will be plugged into the world beyond the site itself, with connections to blogs, podcasts and webcasts to accompany and enhance the world-class content inside. Within the site, additional readers' resources will

²⁹ John Murphy, 'New entry tries new publishing model', in: *Research Information*, December 2008 / January 2009.

*augment the core texts, with role-based navigation helping core groups make the best of Bloomsbury Academic.*³⁰

Bloomsbury Academic offers possibilities for authors to update their work, to supplement or enhance their work with additional material (databases) and to include multimedia such as videos and podcasts. The platform Bloomsbury Academic is developing will also be used to promote and profile other publishers' titles (with no language and geographical restrictions). Bloomsbury Academic has established strategic connections with, amongst others, German partner Berlin Verlag and is exploring possibilities for cooperation in the US and Australia.

All of their research publications will be made available free of charge online, with free downloads for non-commercial purposes, immediately upon publication, using Creative Commons licenses. This will allow free downloading but will give Bloomsbury Academic the sole right to commercial use. However, Bloomsbury will also offer options via CC+ to buy commercial rights. As Frances Pinter, publisher of Bloomsbury Academic has stated in an interview:

*'If anyone wants to commercialise the content, we hope they will come back to us and enter into a contract and use their own POD. The CC+ service adds metadata on permissions, including a URL to contact us. Our objective is to have 'click-through licensing', so that people who want to make multiple copies can do so legally.'*³¹

5.1.2 Polimetrica

Polimetrica calls itself 'a laboratory for publishing studies and publishing productions', and its goal is to design knowledge products and remove accessibility barriers to these knowledge products. They aim to publish high-quality content for low prices. Established in 2004, this Italy-based international publishing house publishes monographs in the Sciences, Applied Sciences and the Humanities and Social Sciences. All their books are published in two editions: a printed edition for sale and an electronic edition, each with its own ISBN code. Not all of their publications are available via Open Access, however, although the amount is increasing.³² They do not describe their peer review policy on their Web site, although, they do state that each scientific book is edited in collaboration with a university or an authoritative professor or specialist. They pay royalties to both their authors and editors (both receive 10%) and they charge low prices of between €15 to €20 per book. Meanwhile, they use digital printing methods and only keep a few hundred books in stock. They also use many online distribution channels such as Amazon, Google Books, ArXiv, and E-LIS.

³⁰ Jennifer Howard, '2 New Digital Models Promise Academic Publishing for Profit', in: *The Chronicle of Higher Education*, October 2, 2008.

³¹ Murphy, 'New entry tries new publishing model'.

³² Giandomenico Sica, *Polimetrica. Open publishing at work*. Power Point presentation (2008).

Polimetrica is collaborating with various universities, who also help fund the Open Access publications, sharing the risks and the potential profits. Thus they are continually searching for new cooperative publishing ventures. When it comes to copyrights, every book is published under the terms of an agreement between Polimetrica and the involved university. They do not sell electronic editions (which are freely available online) and every contribution is published according to the terms of, what they call, “Polimetrica License B”:

Polimetrica License B” gives anyone the possibility to distribute the contents of the work, provided that the authors of the work and the publisher are always recognized and mentioned. It does not allow use of the contents of the work for commercial purposes or for profit. Polimetrica Publisher has the exclusive right to publish and to sell the contents of the work in paper and electronic format and by any other means of publication.

*Additional rights on the contents of the work are the author’s property*³³

5.1.3 Re.Press

Re.Press is an independent, Australia-based, international press that focuses on works of contemporary philosophy. They currently publish three book imprints: Anamnesis, Transmission and Anomaly. Their aim is to make as many of their publications available for free download in Open Access as possible. They publish hard copies using POD. They are very concerned about the design and overall aesthetics of their books. Their Web site notes they ‘hope that open access publishing will strengthen traditional publishing and scholarship more broadly by releasing ideas and thinkers from the constraints of the market.’ Their hardcover editions are available through various online retailers, including Book Depository and Amazon. Their copyright policy makes use of the Creative Commons licenses.

5.1.4 O’Reilly

O’Reilly Media, founded in 1978, is an innovative media company that focuses on the latest technology trends. They have already published a number of what they call ‘Open Books’ (defined as books with various ‘open’ copyright licenses). Their books fall into the Computer and Media Studies genres. To make more of their books available online, they recently partnered with two major non-profit organizations – Creative Commons and the Internet Archive – that have helped them solve licensing and digitization challenges. O’Reilly has used Creative Commons licenses and they have adopted the Creative Commons Founders Copyright since 2003,³⁴ which they use for hundreds of their out-of-print but also their current titles, depending on author approval. The Internet Archive is

³³ Ibid.

³⁴ See: <http://creativecommons.org/projects/founderscopyright/>.

currently scanning and hosting (in PDF format) O'Reilly's open book titles through its Open Library Project.

5.1.5 Ledizioni – LEDIpublishing

The Italian company, Ledizioni, was established in 2007. Its aim is to be a 'publisher for publishers'. It focuses on niche publishing and republishing out-of-print titles. They are a service provider that offers POD services and various other services related to web marketing and e-publishing management to both authors and other publishers. They publish in digital (eBook and POD) formats, but also offer traditional printing services. Beyond that, they aim to advise both authors and other publishers about Open Access and Open Access (implementation) strategies. They offer services that cover the entire publishing chain:

Moreover it's able to manage the whole publishing process: from book print or print on demand to promotion and distribution into bookshops or through our Web site, doing web marketing on the most important search engines.

They offer republishing and reprinting services to publishers to reactivate their backlists and also offer their financial services to other publishers. They also provide consultancy services in digital publishing to help introduce clients to the digital market. Ledizioni has published a few HSS titles in both Italian and English, although they offer the option to publish in any language.

Their business model is based on reducing costs by focusing on digital printing, marketing and distribution techniques, sales of print copies, and the provision of various services to other publishers. The dissemination and marketing services they offer include:

- Internet channels: network Ledi and the e-commerce Web site Librishop;
- Traditional and online bookshops (Amazon, Barnes & Noble, Web sites, magazines, e-journals and newsletters);
- Mass media: journals, magazines, radio;
- New media: search engines, portals, Web sites, blogs, forums, social networks, online magazines and newsletters;
- Potential users: professors, students, and managers.

They also use innovative methods to promote their books, like video-clip book trailers.

Regarding their copyright policies, their clients can either keep the copyrights on their titles or transfer them to Ledizioni. They also offer royalties on every title to both publishers and authors. They handle requests for authorization of in-copyright titles that will be reprinted. Ledizioni uses Creative Commons Licenses on their published works. They suggest using the Attribution-Noncommercial-Share Alike 3.0 Unported license, but their clients can also choose other (CC) licenses with built-in protections against text copying and pasting, printing or altering of texts.

It appears that they now only offer their books online via Google Books (and most can only be partly viewed) and they do not offer a download option (for example, via their own Web site). They say that they monitor their operations by analyzing the download metrics and sales data of the paper versions of their publications. But figures for the one title they currently have online in Open Access, however, shows that the downloading/sales ratio is currently not very promising from a commercial perspective, where they registered 4000 downloads but only 3 sales.³⁵

5.2 Presses Established by Academies and Research Councils

5.2.1 The National Academies Press

The National Academies Press (NAP), the oldest Open Access book publisher in the world, was established by the US National Academies to publish reports issued by their institutions.³⁶ As they state, the ‘The National Academy of Sciences is a private, non-profit, self-perpetuating society of distinguished scholars engaged in scientific and engineering research’. They have been around since 1994 and now publish more than 200 titles annually, focusing mostly on science, engineering, and health. When it comes to the HSS, they also publish some titles in the Behavioral and Social Sciences and Information Technology. Quality is important for the NAP; and this is manifested by the fact that the institutions that are represented by the NAP attract the nation’s leading experts in their respective fields. Part of their charter ensures that they are self-sufficient, which they aim to accomplish through book sales and by charging fees for services they perform for both internal and external customers.³⁷ NAP has already been pursuing this strategy for some time. They believe that making their publication easily and freely available helps to sell print copies.³⁸ However, they still count on support from their parent institution:

*Only a few nonprofit book publishers have actually undertaken the risk, however, because most have very limited financial flexibility. They aren't blessed, as we are, with a parent institution willing to support a grand experiment, and any loss in today's strained circumstances would take a big bite out of limited resources.*³⁹

³⁵ Nicola Cavalli, ‘Overlay Publications: a functional overview of the concept’, in: *ELPUB2009. Rethinking Electronic Publishing: Innovation in Communication Paradigms and Technologies*, Proceedings of the 13th International Conference on Electronic Publishing held in Milano, Italy 10-12 June 2009, Susanna Mornati and Turid Hedlund (eds.).

³⁶ The National Academy of Sciences, the National Academy of Engineering, the Institute of Medicine, and the National Research Council.

³⁷ Michael Jensen, ‘Academic Press Gives Away Its Secret of Success’ in: *The Chronicle of Higher Education*, September 14, 2001.

³⁸ Ibid.

³⁹ Ibid.

Although their goal is to be self-sustaining, they still pursue a policy in which they strive to ‘cleave to’ their parent institution, rather than seek full independence. NAP believes that this is the future that university presses should pursue:⁴⁰

Imagine, in five years, a different income stream where 50% of your income comes from some kind of value-added digital sales, and 25% from print-on-demand, and 25% through institutional support of fixed costs. Dissemination and societal impact will increase 50x, because the material is openly available and promoted online.

NAP also emphasizes their societal and ecological responsibilities: ‘We recognize that the lifecycle energy and CO² costs of printing, shipping, storing, and distributing physical books must be radically curtailed.’⁴¹ NAP offers free page-by-page access to all of their books and also provides many of their books in a downloadable (PDF) format. They are in the process of providing page-by-page downloadable HTML text. They are also developing expanded research tools.⁴²

Downloading PDF’s is in most cases free and can be done by chapter or for the entire book. To download the book, customers need to sign in and fill in a short survey before they are able to download a book. In order to cover the costs of providing their free services, they continue to charge a fee for some of their books in PDF format:

You may order a PDF file of the full text of the book, individual chapter files, or a combination of the printed book and the full PDF text file. The combination of the PDF and the printed book is our best value. When you purchase the printed book via the Web, you pay only 20% more for the PDF.

NAP uses a variety of copyright licenses on their electronic output, with separate copyright statements and sharing restrictions for free and for-sale PDF’s. PDF’s redistribution or posting is prohibited without prior written consent, as is substantial or systematic reproduction. Freely downloadable PDF’s can, however, be shared for noncommercial, educational purposes, as long as they remain intact (including the original copyright statement and the Web address of the online, fully authoritative version). NAP has partnered with Copyright Clearance Center’s Rightslink service, which handles requests (including related fees) made to NAP for reusing and reprinting NAP content (including licenses to republish text, tables, figures, or images in print, a post on a secure Intranet/Extranet Web site, use in a PowerPoint Presentation, distribute via CD-ROM or photocopies of the material).

⁴⁰ Michael Jensen, ‘Scholarly publishing in the new era of scarcity’, June 2009.

⁴¹ Ibid.

⁴² Jensen, ‘Scholarly publishing in the new era of scarcity’.

5.2.2 HSRC Press

HSRC Press is a South African non-profit publisher that publishes the research output of the South African Human Sciences Research Council and externally authored works. They claim to be the ‘first fully functional Open Access publishing Web site in Southern Africa’. They focus on the dissemination of high quality social science publications, which they publish both in print and in electronic form. They have a mandate to disseminate HSRC research output and other valuable social science research. Their electronic publishing model enables them to archive and distribute small numbers of copies, which saves on expenses. Their prices for print products are, as noted, low because they are non-profit. The HSRC Press guarantees the quality of their academic output by means of a formal, double-blind, peer-review process by two recognized specialists in the field, following criteria based on the soundness and strength of the argument, relevance and importance of the subject and the quality of the writing. After the reviews, the Editorial Board makes a recommendation, which leads to the decision of whether to publish or not, which rests with the director. They also focus on active (international) marketing. They further note: ‘unusual attention is paid to each publication we produce as we are not constrained by the commercial demand of publishing a large numbers of titles annually.’

Their business model is based on collaboration with foreign (co-)publishers on specific titles. The free online versions of their titles can be downloaded (by chapter or in their entirety) via their Web site, while print copies are available in (online) bookstores and libraries. Their figures show that the Open Access dissemination of their publications is exponentially larger than their traditional publishing market.⁴³ Their sales have also increased:

*Open access doesn't negatively affect the sales of books. We have experienced a 247% increase in sales since we started open-access publishing in 2003 and we believe that we are growing the market.*⁴⁴

As they point out, the HSRC Press applies a ‘mixed revenue model’, via subsidies for publication by the national science system, which helps with the printing costs. Moreover, they also need to sell print copies to make ends meet. They do not pay royalties and their prices are based on a cost-recovery basis, making their publications affordable for the market.

They do not give any further information about their copyright policy, other than that it rests with the Human Sciences Research Council.

⁴³ Gary Rosenberg, ‘Broadening the exchange of knowledge’, *Mail and Guardian* (13 June 2008).

⁴⁴ Karen Bruns, ‘Open Access, Why the Fuss?’, *Mail and Guardian* (14 March 2008).

5.2.3 The Academy of Sciences South Africa

The Academy of Sciences South Africa (ASSAf) runs a Scholarly Publishing Programme (SPP), which is overseen by the Academy's Committee on Scholarly Publishing in South Africa (CSPiSA), which is supported by the ASSAf Scholarly Publishing Unit (SPU). The goal of the SPP is 'the enhancement of the quality, quantity and worldwide visibility of original, peer-reviewed publications produced by researchers in the public sector, and the fostering of a new generation of highly competent and productive scientists and scholars.' Reports have been published with recommendations for the future of publishing and funding in South Africa. One of the published reports focused on the results of an extensive book study, presenting 'a strategic approach to scholarly publishing in books and book chapters'. An important recommendation is to extend Open Access to the book publishing industry. The goal of the SPP is to set up a national platform for the Open Access online publication of the majority of South Africa's scholarly journals. In the future they hope to develop something similar for books:

Recommendation no. 4: that the principle of maximising Open Access, already recommended by the Academy for scholarly journals, be extended as far as possible (with careful attention to sustainable business models) to books published (or co-published) in South Africa, with the adoption of formats and technology platforms compatible with bibliometric requirements such as citation indexing and information-rich online features.⁴⁵

5.3 Presses Established by Libraries

5.3.1 Newfound Press

Newfound Press was launched in 2005 as a digital imprint of the University of Tennessee Libraries. They want to experiment with new ways of creating and disseminating scholarly works. To achieve this, they are actively searching for material which, due to its (interdisciplinary) focus or format, is difficult to have published by a traditional press. They also have a keen interest in digital media productions. Newfound Press publishes works in most of the academic disciplines, from scientific research to humanistic scholarship and artistic creation and has an Editorial Board that reflects this diverse spectrum of disciplines. They also publish conference proceedings. They guarantee the quality of their publications through a peer review by subject experts who, as they state 'evaluate the content according to traditional standards for assessing quality'. They also authenticate their multimedia works through a peer review process, looking at 'specific factors such as the content, design, visual appeal, and navigability enabling the presentation to convey its intended message.'

⁴⁵ ASSAf, *Scholarly Books: their production, use and evaluation in South Africa today* (2009) 2.

One of the services the press offers is advice for prospective authors on standards and best practices for digital production, drawing on campus resources such as Digital Library Initiatives and the Innovative Technology Center to assist their authors. The Universities Digital Library Initiatives also provides Newfound Press with usage statistics for their publications, to measure the impact of their publications. The library also handles preservation.

Authors retain the copyright to their works, granting Newfound Press non-exclusive rights to the content, which means they retain the option to disseminate their work in other ways. They also experiment with multimedia material:

*Each conference proceedings published by Newfound Press includes information related to conference papers such as program fliers, presentation audio and/or video files, promotional materials, and a description of the nature of the peer review used by the sponsoring society. Such contextual materials add significant value beyond that available in the traditional published conference literature.*⁴⁶

Other, newer publication formats include enhanced publications, in which data can be added to the publication: ‘Newfound Press is also experimenting with new forms of publication. Content that might have been published as a monograph in the past can now incorporate a database for readers to explore research results in a multi-dimensional format.’⁴⁷

5.3.2 Internet-First University Press

The Internet-First University Press repository, as part of the Cornell University Library Digital Repository, was established by representatives from academia, the IT department and the Library, making this a library-academia-IT collaboration.⁴⁸ Online materials, such as manuscripts (books and articles), and eventually student theses and multimedia materials, including videos and photograph collections will be available on an Open Access basis. Their focus will be on both formal and informal publications offering options for the publication of data, pre-print, post-prints, teaching, research, outreach, media-rich documents, video, audio, etc.⁴⁹ Internet-First will, however, be selective and safeguard their quality standards with an editorial board that reviews potential

⁴⁶ *Newfound Press Business Plan*, 2008-2011 July 1, 2008.

⁴⁷ Linda L. Phillips, ‘Newfound Press: Digital Imprint of The University of Tennessee Libraries’, paper delivered at the PKP Scholarly Publishing Conference 2007.

⁴⁸ J. Robert Cooke, Cornell professor of biological and environmental engineering and former dean of the faculty, is the principal investigator on the project. Other leaders of the project are Kenneth M. King, former Cornell vice provost for information technology, and Ross Atkinson, associate university librarian for collections. See: <http://www.news.cornell.edu/releases/Feb04/Internet-first.ws.html>.

⁴⁹ *The Internet-First University Press, An Open Access publishing effort utilizing DSpace and CIT Web site Infrastructure*. Power Point presentation (2009).

selections.⁵⁰ They are open to publishing the work of scholars from other institutions and also offer programming and strategic help to other presses.⁵¹

Customers can buy printed copies through a POD system, which can be obtained via Cornell Business Services (CBS) Digital Services. They also provide the option of having the manuscript routed to a printing facility and then picked up by a customer at a bookstore or library, or they can have it shipped. They aim to work more efficiently by eliminating the need for a large inventory and reducing traditional printing costs. Furthermore, authors do not receive their royalties in advance, but per (POD) sale.⁵² When it comes to copyrights, they state that all mass reproduction, even for educational or not-for-profit use, requires permission and a license. They use D-Space to archive their scholarly works, which is managed by Cornell's library while Cornell Information Technologies (CIT) operates the necessary hardware.⁵³ They also record the usage of their online products and offer citation linking. Their content is fully indexed and searchable on Google.

5.3.3 Sydney University Press

Sydney University Press was established by the university in 1962 and for a short period was an imprint of Oxford University Press. In 2003, it was re-established as a non-profit, digital and POD publisher. Their restart was facilitated by using the digital library collection of the University of Sydney Library's Scholarly Text and Image Service (SETIS), which offers XML formatted electronic titles in the field of Australian history and literature:

The dynamics of these relationships can be considered through the development of the digital collections, the re-establishment of the University Press, and the establishment of digital repository services at the University of Sydney Library. These services provide a model of the processes of integration – so far – of the digital library, publication, business, scholarly communication and eScholarship.⁵⁴

SUP provides POD copies of available texts and, since 2005, also publishes new research titles from the University of Sydney and other Australian academic institutions, primarily in the Humanities and Social Sciences.⁵⁵ They have also partnered with the Copyright Agency Ltd (CAL) to bring out-of-print Australian novels back into circulation under the Classic Australian Works series. Their focus is also on offering quality publications:

⁵⁰ 'Internet-First publishing project at Cornell offers new and old books free online or to be printed on demand', *Cornell News* (2004).

⁵¹ *The Internet-First University Press*, Power Point presentation.

⁵² 'Internet-First publishing project at Cornell', *Cornell News*.

⁵³ Peter Suber, 'More on Cornell's Internet-First University Press', *Open Access News* (March 1, 2004).

⁵⁴ Ross Coleman, *Sydney University Press - publication, business and the digital library*.

⁵⁵ Susan Murray-Smith, *Sydney University Press – a model for combining open access with commercial sales*, Unlocking IP conference (16-17 April 2009).

Quality control per se is not a point for differentiation between SUP and other publishers, as we try to follow best practice through the use of external readers and professional editors to shape the final product. It is important that quality control is evident in the final product – so that SUP is accepted as a publisher of choice. As mentioned above, the co-resourcing of publications through author/editor subsidy has meant that a professional quality book can be produced for a modest investment.⁵⁶

By basing their start-up on POD editions of out-of-copyright material of the SETIS collections, they have depended on an initial investment by the library and an already available Web-based eStore credit card payment gateway infrastructure through the universities IT services. This is combined with the University Printing Service digital printing and binding services, to build up a small revenue stream (marketing both researchers and libraries).⁵⁷ SUP has operated on a non-profit basis since 2005, and obtains additional salary subsidies from the library. All other costs (cover design, copyediting, index creation, launches and advertising) are derived from print sales. This means the books are priced to recoup their own production costs plus an additional amount for royalties and payments to the partners (UPS, ICT, Library and SUP). The retail price includes a 30% discount to trade purchasers (bookshops, libraries, etc.). Their strategy of combining POD and direct distribution with the seeking of subsidies for part of the production costs, has allowed them to create a price model that is generally lower than those of commercial publishers.⁵⁸ They are seeking further funding from the university to increase their marketing efforts and to develop new eBook formats.⁵⁹

They monitor access and download figures of their publications, which are used for future publishing decisions. The repository also opens up its works to Google Book Search and SUP makes use of various Web 2.0 technologies to connect to the scientific community:

We are using SUP's Facebook site to publicise book launches, link to book reviews and generally engage with readers. We are also developing a blog covering writing and publishing more broadly, with the aim of communicating with potential authors and readers.⁶⁰

They also offer opportunities for the integration of repository and dataset content into the publication processes, i.e., enhanced publications.⁶¹

⁵⁶ Ibid.

⁵⁷ Ibid.

⁵⁸ Coleman, *Sydney University Press*.

⁵⁹ Murray-Smith, *Sydney University Press*.

⁶⁰ Ibid.

⁶¹ Coleman, *Sydney University Press*.

5.4 Library-Press Partnerships

5.4.1 Pennsylvania State University Press

Pennsylvania State University Press publishes *Penn State Romance Studies*, a peer-reviewed monograph series. This series focuses on ‘the best and latest scholarly research in the languages, literatures, and cultures of the Romance languages’ and is published both in print and online in Open Access. This series includes not only monographs but also genres like reference resources, translations, and editions of critical works. One of their aims is to revive and support small-language publishing and other academic fields that have limited publication outlets by means of digital publishing. All of the books they plan to publish in this series undergo full peer review. The Penn State Romance Studies Advisory Board first selects manuscripts that might be appropriate for the series, which then need to be approved by the Editorial Board. The Editorial Board consists of members of the Penn State Department of French and Francophone Studies and the Department of Spanish, Italian, and Portuguese. If the board approves, the full manuscript will be submitted for formal peer review.

The series has been discontinued before, but it was revived via the cooperation between Penn State University Press and the Penn State University Libraries, with support from the Office of Digital Scholarly Publishing. At the same time, a more efficient system has been created by using new techniques like digital (POD) publishing.⁶² The Press and Libraries have built a solid and extensive library/press collaboration by developing a series of different projects. The Office sponsors certain Library-Press projects, with which they hope to streamline the costs of electronic publishing. They hope to gather information to be able to better assess the long-term benefits of this cooperation for scholarly communication:

*The Libraries bring considerable expertise in programming, digitization, web site development, and access mechanisms such as indexing and metadata to the Office. The Press brings its own extensive expertise in editorial matters ranging from peer review to copyediting and developmental editing. The Press can draw upon its award-winning production and design staff and its experienced marketing staff.*⁶³

They hope that the Open Access availability of their Romance Studies publications will bring more accessibility but also increase scholarly engagement. The Library-Press collaboration allocates some of the costs needed for Open Access publishing but sales of print volumes still need to be generated in their business model:

He [Patrick H. Alexander, Co-Director of Penn State’s Office Digital Scholarly Publishing (ODSP)], added that the press’s partnership with the library alleviated

⁶² Shaun Manning, ‘Penn State Press and Libraries Come Together for Digital Publishing’, in: *The Exchange Online*. Newsletter of the Association of American University Presses, 09/19/08.

⁶³ Ibid.

*many costs associated with digital publishing and distribution, but that print sales were still very important to offset the editorial, production, and other overhead costs of publishing.*⁶⁴

To prevent people from printing out whole books, they offer all of their books as chapter-by-chapter downloadable PDF's, but only approximately 50% of these files will actually be printable. Access to the works they offer is provided for free but is still protected by copyright, as they state on their Web site:

Romance Studies materials should be used for non-commercial, educational, and research purposes. As with other publications, extensive quotations from these books or incorporation in another publication beyond what is permitted by 'fair use' will require permission from the Penn State Press. A persistent Web address for each Romance Studies title appears on the copyright page of each book. We encourage linking to this material and ask that you share the Web address with others, rather than emailing or re-posting the content on another Web site. Redistribution of this material available on this site is also restricted and requires permission of the Penn State Press.

The library will host the digital files using the DPubS platform:

*One of the first tasks of the Office of Digital Scholarly Publishing will be to build the necessary technical infrastructure for moving journals and monographs to a digital environment. This task is already well under way with the announcement in August that the Libraries and the Press have joined forces with Cornell University to develop an open-source publication management system. The Andrew W. Mellon Foundation is funding the development of this system based on Cornell's innovative publishing software, DPubS (Digital Publishing System). DPubS will be re-engineered as a general-purpose publishing platform for scholarly literature in diverse fields. It will support peer review, have extensive administrative functionality, and will provide interoperability with open-source repository systems such as FEDORA and DSpace.*⁶⁵

5.4.2 Athabasca University Press

Athabasca University Press (AU Press) is the university press of Athabasca University, Canada's Open University and the first university in Canada to create an Open Access scholarly press. They publish scholarly research in Open Access journals and monographs and also through new electronic media, like Web sites based on scholarly parameters and standards. They assess these standards via an initial editorial peer-review assessment and periodic reviews of the Web sites. Their content has a geographical focus,

⁶⁴ Ibid.

⁶⁵ Penn State Press Release, 'Publications go digital; new partnership to offer high-tech options for distributing scholarship' (Tuesday, March 15, 2005).

mainly publishing research from the regions of Canada, the North American West, and the Circumpolar North, in various Science and Humanities disciplines. They also publish non-fiction work. As they state, they aim to publish innovative and experimental works (both in fiction and non-fiction) and actively promote open, distance, and e-learning, based on the use of various media formats and interactive media. AU Press promotes their publications via author videos, podcasts and book trailers featuring both authors and editors.⁶⁶ Quality standards are ensured by an Editorial Board. Moreover, two independent (anonymous) peer reviewers assess the research on a number of aspects. Their publishing model reflects the fact that the AU Press has established strategic partnerships with the Lois Hole Campus Alberta Digital Library (LHCADL), although it is unclear whether they receive any (financial) support from the library. They also have a strategic partnership with the Public Knowledge Project to develop a new Open Source publishing product for books, Open Monograph Press (OMP) and a distribution partnership with the University of British Columbia Press.

Their business model is a hybrid that focuses on free Open Access material and for sale print editions. Their books will also be sold to libraries through electronic aggregators that pay royalties. They receive some funding from the university (1% solution) and from other funding agencies (ASPP, BIPIDP, Canada Council, AHRF) and generate some revenue from co-publications, rights sales, and corporate sponsorships. They use POD to try to reduce costs and inventories.⁶⁷ All of the AU Press's publications appear online in PDF and value-added publishing formats such as XML and Epub are considered potential revenue opportunities. The AU Press attempts wherever possible, to license their publications with Creative Commons licenses (Attribution-Noncommercial-No Derivative Works 2.5 Canada). The copyright remains with the author, however, they sign over licensing rights to AU Press and all licensing for distribution, permissions and re-prints are handled through the press.

5.4.3 The Ohio State University Press

The Ohio State University Press was established in 1957. They specialize in literary studies (including narrative theory, Victorian studies, medieval studies, and classics) and publish about 30 books a year. More than 80 of their publications are now available through Open Access. Their goal with the Open Access Initiative is to 'disseminate the best scholarship as widely as possible'. To achieve this they offer the complete texts of certain titles for free on their Web site. They also publish some journals (including the *Journal of Higher Education*). All their titles, both print and online, have gone through the same peer review process and have to be approved by their Editorial Board. The Ohio State University Press is a non-profit entity that depends on outside financial contributions. The digitization of their Open Access titles has been funded and overseen by the Ohio State University Libraries. The press has an endowment fund and receives

⁶⁶ Frits Pannekoek, Walther Hildebrandt, Kathy Killoh, Shubhash Wasti, 'Being an Open Access Press – the first two years 2007-2009', International PKP Conference in Vancouver BC, July 8-10, 2009.

⁶⁷ Ibid.

support from several individuals and institutions. They do not offer print versions of their online PDF files; however, these online versions of out-of-print books may be used for non-commercial purposes. All of their works, however, remain under the copyright protection of the Ohio State University Press.

5.4.4 The University of Pittsburgh Press

The University of Pittsburgh Press was founded in 1936 with funding from a number of institutions: the A.W. Mellon Educational and Charitable Trust, the Buhl Foundation, the Historical Society of Western Pennsylvania, and the University of Pittsburgh. They are a scholarly publisher that publishes both books in several academic areas (history, political science, international studies, Latin American studies, Russian and East European studies, composition and literacy studies, and the history and philosophy of science) and (regionally focused) non-fiction and poetry. They publish several series and co-publish with cultural institutions in the community (for instance, the Carnegie Museum of Art, the Carnegie Museum of Natural History, the Carnegie Library, the Helen Clay Frick Foundation, the Historical Society of Western Pennsylvania, the Frick Art and Historical Center, and the Mattress Factory). They have selected 521 monographs from their print titles for Open Access publication, of which the majority is out of print, as part of the University of Pittsburgh Press Digital Editions collection.⁶⁸

To also make the UPP's books available online, the University of Pittsburgh Press and the University Library system (ULS) have set up a partnership, which is the culmination of an earlier decision to create a closer cooperation between the two institutions. The ULS Digital Research Library handles the digitization and full-text searchability of the books and makes them available through its digital collections on the Web under its D-Scribe Digital Publishing Program (which already hosts other Open Access resources from the University of Pittsburgh Library system, including photographs, archival documents, theses and dissertations, and electronic journals):

*The partnership benefits the libraries by offering additional content for their electronic catalogue, while providing the press with an opportunity to enter the digital arena with a more robust presence than it could otherwise achieve. ULS will be responsible for all costs associated with the program, and will also employ its technology assets and infrastructure toward digitizing the press's backlist.*⁶⁹

The Digital Editions can be viewed via their Press Web site. The monographs will also be available in (reasonably priced) paperback editions, through the Chicago Digital Distribution Center (CDDC). They can be purchased through retail outlets or directly

⁶⁸ Press Release University of Pittsburgh Press: Maria Sticco, *500 Pitt Press Titles Available Again Online and In Print*, April 27, 2009.

⁶⁹ Shaun Manning, 'University of Pittsburgh Press Offers Open Access to Select Digital Backlist', in: *The Exchange Online: The Newsletter of the Association of American University Presses*, 01/11/08.

from the Press via the shopping cart icon on the Web site's book page.⁷⁰ The Press will track the effects of the experiment on the sales of print editions.⁷¹ The Digital Editions clearly seem to fulfill a need as the Press states in a press release:

*Since its inception in December 2007, the University of Pittsburgh Press Digital Editions site has been visited by thousands of users, many from outside the United States. Sales of the UPPDE titles [that are] still in print and requests for print copies of out-of-print titles suggest sufficient interest among scholars and students in having these titles available again as printed books.*⁷²

They offer full browsing functions and full-text searches on their works and the option to download individual pages as PDF documents, although it is not possible to download an entire book or certain chapters.⁷³ All of the online works remain copyright protected by the University of Pittsburgh Press and the material can only be used for scholarly, educational, and research use, with only short quotations permitted under Fair Use.

5.4.5 Purdue University Press

Purdue University Press, founded in 1960, publishes mainly in the fields of STM and business but also publishes HSS research. They combine traditional and new technologies in order to guarantee the quality of their publications. They point out that the Open Access availability of their publications has not affected their core criteria concerning the credibility of the author, the validity of the methodology and the rigor of the peer review.⁷⁴ Besides publishing circa 35-40 books annually, they also publish videotapes, CDs and web-based products. They also publish a number of Open Access journals. In collaboration with the Purdue Libraries, Purdue Press publishes Purdue e-Pubs, which are stored in the Purdue libraries digital repository. The e-Pubs repository also stores a number of Open Access e-books, which can also be ordered in print format via their Web site. For their distribution they have formed various strategic relationships with several international and domestic distributors and with other presses to create a global distribution network. The Press uses several printing technologies including, POD, digital conversion and standard print-and-bind manufacturing.

Their copyright policy is based on the Committee on Institutional Cooperation (CIC) author addendum, which has been endorsed by a consortium of 12 American research universities:

Protecting intellectual property rights is a particularly important consideration, as many authors unwittingly sign away all control over their creative output. Toward

⁷⁰ Sticco, *500 Pitt Press Titles Available Again Online and In Print*.

⁷¹ Manning, 'University of Pittsburgh Press Offers Open Access to Select Digital Backlist'.

⁷² Sticco, *500 Pitt Press Titles Available Again Online and In Print*.

⁷³ Manning, 'University of Pittsburgh Press Offers Open Access to Select Digital Backlist'.

⁷⁴ Beth McNeil, Bryan Shaffer and Mark Newton, *Open Access: Perspectives from the Purdue Libraries and the Purdue University Press*. Powerpoint Presentation (April 9, 2009)

this end, the CIC encourages contract language that ensures that academic authors retain certain rights that facilitate archiving, instructional use, and sharing with colleagues to advance discourse and discovery. Accompanying this document is a model CIC publishing addendum that affirms the rights of authors to share their work in a variety of circumstances, including posting versions of the work in institutional or disciplinary repositories. While the particular circumstances and terms governing publication will vary on a case-by-case basis, the underlying principle of encouraging access to the creative output of our campuses should inhere in all of our efforts.⁷⁵

5.4.6 Editions de l'Université de Bruxelles

Editions de l'Université de Bruxelles (EUB) decided to collaborate with the Library of the Université Libre de Bruxelles to combine the strengths of both university institutions to provide free online access to the press's out-of-print books. All of the digitized documents were made available and preserved on a platform hosted by the library (Digithèque). EUB publishes approximately 20 monographs and textbooks annually in the fields of law, economics, political science, philosophy, history and geography. Each book manuscript is submitted to two referees.

Their business model is based on a combination of sales revenues, public funding and university subsidies. No additional funding was used for this specific project however. They have depended instead on the existing human and technical resources of both the EUB and the Library. The EUB's copyright policy requires authors to transfer their copyrights, and the original contract licenses that are adjusted to online dissemination via a contract amendment. Their copyright policy states that:

'digital documents can be used for research, teaching and private purposes as long as the references are fully cited. For any other use, permission must be requested from EUB. Deep links, providing direct access to a particular digital document, are authorized provided that the ULB is clearly identified as being the access provider. Authorized uses include: downloads, copies and storage of the whole digital document (other than deposit in another database, which is prohibited); exact facsimiles, prints and photocopies; and copying and pasting of text.'

To save costs and time, they have decided (when there is no available PDF) to scan the book instead of converting the file. They describe their scanning process in detail:

Digitization is performed with full-colour acquisition, at 250 or 350 dpi for special characters or schemes; the resulting images are restored (removing the black outline and the fingerprints, and straightening the curved text); the resulting full-colour TIFF files are named following the Digithèque's naming convention and

⁷⁵ See: <http://www.cic.net/Libraries/Library/authorsrights.sflb>

archived; then the colour files are converted into black & white (binary code) to reduce their size. The Library produces the final digital PDF copies, adding a scanned image of the book cover, a bookmarked table of contents, enabling users to go directly to a given chapter of the book, and information about copyright and users' rights. The digital copies are stored on the Digithèque server, which provides a permanent URL for each file, i.e., a URL that the institution undertakes not to change for.

The digital platform uses standard communication protocols, like OAI-PMH and Z39.50 and OpenURL to enable metadata searches and maximum accessibility and visibility of the works. The platform is indexed by search engines such as Google.

5.4.7 The University of Adelaide Press

The University of Adelaide's Barr Smith Library has been publishing works under the Barr Smith Press imprint since 1996. The University of Adelaide Press was founded in 2005 and is based on the model used by ANU E-press and current digital publishing techniques. Barr Smith Press still exists as an imprint of the University of Adelaide Press, and publishes works on the history and activities of the university. The mission of the UAP is to publish the university's output for free online and simultaneously in print editions. The authors are all associated with the University of Adelaide. They also use their Web site to promote all of the other recently published works by the University of Adelaide staff. They publish both re-editions and new works in the fields of law, French studies, electronic engineering, neurosurgery, history, politics, geography and vascular surgery.⁷⁶

The University of Adelaide Press states that they use the same rigorous quality control standards, which on both external refereeing and professional design of their titles, as traditional presses. They use an Advisory Committee to assess the quality of the manuscripts and if they qualify they are sent off to one or two external reviewers.

You can download their titles in PDF format or you can order a paperback version through their Web site. They collaborate with other publishers in the co-publishing of books. They also have a partnership with Griffin Press, whose digital printing technology they use to print and bind their own publications. All of their publications are copyrighted by the University of Adelaide Press.

5.4.8 The University of Michigan Press

The University of Michigan Press is part of the University of Michigan Library. Its mission is 'to use the best emerging digital technology to disseminate such information as

⁷⁶ Jacqueline Dutton, 'University's e-press recasts publishing model', in: *The Australian* (November 11, 2009).

freely and widely as possible while preserving the integrity of published scholarship.’ UMP publishes, amongst other publications, HSS monographs and textbooks and regional fiction and art books. Together with the Scholarly Publishing office of the University of Michigan Library, in collaboration with the library, the press and the scholarly publishing office, they publish the Digitalculturebooks imprint, which is ‘dedicated to publishing innovative work in new media studies and the emerging field of digital humanities.’ They hope that this series will promote new open and participatory scholarly practices and start a dialogue about the future of scholarly communications, while also looking into developing a model for library-press collaboration. Two authorities in the research field provide peer review on each manuscript with a focus on the purpose, soundness, originality and clarity of the research.

They also want to use this initiative to gather statistical data on consumption habits according to genre, age and discipline, to gain more insight into the economics of digital publishing. Thus, they see their imprint as a research opportunity.⁷⁷ They hope that free online publications will simultaneously increase print sales. The UM Press prefers to use the most restrictive Creative Commons license with copyrights, which requires attribution and does not permit commercial use. Permission must be received for any subsequent distribution.⁷⁸

5.4.9 The University of California Press

The University of California Press, founded in 1893, has launched FlashPoints, a new series in literary studies which will be available online for free and as a reasonably priced paperback. They describe themselves: ‘in a Benjaminian mode, FlashPoints is interested in how literature contributes to forming new constellations of culture and history, and in how such formations function critically and politically in the present.’ The University of California Press publishes scholarly books, journals and academic series. Together with the California Digital Library (CDL), the University of California Press has set up the University of California Publishing Services (UCPubS). UCPubS will combine the strengths of the two institutions, making use of the CDL’s Open Access digital publishing services (via eScholarship) and the distribution, sales and marketing expertise of the UC Press. This collaboration enhances the publishing services that the UCPubS offers for the various University of California campuses, institutes, and departments such as:

- Book and journal publication (electronic and print)
- Preprint and post-print dissemination (electronic)
- Conference proposal management and proceedings publication (electronic and print)
- Multiple/hybrid revenue models: open access and print sales

⁷⁷ ‘University of Michigan Press, Library, Scholarly Publishing Office Launch Digital Studies Imprint, Web Site’, in: *Library Journal*, January 11, 2007.

⁷⁸ Ibid.

- Scholarly marketing: listing in UC Press catalog, dissemination of book information to the book industry and libraries, indexing, and search engine optimization
- Sales and distribution of print books: order fulfillment, warehousing/archiving, inventory control, credit and collections, customer service, and accounting
- Print-on-Demand
- Peer review management
- Persistent access and preservation
- Sales reports and usage statistics.

The UCP will also in the future offer support for non-traditional publications.⁷⁹ The eScholarship-UC Press collaboration also supports the California International and Areas Studies (CIAS) Electronic Publications Program and the Japanese American Relocation Digital Archive (JARDA) publishing project as well as the publication of other works in the fields of art, science, history, music, religion, natural history, and fiction.⁸⁰ Some of their online titles, however, are only available to UC faculty, students and staff. Readers outside the UC system can access the citations, abstracts and tables of contents of these works, but not the full texts. However as they note: ‘UC Press and the California Digital Library (CDL) will monitor usage of the online books and sales of the print editions to determine if it is feasible to eventually make the entire collection available at no charge to users.’

Their new books are published in XML in order to create highly structured and flexible publications and in order to offer flexibility in the screen presentation. When it comes to additional eBook services they offer:

*fully linked footnote and index references; the ability to search and browse by title, author or subject; detailed bibliographic data for each book, including a one-paragraph summary and many subject terms describing the book's content; and the ability to buy a hard copy of the book right from the Web site. Sophisticated navigation tools make it easy to maneuver through each chapter or from book to book, enabling readers to quickly and easily find exactly what they are seeking. While the Web site is the best place to find an up-to-the-minute list of titles available, the books are also cataloged in Melvyl, the catalog of the University of California libraries.*⁸¹

⁷⁹ University of California Publishing Services: <http://escholarship.org/ucpubs.pdf>.

⁸⁰ John Ober, ‘California Digital Library and UC Press Collaborate to Deliver Scholarly Books Online’, in: *UC Newsroom* (2001-07-31).

⁸¹ Suzanne Samuel, ‘Three hundred University of California press escholarship editions now available on the web’, University of California Office of the President (Jan. 7 2003).

5.5 University Presses

5.5.1 ANU E Press

ANU E Press was established in 2003 and is hosted by the Division of Information at the Australian National University. Their aim is to ‘explore and enable new modes of scholarly publishing’ by producing electronic scholarly texts. These texts will also be sold as POD editions. Their goal is to publish ANU scholarship that lacks a clear commercial market. They hope to reduce high operation overhead of, what they believe, is an unsustainable conventional academic press. By means of the new digital technologies. Their aim is to offer an alternative infrastructure. ANU E Press titles include monographs, journals and conference proceedings, covering a broad range of scholarly disciplines, as well as biographies and autobiographies of key scholarly figures. These works are fully peer reviewed. Their Editorial Committee establishes whether a manuscript is deemed interesting, after which a complete manuscript will be offered for independent peer review.

They are hosted by the Division of Information at The Australian National University and their development is overseen by a Steering Group consisting of members of the Division of Information, and a Steering Committee consisting of representatives of major stakeholders. The Group and Committee determine ANU E Press’s broad strategic and policy directions and monitor its progress.⁸²

Their statistics show a dynamic rate of growth of the online viewing of their Open Access material. ANU E Press’s copyright policy states that the author retains the copyright and readers are allowed to print copies of the online works for non-commercial use. As they describe it:

ANU E Press has exclusive worldwide rights to distribute its eBooks electronically. Readers may not redistribute ANU E Press books via electronic mail lists or electronic news groups. Commercial redistribution is strictly prohibited.

Concerning authors' rights they note:

authors are not permitted to publish works published by ANU E Press on any other web site except their personal sites or sites associated with their institutions, as long as these are non-commercial sites. Authors are permitted to post the title and abstract of their book on any relevant web site as well as posting links on any site that direct readers to ANU E Press site.

⁸² See: <https://dspace.anu.edu.au/handle/1885/42748>.

They offer a standardized publishing process and workflow and they provide content indexing (subject headings and metadata) with hyperlinked term indexing (through scripted generation). They convert all of their titles into XML in order to create electronic editions. From these single source files they make their eBooks available in a broad range of formats: Acrobat PDF, HTML for on-screen viewing, HTML for mobile devices and POD.

5.5.2 The MIT Press

The MIT Press, the press of the Massachusetts Institute of Technology, focuses mainly on the publication of research in the fields of science and technology. They are, as they point out, committed to exploring new fields and new modes of inquiry. They publish some 200 books annually and more than 40 journals. They also publish works in the social sciences such as architecture, social theory, economics, cognitive science, and computer science. They have a long history of using electronic media.

The MIT Press publishes the John D. and Catherine T. MacArthur Foundation Series on Digital Media and Learning, which is available in Open Access electronic editions and has been made possible through the support of the MacArthur Foundation. These titles can also be accessed on a chapter-by-chapter basis. The MIT Press requests that its readers register (optional) at their Web site to enable them to collect more information about the users of their Open Access publications.⁸³ The MacArthur Foundation also supports the Series on Digital Media and Learning, which features new ways of communicating and community building such as competitions and public forums. To gather feedback on the series titles, they use electronic communication tools such as blogs, virtual worlds and simple listservs.⁸⁴

Their business model is based on the fact that Open Access availability is funded by the MacArthur Foundation and on low-priced paperback editions (\$16). One of MIT Press's goals with this dual model is to determine whether these two publication formats can coexist in a sustainable manner.⁸⁵ Their copyright policy stipulates that the works in the series are copyrighted by MIT and published under a Creative Commons Attribution-Noncommercial-No Derivative Works Unported 3.0 license.

5.5.3 Rice University Press

Rice University Press was re-established in 2006 as an electronic-only Open Access press after demise a decade earlier. Their aim has been to explore new models of peer-reviewed scholarship for the 21st century. They are exploring new platforms and media as well as

⁸³ Peter Suber, 'Six OA books from MIT Press', in: *Open Access News* (Monday, December 10, 2007).

⁸⁴ Ibid.

⁸⁵ Ibid.

new modes of thought and argumentation. They publish books on Art, Art History and Literary Studies and some titles on medical diagnostics. Their publications, which are available free online and in print at a reasonable price, are rigorously peer reviewed and evaluated solely on their academic merits. Manuscripts are solicited, reviewed, edited and resubmitted for final approval by their editorial board. Rice University Press aims to publish work that has been seriously affected by the increasingly unsustainable book-publishing model and its goals include providing more affordable publishing opportunities and to form partnerships with large university presses to publish in a more efficient and affordable manner.

Rice University Press has launched a second imprint, Long Tail Press, to reprint out-of-print titles. University presses can partner with Rice University Press to reprint out-of-print titles as co-published, POD books under imprints of both the original publisher and Long Tail Press. It will also publish peer-reviewed and accepted works from other university presses that will not otherwise be published because of the prohibitive costs. Rice University Press, for instance, is currently collaborating with Stanford University Press on a series of books reviewed by Stanford University Press.⁸⁶

The funding behind Rice University Press consists of financial support from Rice University with additional funding from the Brown Foundation, the Samuel H. Kress Foundation, Google and Hewlett Packard. Their business model consists of publishing the titles both free online and in POD as well as publishing works in collaboration with other presses in a more effective and cheaper way. While the more expensive titles are also free to read online readers will be charged a modest fee for downloading.⁸⁷

Rice publishing methods involve the use of Connexions, an open-source technology/e-publishing platform that is also available to other presses. Because this is an open-source platform, authors can easily and freely update or amend their own work.⁸⁸ Connexions also offers authors multimedia functions such as audio files, live hyperlinks and moving images to help craft more dynamic scholarly arguments. Connexions takes care of automatic formatting, and adds high-resolution images, audio, video, and Web links.⁸⁹

Rice University Press copyright policy involves letting authors retain the copyrights to their works in accordance with Connexions' licensing agreement with Creative Commons under the terms of the Creative Commons License 2.0, which asks only that those reusing their work give proper attribution to the original author. Rice describes its publishing process as follows:

After coding their manuscripts with the Microsoft Word template provided by Connexions (or by composing their manuscripts in LaTeX), our authors can upload their work to Connexions and see it converted instantly into Web pages. Connexions software also is able to automatically format its pages for printing in

⁸⁶ Scott Jaschik, 'New Model for University Presses', in: *Inside Higher Ed*, (July 31, 2007).

⁸⁷ Ibid.

⁸⁸ Chad Trevitte and Charles Henry, 'The Rice University Press Initiative: An Interview with Charles Henry', in: *Innovate, Journal of Online Education*, vol. 4, issue 1 (October/November 2007).

⁸⁹ Willinsky, *Monograph funding* 5.

book form, which is effected through our partnership with QOOP Inc., a full-service print broker that also manages all press sales, accounting, and author-royalty distribution.

Their partnership with POD printer QOOP allows them to order books in every style ‘from softbound black-and-white on inexpensive paper to leather-bound, full-color hardbacks on high-gloss paper’. They also research ways to publish heavily illustrated publications in the most efficient way:

Publishing a small, selected number of titles pertaining to medical diagnostics. Books on medical diagnostics are often populated with many color images that are expensive to print, making the cost of these fundamental resources quite high. Rice University Press will publish a small number of these works as digital objects in order to provide a far greater degree of access to physicians and patients, especially in developing areas of the world, at much reduced cost.

5.5.4 Yale University Press

Yale University Press is one of six presses participating in the Caravan project, a program financed by the John D. and Catherine T. MacArthur Foundation, which allows the involved presses to publish books in numerous formats simultaneously (in POD hardback, paperback, digital, and audio formats). Yale University Press first published Jack M. Balkin's *Cultural Software: A Theory of Ideology* in 1998 and Balkin has now requested that his book be published online to see if it will actually boost sales. You can read the book online on their Web site, and download a high-resolution (but non-searchable) PDF file of each chapter. It is licensed under a Creative Commons license. Their goal is to promote sales of the (back-listed) print version using this model:

What we are doing with Cultural Software may be a new and inexpensive way to create interest in the 'long tail' of scholarly works that sell only a few copies a year and would otherwise be a drag on profits.

Yale also experimented with Yochai Benkler's *The Wealth of Networks: How Social Production Transforms Markets and Freedom*, by publishing a free version online with a wiki.⁹⁰

⁹⁰ David Glenn, ‘Yale University Press Places Book Online in Hopes of Increasing Print Sales’, *Chronicle of Higher Education* (September 8, 2006).

5.6 Presses Established by Academics

5.6.1 Open Humanities Press

Open Humanities Press was founded in 2006 by ‘Open Access journal editors, librarians and technologists’.⁹¹ It is today an international Open Access publishing collective in the area of critical and cultural theory. Their mission is to publish leading works of contemporary critical thought free online. Their aim is not only to publish Open Access but also to ‘counter the negative perception of Open Access publishing by addressing the problem at its source: people’s perceptions.’⁹² They hope to counter this problem by focusing on branding and creating a quality scholarly publishing brand that is essentially very trustworthy. All of the OHP’s publications are peer reviewed and academically certified by OHP’s independent board of international scholars.⁹³ OHP now publishes 11 journals and recently launched 5 new Open Access book series, all overseen by a series editor.

Although launched by academics, the OHP established a strategic relationship with the University of Michigan Scholarly Publishing Office (SPO). They describe their relationship as:

*Ours is an innovative distributed publishing model that thrives on the partners’ complementary strengths: as a library publisher, SPO has infrastructure, scale, and experience in digital production. OHP, as an editorial collective of humanities scholars, provides editorial and peer review.*⁹⁴

One of their main aims with this publishing model is to produce books more cost effectively. OHP, together with the Public Knowledge Project (PKP) (which provides Open Source publishing software), wants to establish a business model based on faculty-library publishing partnerships. The cooperation between OHP and SPO is intended to serve as a model for other scholar-based, Open Access HSS monograph publishing initiatives. OHP, together with PKP and other interested parties, aims to develop a grant proposal to form an international faculty-library publishing partnership. Libraries will be the publishing partners and ‘joint providers of an open administrative and production infrastructure for international, self-organizing, scholar-led open access publishing projects’. OHP’s aim is to foster an international alliance (the Open Humanities Alliance) to share and explore new ways of covering editing and production costs and to develop

⁹¹ ‘Free Libre Scholarship: The Open Humanities Press’ (presentation at HumaniTech, UC Irvine, 3 April, 2008 by Sigi Jöttkandt).

⁹² Sigi Jöttkandt and Gary Hall, ‘Beyond Impact: OA in the Humanities’ (presentation at the signing of the Berlin Declaration by Belgian universities, 13 February, 2007).

⁹³ Sigi Jöttkandt, John Willinsky, Shana Kimball, ‘The Role of Libraries in Emerging Models of Scholarly Communications’ (presentation at LIANZA, Christchurch, 13 October, 2009).

⁹⁴ Ibid.

shared publishing processes and workflows.⁹⁵ OHP's business model will also be based on print copy sales (reasonably-priced POD paperbacks) of the free online Open Access available monographs.⁹⁶

Their publications have no embargo period, are published in full Open Access, and can also be accessed for open editing and annotation initiatives:

Authors will retain the copyrights for their works and have a choice of Creative Commons licenses. They will also have the option of making their manuscripts available online in various pre- and post-publication versions for reader commenting and annotation if they so wish. "Liquid Books is intended as a series of experimental digital 'books' published under the conditions of both open editing and free content."⁹⁷

They have a two-stage publishing process: Once a manuscript has been peer reviewed and accepted for publication by OHP's series editors, it will then be forwarded to SPO for the second stage of the production process. SPO will handle 'conversion to structured XML for electronic and print on demand publication, metadata creation and cataloguing, and archiving in the University of Michigan Library for long-term preservation.'⁹⁸ They will also be available as full text Open Access online and nearly all of them appear as PDF's. They have also been investigating the use of Epub.⁹⁹

5.6.2 Open Book Publishers

Open Book Publishers is an independent publishing company run by academics. They publish peer-reviewed and edited HSS monographs, for which they, as they note on their Web site, maintain an independent Advisory Panel and Editorial Board made up of distinguished academics. Book proposals are also reviewed by a number of experts in the involved fields. It is, however, the author's responsibility to deliver his/her manuscript in a format that conforms to the OBP's editorial guidelines. If necessary, the OBP can also arrange proofreading and copy-editing services. They do not charge any publication fees.

Their publishing model is described as an independent publishing company seeking 'publishing collaborations with academic societies and academic institutions willing to develop their own monograph series and welcome enquiries from any such organisation'.

They have a non-profit business model which is dependent on expected revenues from sales of POD paperbacks (£10) and hardbacks (£25). Moreover, they publish entire books

⁹⁵ Call for Participants in an Open Access Faculty-Library Publishing Partnership Development Grant – Open Humanities Press/Public Knowledge Project.

⁹⁶ Richard Poynder, 'Open Humanities Press to publish OA books', in: *Open and Shut*, Richard Poynder Interview with Sigi Jottkandt (September 16, 2009).

⁹⁷ Jottkandt, Willinsky, Kimball, 'The Role of Libraries in Emerging Models of Scholarly Communications'.

⁹⁸ Ibid.

⁹⁹ Poynder, 'Open Humanities Press to publish OA books'.

that can be read online for free as well as individual chapters on a number of channels and platforms, including Google Book Search. You can read their publications online free via Google Book Search, for instance, but they charge a fee for downloading the entire book or individual chapters in PDF format (which they call printable on-line versions). This means, their definition of “open” is not the same as that of the Berlin Declaration on Open Access.¹⁰⁰ On the other hand, authors maintain copyright on their works and by using the Creative Commons framework, the OBP seeks non-exclusive rights to provide electronic and hard copies of the published work.

The goal of OBP's publishing process is to drastically reduce the production time of print monographs by printing works within three weeks of receiving an approved manuscript.

5.6.3 ETC-Press

ETC-Press calls itself ‘an academic, open source, multimedia, publishing imprint’. Founded in 2008 by Drew Davidson, professor, and the then director of the Entertainment Technology Center (ETC) at Carnegie Mellon University (CMU), it is affiliated with the ETC, the Institute for the Future of the Book and MediaCommons. They have also partnered with Lulu.com, which provides printed copies of their digital files in several formats and handles the financing of both their sales and royalty payments. The goal of the ETC-Press is to follow academic tradition by publishing their works in book form, but, at the same time, use variety of digital media to disseminate new ideas to a larger audience.¹⁰¹ Their Open Access book publications focus on entertainment technologies and gaming issues. They describe their business model and choices as follows:

At the same time, we were working on the logistics of running a small academic publishing imprint. We had some funding interest from both the publishing industry as well as foundations. After discussion with our board, we decided to remain independent in order to most freely experiment. We worked with CMU Counsel to hammer out contractual agreements for authors that would clearly state that they

¹⁰⁰ Which states: ‘Open access contributions must satisfy two conditions:

1. The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now), as well as the right to make small numbers of printed copies for their personal use.

2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository using suitable technical standards (such as the Open Archive definitions) that is supported and maintained by an academic institution, scholarly society, government agency, or other well established organization that seeks to enable open access, unrestricted distribution, inter operability, and long-term archiving. <http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>.

¹⁰¹ Adrian McCoy, ‘Book delves into minds of dedicated gamers Cybertainment’, in: *Pittsburgh Post-Gazette* (June 07, 2009).

*retained ownership of all their intellectual property while granting ETC-Press permission to publish a version under a Creative Commons license. Concurrently, we worked on an agreement with Lulu to have them handle all of the finances on both sales and royalty payments. This enabled us to bootstrap the start of ETC Press with essentially no overhead and the primary involvement of myself as Editor and John Dessler (an ETC professor and talented new media designer) as well as input and advice from the advisory board throughout the process. A downside is that we don't have any marketing budget really, but we try to use the Web, email lists and social networks to help promote the ETC-Press, and CMU Public Relations is also supportive with press releases. That said, our goal is less about making money (although we don't run at a loss) and more about the open sharing of ideas.*¹⁰²

They have an external advisory board and an internal editorial group. They use Drupal (an open source content management system) and have incorporated Book Module to host their publications online.¹⁰³ To make their publications more widely available online, ETC-Press has entered into a partnership with the Association for Computing Machinery (ACM Digital Portal for archiving purposes), Feedbooks (an e-reading platform that allows reading across various devices) and ThoughtMesh (which automatically tags content and makes connections across texts).¹⁰⁴ ETC Press titles are also being archived in the CMU Research Showcase. ETC-Press publishes books but also wants to explore other forms of text and (digital) multimedia. Their aim is to develop projects with Sophie (a multimedia authoring tool from the Institute for the Future of the Book) and with In Media Res. The ETC-Press authors retain their copyright, and their works will be published under either a Creative Commons Attribution-NoDerivativeWorks-NonCommercial or an Attribution-NonCommercial-ShareAlike license, which enables remixes of their content. They make use of web 2.0 technologies (users can for instance register on the site and post comments¹⁰⁵) and encourage experiments with versioning of texts and collaborative authorship:

“Every book will have an associated Web site open for comments, which could be considered for subsequent versions of texts. The ETC Press Web site allows registered users to download versions of publications, and share creative new interpretations as well as add comments to the current publications. ETC Press is partnering with LuLu.com to enable instantaneous multiple versions of publications and foster a community of collaborative authorship and dialogue across media.”

¹⁰² Drew Davidson, ‘ETC-Press: An Experiment in Scholarship and Publishing’, in: *Game Education Network*.

¹⁰³ Ibid.

¹⁰⁴ Ibid.

¹⁰⁵ McCoy, ‘Book delves into minds of dedicated gamers Cybertainment’.

5.7 Press-Commercial Publisher Partnerships

5.7.1 TU Ilmenau Press

The University Library of Ilmenau University launched the TU Ilmenau Press in 2006. Although the press focuses mainly on technical and engineering titles, they also publish some titles in Communications and Media studies and the Social Sciences. They utilize a central office called Imedia. Publications are accessible through the Digital Library of Thüringen while print copies are sold via retailers. They cooperate with the Verlagshaus Monsenstein und Vannerdat OHG, a commercial publisher, on their print publications. TU Ilmenau Press works with an author-pays structure, where the author pays for the services provided by the press and the external service providers. In their calculation example, a book of circa 230 pages will cost approximately €115 (€17.50 per copy in a bookstore). The author receives 10 copies of the book. Once 25 copies have been sold, the author gets 75% of the profits on all subsequent sales. They also recommend that the author apply for a one-time royalty request from the German collecting society Wort (VG Wort) of circa €500, which may further reduce production costs. Only academics and students at the University of Ilmenau can publish here. The workflow is based on the author delivering the manuscript in electronic form with the press handling the typesetting and printing, distribution to bookstores (through its cooperation with the Verlag) and ensures that the book will be available for 5 years. They also deposit digital and printed copies in the Thüringer Universitäts- und Landesbibliothek in Jena.

However, the press apparently does not conduct peer reviews, and seems to operate more like a publicity office than as a full-fledged university press. They supply no pertinent information about their copyright policies.

5.7.2 The University of Colorado WAC Clearinghouse

The WAC Clearinghouse is connected to Colorado State University and supports writing teachers across numerous disciplines. It works in collaboration with the International Network of Writing-Across-the-Curriculum Programs. The Clearinghouse was re-launched in 2002 as a publisher of scholarly works addressing writing across the entire curriculum. Together with the commercial publisher, Parlor Press, they publish a textbook series called Writing Spaces, which, they note, consists of peer-reviewed collections of essays by teachers for students, freely available for download under a Creative Commons license. The textbooks are available electronically online for free download from the series Web site and can be re-used for teaching without a fee. Print editions of the volumes will be made available via the Parlor Press. They work together with an Editorial Board on peer reviews of their titles. Authors retain full copyrights of their work. Their business model relies on funding from Colorado State University and its editorial staff and editorial review board. Their copyright policy states that authors grant

Writing Spaces non-exclusive rights to prepare and publish a print edition through Parlor Press. The print edition includes the Creative Commons license and a PDF version available for download. As a default, they offer the Attribution NonCommerical NoDerivs license, but an author retains the choice of whether to use another Creative Commons License.

5.8 Other Publishing Models and Experiments

5.8.1 MediaCommons Press

MediaCommons Press is a project of MediaCommons, a scholar-led, community-driven electronic publishing network that focuses on media studies in all its formats, be it blogs, wikis, journals or digitally networked scholarly monographs. In this way they hope to promote the discussion of different text formats, in all shapes and sizes, both traditional and experimental. The project is dedicated to open scholarship in open formats. Together with the Institute for the Future of the Book (<http://www.futureofthebook.org/>)¹⁰⁶ and the NYU Libraries and with financial support from an NEH Digital Start-Up Grant, MediaCommons Press plans to develop larger-scale publishing projects overseen by an Editorial Board.

The goal of MediaCommons and MediaCommons Press is to get more involved in a networked and collaborative way, during both the preliminary stages of research development and the publishing process, while revamping the idea of publishing and discourse:

Our hope is that the interpenetration of the different forms of discourse will not simply shift the locus of publishing from print to screen, but will actually transform what it means to "publish," allowing the author, the publisher, and the reader all to make the process of such discourse just as visible as its product. In so doing, new communities will be able to get involved in academic discourse, and new processes and products will emerge, leading to new forms of digital scholarship and pedagogy. For this reason, we want our readers and our writers intimately involved in MediaCommons not just after its fuller realization, but [also] in its preliminary stages of development.

Their first publication was Kathleen Fitzpatrick's book *Planned Obsolescence: Publishing, Technology, and the Future of the Academy*, which is currently available for public, open review and will be published in print by NYU Press in 2010. They seek to

¹⁰⁶ The Institute for the Future of the Book is conducting various experiments having to do with the 'future of the book' and publishing. For more information, see: <http://www.futureofthebook.org/>.

collect feedback through this new peer review method on both the research process as well as on the manuscript itself.

5.8.2 Gutenberg-e (Columbia University Press)

Gutenberg-e is a collaboration of Columbia University Press (CUP) and the American Historical Association (AHA). They publish award-winning monographs from the Gutenberg-e Prizes program (a collaboration between CUP, AHA and financially supported by the Andrew W. Mellon foundation). This program was launched to explore and promote the electronic publication of (historical) scholarly research and to find a way to save the historical monograph, which increasingly lacks a significant (commercial) market. On average, six dissertations a year have, in a revised version, been published as e-books by CUP.¹⁰⁷ The books cover a range of historical topics. The peer review is conducted by historians from the American Historical Association, who serve as the judges who determine each year's prize-winners. The digital monographs can be printed out and consumed in the traditional way, but they also 'offer elements that cannot be conveyed in print: extensive documentation, hyperlinks to supplementary literature, images, music, video, and links to related Web sites.' They also offer enhanced publications in their online publications where they 'weave traditional narrative with digitized primary sources, including maps, photographs, and oral histories.' Their business model is based on the project being financially supported by the Andrew W. Mellon Foundation, as stated above. They do not provide print copies for sale, although a limited number of copies of a book will be printed for the author.

*From the viewpoint of Columbia University Press, the initiative presented an opportunity to develop a business model for an electronic successor to the university-press monograph of old. From the viewpoint of the Andrew W. Mellon Foundation, which funded the program, it was another aspect of a broad campaign of developing electronic publication in the social sciences.*¹⁰⁸

This project funds CUP to launch eBooks and to transform (not only translate) print-based dissertations into full-fledged electronic monographs. Prize-winners receive \$20,000 to assist in manuscript preparation.¹⁰⁹ The CUP also sells access to the entire platform of digital monographs to libraries for an annual subscription fee of \$195, including downloading and printing of all works. Individual volumes can be bought for \$49.50 each.¹¹⁰ As the AH Review pointed out, however, very few libraries have thus far subscribed to the series.¹¹¹ Readers may sample Gutenberg-e via a free trial subscription.

¹⁰⁷ Patrick Manning, 'Gutenberg-e: Electronic Entry to the Historical Professoriate', in: *American Historical Review*, vol. 109, no. 5 (December 2004).

¹⁰⁸ Ibid.

¹⁰⁹ Ibid.

¹¹⁰ Kenneth Margerison, 'Gutenberg-e: A Field Report', in: the Viewpoints column of *Perspectives* (October 2003).

¹¹¹ Manning, 'Gutenberg-e: Electronic Entry to the Historical Professoriate'.

The function of CUP goes further than traditional presses because they actively contribute to the entire publication process:

authors of the Gutenberg-e works experience the revision and publication process as more of a collaboration with the publishing staff. The collaboration formally occurs through a series of workshops in which the authors come to Columbia for two-day meetings with the editors, web developer, designer, and programmer working on their project. During these meetings the author and staff exchange ideas, address concerns, identify problems, and develop the editorial, design, and technical strategies for transforming the dissertation onto an online work. Between workshops, the collaboration continues via e-mail and phone calls. As a result of such continual interaction, authors often gain new insights into their project's organization and presentation. In several cases, the conceptualization and plan for the project as a whole is developed through this collaboration. As a result of this collaborative process of development, authors and publishers become active partners in the creation of new kinds of scholarly work. The electronic publishing organization thus takes on the role of a research center that can help to create new models of historical scholarship, with the technology staff as colleagues who lead innovation because they understand the potential of information technology to affect the ways in which people use scholarly materials.”¹¹²

The copyrights are retained by the Columbia University Press and any other use (except for specified use rights), duplication, manipulation or distribution of the content is prohibited. However ‘any user may search, download, and save material, as appropriate, that is included in Gutenberg-e and may make single printed copies of individual writings for private personal use or research.’ When it comes to the production process, the monographs have appeared at an average of less than three years from time of award to publication. Multimedia files on Gutenberg-e can be viewed with either QuickTime or RealOne Player and some documents are also available in PDF. For the html-formatted text, they use a paragraph numbering scheme.

In 2008, Gutenberg-e was transformed from a subscription-only system into an Open Access model, meaning amongst other things, that a revision of their copyright policy (for instance, permissions for using certain images online). CUP also established a partnership with the Humanities E-book platform from ACLS (subscription-only) that will also host digital versions of their monographs. As they have note, this switch was due to problems concerning the sustainability of the project:

It appears that the basic costs of preparing the Gutenberg-e titles for online publication were not sustainable without a significant revenue stream or outside support,” Robert B. Townsend, the association’s assistant director for research and publications, wrote in the blog announcement: ‘We have not been able to

¹¹² Kate Wittenberg, *The Gutenberg-e Project. Opportunities and Challenges in Publishing Born-Digital Monographs* (2008).

create a sustainable financial model for the publication of these online scholarly monographs.’ He noted that only the support of the Mellon foundation and Columbia University had kept the project going.

One of the problems they encountered was that ‘the demand for digital publishing opportunities for monographs by academics wasn’t as great as anticipated.’ Moreover, the work involved in the digital publication and conversion of the works proved more labor-expensive than expected, and thus did not deliver the savings they had expected from the digital options and increased production process efficiency. As they state however, the experiment has proven very valuable in establishing a publication model in which authors, designers and production staff work closely together.¹¹³

5.8.3 Open Monograph Press

Open Monograph Press was developed by the Public Knowledge Project as a new Open Source publishing venture. It is currently under development and will support the management of both print and electronic editions of monographs.¹¹⁴ The Public Knowledge Project was founded by John Willinsky in 1998, as a collaboration between academics and librarians from a range of prestigious US institutions (the Faculty of Education at the University of British Columbia, the Simon Fraser University Library, the School of Education at Stanford University, and the Canadian Centre for Studies in Publishing at Simon Fraser University). The PKP has already developed the leading Open Source software programs OJS and OCS (Open Journal Systems and Open Conference Systems) for Open Access journal and conference publishing.

The system was developed to offer an alternative to current publishing practices. Athabasca University Press is one of its development partners and is closely involved in the design and programming of OMP. OMP is also collaborating with Open Humanities Press and a large list of other (international) partners.¹¹⁵ They also hope their system will be beneficial to publishing in low-income countries.

The Open Monograph Press is basically a software system used to support Open Access and thus does not determine the economic model. However, it does aim to reduce infrastructure costs at a number of points. They point out that they do have ‘a module for

¹¹³ Jennifer Howard, ‘Landmark Digital History Monograph Project Goes Open Access’, in: *Chronicle of Higher Education*, 54(26) (2008).

¹¹⁴ Willinsky, *Toward the Design of an Open Monograph Press*.

¹¹⁵ Willinsky, *Toward the Design of an Open Monograph Press*, 6. For the development of their software they collaborate amongst others with: International Network for the Availability of Scientific Publications, Oxford, Instituto Brasileiro de Informação em Ciência e Tecnologia, Brasília, Red de Revistas Científicas de América Latina y El Caribe, España y Portugal (REDALYC), Mexico, FeSalud – Fundación para la eSalud, Málaga, España, Journal of Medical Internet Research, Toronto, Multiliteracy Project, Vancouver, National Centre for Scientific Information, Indian Institute of Science, Bengalooru and IDRC grant (NCSI/PKP).

financial transactions, while allowing for delayed, partial, and other forms of open access.’¹¹⁶ The system can thus serve different publishing and business models:

*While the Open Source publishing system that is being developed for monographs by PKP includes transaction and supply-chain modules, as well as Print-On-Demand production, which enables publishers to do 'business' with readers, libraries, and booksellers, the prospect of offering Open Access for all or a good part of the content is an important element to this whole approach. This approach to funding could be pursued in association with university presses, commercial presses, libraries, institutes, and societies, as well as independent groups of scholars working on a specific project.*¹¹⁷

OMP will provide a system that consists of separate modules (for uploading, reviewing, signing off, production, transactions, scheduling, etc.), based on the existing PKP software. This means that this Open Source system is customizable to fit the needed publishing process, to simplify the process and to ‘reduce costs and energy’. The software has options for the incorporation of other software and/or composing tools and for connecting to social networks in both the research and production phase. It also offers the possibility of establishing a workspace for potential monograph projects:¹¹⁸

The idea is that a group of scholars in the humanities, with an interest in a scholarly project focused on archive-able materials (medieval manuscripts, musical scores and performances, an author’s letters, etc.), would be able to use the different OMP modules to assemble a work, including the social networking incubator working space, the Submission module for assembling the component parts of the work, the Production module for developing the components, the Sign-off modules for assessing the materials to be archived, ensuring that they are of exhibition quality, in terms of reproductive quality and image resolution, as well as full documentation, identification, provenance, and permissions.

¹¹⁶ Willinsky, *Toward the Design of an Open Monograph Press*, 7-8.

¹¹⁷ Willinsky, *Monograph Funding*.

¹¹⁸ Willinsky, *Toward the Design of an Open Monograph Press*, 12.

6 Analysis of the Case Studies

The book publishers presented in this overview constitute an eclectic group. Full-fledged, internationally oriented, commercial publishers, classic university presses publishing predominantly in HSS and new cooperative forms like library-press combinations and more experimental coalitions, can all be found in this overview. What they share is a belief that Open Access publishing can prove to be a sustainable business model (although this issue is still being debated), and that it will be beneficial for scholarly communication, and, more specifically, for HSS book publishing. The sustainability and long-term viability of these models is still uncertain at this time, with most of the initiatives in this overview still engaged in the experimental phase (and thus, in many cases, heavily dependent on external funding). A recent comment from the SPARC-ACRL forum pointed out that: ‘Open access monographs are an unprecedented boon to the scholarly mission of dissemination, yet challenge the financial sustainability of an academic press.’¹¹⁹

In general, the reasons for experimenting with Open Access books, as many of the initiatives mentioned, concur with those mentioned early in our report. The benefits of Open Access are many because it makes scholarship more accessible and makes dissemination more effective. Open Access also opens up the options of scholarly content by making meaningful connections between online texts on a larger scale. Furthermore, many of the initiatives state that their experiments were launched out of a necessity to find a new publishing model that could help solve the impasse or crisis in scholarly publishing. An Open Access model for books can also be more costs effective. This explains why some commercial presses have also begun experimenting with Open Access book publishing and they hope to profit from their chosen models. Other, more mission-driven reasons to experiment with Open Access include taking social and ecological responsibility, to liberate ideas and thinkers from market constraints and to be able to publish scholarship that lacks a clear commercial market. Finally, there is the hope that these experiments will demonstrate the benefits of Open Access to the involved stakeholders and eliminate some of the negative images that Open Access publishing (lack of sustainability, low prestige, etc.) has.

Thus it seems that any study of Open Access Business Model has to be aware that Open Access publishing is not just some economic endeavor, but is heavily influenced by a variety of political factors, and most of all, by a commitment to promote the accessibility of research and knowledge in our society.

¹¹⁹ Josh Hadro, ‘At SPARC-ACRL Forum, Reality Check on Open Access Monographs’, in: *Library Journal*, 1/21/2010.

6.1 Content and Quality Control

When it comes to the online content in Open Access in these experiments, a distinction needs to be made between reprinting out-of-print books (by making use of file conversion or scanning) and making available newly published books and editions, because this has a great influence on the choice of business model used (costs for scanning and file conversion vs. costs for peer review, editing, etc.). Another important difference is between fully Open Access presses and those that are only experimenting with selected series or titles. These experiments can, for instance, be supported by cross-subsidizing of for-sale-content. Cross-subsidizing also occurs when presses publish journals (and choose an Open Access model or a combination of models more adapted to articles) and/or also publish in fields other than HSS (i.e., in STM, trade books, textbooks, multimedia publishing, and even fiction).

We see a strong insistence on rigorous peer reviews and quality control standards among most of the initiatives. It seems this is partly due to the enduring negative image of Open Access publications. This means that most presses must emphasize that their Open Access publications undergo the same rigorous review processes as their print publications. Although some experiments are also being conducted with more open and alternative forms of peer review and with download and usage statistics and bibliometrics, most peer review policies focus on classic double blind methods and high-quality editing. On the one hand, there seems to be a great deal of transparency when it comes to the peer review process, where the policy is elaborately detailed on publishers' Web sites and/or the Editorial Board members are listed to lend them further credence. Other initiatives, on the other hand, fail to mention their peer review details or simply note that they have one (which is then, of course, according to them, very thorough).

6.2 Publishing Models

The publishing models used by OA book publishers seem to be much more varied than their business models. New strategic collaborations on a title, series or on a more structural basis seem to be quite common. This is due not only to the fact that these initiatives and presses all have their own unique backgrounds, but mostly because the digital format, the environment, and availability of digital tools (and Open Source software) has actually made it easier for new and established players in scholarly communications to enter the (HSS) book publishing world and engage in strategic coalitions. On the other hand, launching a digital publishing venture has its own challenges, and thus collaborations between partners with matching experiences are a promising strategy for the future.

Three things stand out in this respect: 1) the rise of the so-called library-press collaboration, 2) the launching or revamping of a new institutional player, the scholarly communication or publishing office, and 3) the increased and continued importance of academics, and of academic departments (including ICT departments) in OA initiatives. It seems, that, as the *Ithaka report* already suggested in its recommendations of 2008,¹²⁰ Open Access publishing initiatives have taken Ithaka's recommendations to heart; many have been launched as university-based cross-collaborations. But also from a commercial viewpoint, collaborations are sought with other (commercial) publishers, and with universities and university institutions, both in the form of content and resources sharing as well as in the form of collaborations on the level of services and consultancy offers. Some of the initiatives in our overview have also created partnerships with non-profits or commercial publishers, in which they share common goals and interests.

But, as we mentioned above, the main reason for collaboration among cooperative publishing ventures is the increased efficiency and resource sharing it provides. The role played by the library in these library partnerships is mostly focused on infrastructure building and provision, technical support and digital preservation. Editorial, marketing and managerial aspects are mostly performed by the press or by academic departments (or outsourced to these divisions). In this respect, these cooperative ventures are a good example of efficient task division and resource sharing and shows that the publishing model can be highly influential when it comes to the funding, business or income model used by the OA book publishing initiative.

Some of the more established models would also like to reach out beyond their traditional environment or institutional context, either out of ideological or profit reasons. The Scholarly Publishing office of the University of Michigan Library, for instance, offers services that go beyond its own institutional context, where they work together with the Open Humanities Press to create a publishing model that might serve as a future model for library-press collaborations. What remains important, however, is that beside these new collaborations, traditional forms of publishing (commercial publishers, classic university presses, etc.) are equally involved in Open Access publishing and are also well represented in this overview. So, although Open Access book publishing has initiated a great deal of innovation in the area of publishing models, more traditional models continue to survive.

6.3 Business Models

One aspect of the of the Open Access initiative's business models, focuses on cutting costs by introducing systemic efficiencies by introducing state-of-the-art digital printing,

¹²⁰ Amongst others it was recommended to: 'Develop a shared electronic publishing infrastructure across universities to save costs, create scale, leverage expertise, innovate, extend the brand of U.S. higher education, create an interlinked environment of information, and provide a robust alternative to commercial competitors', Ithaka Report, 32.

marketing and distribution techniques, but also by using scale and platform advantages and by combining the (human and technical) resources of the different partners in publishing collaborations between, for instance, libraries, presses, universities, academic institutions and ICT departments. The establishment of a new stakeholder in quite a few of these publishing models, a scholarly publishing or digital printing office, is a manifestation of this search for new benefits and efficiencies through the use of digital technologies. (Cost-) efficiencies can also be gained by introducing Open Source software and platforms.

Additional funding of both Open Access and print editions, or the archiving process, occurs in partnerships with universities, non-profit organizations, libraries, funding agencies, and strategic partnerships with (foreign) publishers or through corporate sponsorships. These funding mechanisms may occur in the form of structural subsidies or endowments, experimental one-time funding schemes, or other schemes. In library-press collaborations, as noted earlier, the library commonly handles the digital scanning, preservation, as well as the hosting techniques and costs. Sometimes, the Open Access edition is sponsored by institutional or organizational subsidies where additional revenues for the press need to be recouped by additional print sales.

Cross subsidizing is also used to pay for Open Access books, where profits from non-OA publications sometimes fund OA publications, and where by list building and the focus on trade and textbooks, more niche-oriented and specialized books can also be funded.

Almost all of the aforementioned business models use the hybrid model, offering an Open Access online version for free while they attempt to raise revenues from print (POD) editions. This model chiefly serves as the basis for an even greater mix of funding and revenue models. Most models, even those of commercial initiatives, focus on a combination of sales revenues; public, organizational or commercial funding; university subsidies; and cross subsidizing. Moreover, many of the initiatives hope to profit from added value services on top of content, and from consultancy services and platform and scale advantages. Efficiencies are further gained by utilizing cost- and time-saving digital production, management, marketing and storage technologies and existing human and technological resources (in many cases through collaborative publishing models).

Interestingly, while this model is commonly used in journal publishing, none of the initiatives use article-processing fees or publication charges, except TU Ilmenau Press, of whom can be argued they offer more a publication than a true publishing service. The absence of a direct author-pays system for monographs does not mean, however, as this report has shown, that there is no substantial institutional and public funding for these OA book publishing initiatives. Many of the models discussed in our overview make use of several funding and revenue streams in order to either be 'sustainable', to break even or to make a profit.

The extra services beyond OA content that are offered are seen as an important potential revenue streams. These services are directed at the various stakeholders in the publishing

process. Many of the scholarly services target authors, for instance through royalties on print copy sales of an OA publication. Some of the services chiefly benefit libraries and their clients, scholars as readers, offering full browsing functions and full-text search, extended database searches, navigation tools, enhanced, interactive multimedia publications, connections to blogs, podcast and online resources and social media sites. Expanded research tools on top of the collection are also offered. The idea of a platform or a collection of eBooks enables the scale on top of which these services can then be built and further enables both meaningful connections with the other texts in the collection and with texts and information sources outside of the collection. Licenses for these platforms or book series can then be sold to libraries, where other forms of package or bundle sales also apply. For publishers, added-value services focus mostly on web marketing, e-management and POD services, as well as on distribution and publishing platform, conversion services, republishing and reprinting services, and advice on copyright clearance. In some cases, downloading and printing are also seen as value-added services, where publications can be read online for free but a fee is paid to be able to download or print the (whole) file. Some books will only be available in PDF and libraries or their clients pay fees for more advanced or flexible formats like HTML, EPUB or XML. In some cases, a publisher will also charge for editorial, proofreading and copy-editing services.

Consultancy services are also offered, mostly to other publishers as marketing and management services, and information on how to create an Open Access publication infrastructure. Consultancy services are also offered to authors, advising and aiding them, for instance, with digital publication strategies.

Some presses also offer more innovative services, mostly for scholars, involving, for instance, experimental research environments where more ‘forward-looking services’ like versioning, liquid publications, and new forms of peer review and quality establishment are being explored as well as experiments with new forms of informal publications such as blogs, wikis or networked books, which focus on areas beyond Open Access into open scholarship areas. Another part of this innovative vision is the monitoring of download and sale statistics of OA and print editions, in order to gain more insight into customer behavior, usage of online books and the sustainability of print sales in a hybrid model. Many experiments also focus on the fact that they want to experiment with their business models to design a sustainable one for the future.

6.4 Publishing Process

The possibilities that digital publishing practices offer to publishing initiatives should not be underestimated. The rise of POD and digital printing techniques has already proven to be essential aspects of most OA business models. Cost reductions have also been gained by the introduction of digital tools, e-management workflows and subsequent distribution platforms, which are, in many cases, based on Open Source software and environments such as D-Space, DPubs, Connexions and Drupal. Online distribution channels are also

increasingly being used, for both the electronic and print versions. The most important online distributors are Google Books and Amazon, but also more communication focused platforms such as ArXiv and E-LIS.

These digital infrastructures range from the highly complex ones that are based on XML with automated metadata adding, to the most simple ones. Some presses simply offer the publications online on their Web site and delegate the POD production and sales to on-demand printing concerns. Depending on the publishing model used, the digital infrastructure of libraries and universities can be used. With these infrastructures, libraries (and other players) can take care of digitization, scanning, full-text searchability of books, and can make connections with other collections by using protocols like OAI-PMH, Z39.50 and OpenURL. Sometimes this is done manually, or it is incorporated into the platform itself. Some of the initiatives in this overview also focus on the development of research tools that aid the research process itself before it is actually finalized (from Open Access to open scholarships). This development reflects the changing role of publishers (and librarians), where they seem to be increasingly transforming themselves into service providers for scholarly research instead of to being simply in charge of the peer review process.

There are significant differences in the amount of time it can take to produce an OA eBook. Efficiencies could be reached here, where the Open Book Project claims to be able to publish the printed monograph three weeks after receiving the final manuscript. On the other hand the extensive multimedia digital publications from Gutenberg-e, with their own interactive Web sites took three years to be published on average.

6.5 Copyright

The most remarkable aspect regarding the use of copyright and licensing schemes for Open Access books is the large number of different licenses in use and the differing opinions on what constitutes Open Access and, as a consequence, what is permitted under an Open Access license. The Berlin Declaration, for instance, allows the copying and downloading as well as distributing of a publication and the creation of a derivative work under an Open Access license (mirroring a CC-BY license to some extent). However, only a small minority of the Open Access initiatives mentioned in this overview actually use this least prohibitive CC license. This seems to indicate that there is still a general lack of awareness with publishers, authors and end users of what Open Access really means.

Creative Commons licenses are, however, widely used among OA book publishers, also covering the entire spectrum of possible CC licenses. However, there are also presses who have drafted their own 'Open Access' copyright licenses, some of which mirror CC licenses, while others are more restrictive. Many copyright licenses state that publications can only be used for non-commercial sharing, giving the publishers exclusive rights to

distribute the works for profit. Traditional copyright licenses are also used, in which the author cannot keep his or her copyright, and it is transferred to the publisher, only leaving options for the sharing of the work under fair use policies. Although this paints a rather disappointing picture regarding copyright policies and Open Access, the situation seems to be the same with Open Access journals.¹²¹

This lack of understanding of the nature of Open Access can also have severe consequences on the business model, where, in some cases, people believe that publishing material online (using for instance Google Books), is Open Access and subsequent ‘services’ like downloading, printing and distribution can only be done for a fee paid by the end-user.

All in all, except for a few cases, even in the case of the more ‘open’ or progressive licenses, there still seems to be a fear amongst (Open Access book) publishers to allow derivative works and commercial re-use.

¹²¹ Peter Suber’s open Access overview 2009: ‘Nevertheless, only 15.6% (708 out of 4,535) of the OA journals in the DOAJ currently use CC licenses (as of January 1, 2010). The Open Access Scholarly Publishers Association (OASPA), the SPARC Europe Seal of Approval program, and SURF all recommend the most open of the CC licenses, the CC-BY or Attribution license, but only about 9.9% (449 out of 4,535) of the OA journals in the DOAJ currently use CC-BY. When OA journals don’t use CC licenses, or any other open licenses, they operate under all-rights-reserved copyright policies, block all uses beyond fair use (or the local equivalent), and fail to free users to realize the benefits of libre OA.’ <http://www.earlham.edu/~peters/fos/newsletter/01-02-10.htm>.

7 Main Findings and Conclusions

Most of the initiatives in this overview are still in an experimental phase. Their experiments with Open Access book publishing serve as methods to gather data on eBook usage and revenue models and to eventually develop a sustainable business model (or models). This search for viable models is traversed by, on the one hand, the hope that these experiments will find a way to save the HSS monograph from extinction, and, on the other hand, by a strong feeling of uncertainty when it comes to sustainable long-term business models for Open Access book publishing ventures. Most of the experiments mentioned in this overview are currently still dependent on funding and subsidy structures, and it is difficult to gauge which one(s) will become (the most) viable.

There are also more ideological and political factors that play a role in these experiments, factors that address the opening up of scholarship, i.e., making it more accessible and searchable on a broader scale. The book publishing initiatives vary greatly in scope, from single book experiments to full-fledged Open Access publishers, from rediscovering and retro-digitizing backlists to true Gold Open Access publishing. There is a strong feeling among these initiatives that traditional peer reviews must be maintained to counter the persistent negative perceptions regarding the quality of OA publications). However, besides this insistence on the traditional peer review, experiments are also being conducted with alternative forms of (open) peer review.

Although the publishing models vary widely, OA book publishing is dominated by university-based cross-collaborations, where the most used models are library-press collaborations, but presses established and managed by academics are also on the rise. A new player in many cases is the office for digital publishing or digital scholarly communication. Collaborations with partners outside of the university setting – whether they are not-for-profit or commercial – are also quite common. These new collaborations are mostly established in an effort to reduce cost and increase efficiency. However, traditional publishing models (university presses, commercial publishers) are also well represented within the OA book-publishing world.

The OA business models are based on three goals: Cutting costs and creating efficiencies by introducing digital publishing strategies and innovative publishing models; developing a complex mix of subsidies and funds from different sources and partners on top of the ‘simple’ hybrid model (which may vary even on a book level); and finally, the creation of services on top of or parallel to OA online content. All in all, the production of monographs (both print and digital formats), implies many potential types of revenue.

The publishing process relies heavily on digital technologies, where POD and digital printing techniques are an essential part of most OA business models and the establishment of digital workflows, regardless of whether they use Open Source software and infrastructures, serve to support these processes.

Copyright policies are generally still confusing because of a lack of understanding of what Open Access actually entails, and thus many different copyright licenses are currently being used (including traditional licenses in which the publisher retains the copyright). The Creative Commons licenses are the most, although only relatively few of the publishers in this overview use the CC-BY license, which is the most true to the Berlin Declaration

In general, although there are many experiments going on at this time, it is still too early to say which publishing and business models will emerge in the Open Access book-publishing world as the most viable. Perhaps a combination of funding and subsidies, resource sharing, efficiencies through economies of scale and collaboration, print sales and services along with free content, will prove to be the most successful. In this respect, publishers may eventually become ‘producers’, combining different sources of revenue and funding into a break-even model. But, just as monograph publishing has generally become unsustainable in a print world without some form of subsidies, it seems that Open Access monographs will also require additional funding.

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9 Diagram of Open Access Book Publishing Initiatives

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>ANU E Press</i>	University Press	Hybrid (e plus PoD), institutional support	Author retains the copyright (but no online distribution), Press has exclusive worldwide rights to distribute its eBooks electronically	Peer review, Editorial Board	Standardized publishing process and workflow, Content and hyperlinked term indexing, XML
<i>Athabasca University Press</i>	Library-Press partnership, strategic partnerships with Public Knowledge Project and University of British Columbia Press	Hybrid (e plus PoD), institutional support	Creative Commons licence (Attribution-Noncommercial-No Derivative Works 2.5 Canada)	Formal double-blind peer-review process, Editorial Board	Experimental multimedia content, videos, podcasts and book-trailers, development of open source publishing product Open Monograph Press (OMP), value-added publishing formats like XML and Epub
<i>Bloomsbury Academic</i>	Commercial Publisher - Partnerships with other publishers	Hybrid (e plus PoD - hardback copies)	Creative Commons - several options including CC+	'Rigorous peer-review and editing', Editorial Board	'Student packs', E-book bundles for libraries, royalties for authors, (collaborative) publishing platform, Enhanced Publications, multimedia content and versioning
<i>Editions de l'Université de Bruxelles</i>	Library-Press partnership	Hybrid (out-of-print books), institutional support	Copyright with press, non-commercial use allowed as long as fully cited	Not specified	Fully searchable and standardized digital platform

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>ETC-Press</i>	Press started by Academics, collaborations with the Institute for the Future of the Book and MediaCommons and Lulu.com	Hybrid (e plus PoD)	Authors retain the copyright, Creative Commons Attribution-NoDerivativeWorks-NonCommercial or Attribution-NonCommercial-ShareAlike license	External advisory board and Internal editorial group	Web 2.0 technologies, versioning, collaboratories, multimedia content, develop projects with Sophie (a multimedia authoring tool) and with In Media Res, Personal Website with each book
<i>Gutenberg-e (Columbia University Press)</i>	Other Publishing Model or Experiment	E-only, Project financially supported by the Andrew W. Mellon foundation, fee for platform of digital monographs	Copyright with press, duplication, manipulation or distribution of the content is prohibited. User may search, download, and save material, as appropriate, and may make single printed copies of individual writings for private personal use or research	Peer Review	Enhanced publications, Multimedia Content, Establishing a publication model in which authors, designers and production staff work closely together, also during the research process, Platform of Digital Monographs
<i>HSRC Press</i>	Press established by Academy or Research Council - Partnerships with other publishers	Hybrid, institutional support	Copyright rests with the Human Sciences Research Council	Formal double-blind peer-review process, Editorial Board	
<i>Internet-First University Press</i>	Press established by library	Hybrid (e plus PoD)	All mass reproduction, even for educational or not-for-profit use, requires permission and license	Editorial Board	Consultancy services (for publishers), Royalties for authors (per sold copy), usage statistics and citation linking, Multimedia materials, digital repository services through D-Space
<i>Ledizioni – LEDIpublishing</i>	Commercial Publisher	Hybrid (e plus PoD)	Creative Commons - several options	Not specified	Re-publishing out-of-print titles, web marketing and e-publishing services for authors and publishers, consultancy services, Royalties for authors and publishers

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>MediaCommons Press</i>	Experimental, Collaboration with Institute for the Future of the book and NYU Libraries	institutional support	Not specified	Editorial Board	Experimental formats: blogs, wikis, journals or digitally networked scholarly monographs, open scholarship in open formats, public, open review, services that focus on the research process
<i>Newfound Press</i>	Press established by library	Hybrid (e plus PoD - via University of Tennessee Press)	Authors retain the copyright	Peer review, Editorial Board	Consultancy services (for authors), Enhanced Publications, multimedia content, usage statistics, digital repository services
<i>O'Reilly</i>	Commercial Publisher - Partnership with the Internet Archive and Creative Commons	Hybrid or e-only (for out-of-print books)	Creative Commons - several options	Not specified	
<i>Open Book Publishers</i>	Press started by Academics, Collaborations with academic institutions	Hybrid (e plus PoD - hard- and paperback copies), fee for downloading	Authors retain the copyright, Creative Commons - several options, though fee for downloading	Peer review, Editorial Board	Proof-reading and copy-editing services, Reading online on multiple platforms, very reduced production time of printed monographs
<i>Open Humanities Press</i>	Press started by Academics, strategic collaboration with Public Knowledge Project and University of Michigan SPO	Hybrid (e plus PoD - reasonably priced paperbacks)	Creative Commons - several options	Peer review, Editorial Board	Development of faculty-library publishing partnerships, Set up of an international alliance (the Open Humanities Alliance), Open editing and annotation, versioning, XML, Digital preservation services
<i>Open Monograph Press</i>	Other Publishing Model or Experiment	Variable	Variable	Variable	Development of a publication system that consists of separate modules, Open Source PKP software
<i>Pennsylvania State University Press</i>	Library-Press-Office of Digital Scholarly Publishing partnership	Hybrid (e plus PoD), institutional support, only 50% of publication is printable	Copyright with Press, Fair use policy, only 50% of publication is printable	Peer review, Editorial Board	Open-source publication management system: DPubS platform

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>Polimetrica</i>	Commercial Publisher - Partnerships with Universities	Hybrid (e plus digital printing - Small stock of low-priced paperbacks)	"Polimetrica License B"	Not specified, editing in collaboration with universities and academics	Royalties for authors and editors
<i>Purdue University Press</i>	Library-Press partnership	Hybrid (e plus Digital Printing), institutional support	Committee on Institutional Cooperation (CIC) author addendum	Peer review	Experimental multimedia content
<i>Re.Press</i>	Commercial Publisher	Hybrid (e plus PoD - hardback copies)	Creative Commons CC-BY-NC-ND	Not specified	Re-publishing out-of-print titles
<i>Rice University Press</i>	University Press, Collaborations with other publishers	Hybrid (e plus PoD out-of-print books), institutional support	Authors retain the copyright, Creative Commons License 2.0	Peer review, Editorial Board	Connexions, an open-source technology/e-publishing platform, multimedia content, versioning, Re-publishing out-of-print titles
<i>Sydney University Press</i>	Press established by library	Hybrid (e plus PoD), institutional support	Copyright with University of Sydney Library	External readers and professional editors	Digital repository services, re-publishing of out-of-print titles, Royalties for authors, Usage statistics, Web 2.0 technologies, enhanced publications
<i>The Academy of Sciences South Africa</i>	Press established by Academy or Research Council	Not specified	Not specified	Not specified	

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>The MIT Press</i>	University Press	Hybrid (low-priced paper back editions), institutional support	Registration before gaining access, copyrighted by the MIT and published under a Creative Commons Attribution-Noncommercial-No Derivative Works Unported 3.0 license.	Not Specified	Usage statistics, Web 2.0 communication devices (blogs, virtual worlds)
<i>The National Academies Press</i>	Press established by Academy or Research Council	Hybrid, institutional support, sale of PDF's	Freely downloadable PDF's can be shared for noncommercial, educational purposes, as long as they stay intact. Copyright Clearance Center's Rightslink service	Not specified	
<i>The Ohio State University Press</i>	Library-Press partnership	E-only, institutional support	online versions of out of print books may be used for any non-commercial purpose. Copyright with Press	Peer review, Editorial Board	
<i>The University of Adelaide Press</i>	Library-Press partnership	Hybrid (e plus Digital Publishing), institutional support	Copyright with press	Peer review and Advisory Committee	

Open Access Book Publishing Initiatives	Publishing Model	Business Model	Copyright Policy	Peer Review Policy	Additional Services
<i>The University of California Press</i>	Library-Press-UCPubS partnership	Hybrid (e plus PoD - reasonably priced paperbacks), institutional support	Not specified. Some titles only available for UC faculty, students and staff	Peer review	XML, usage statistics, Various publishing services for the University of California, various on-platform additional eBook services
<i>The University of Colorado WAC Clearinghouse</i>	Press-Publisher Partnership	Hybrid, institutional support	Creative Commons license - several options, default Attribution NonCommerical NoDerivs license	Peer review, Editorial Board	
<i>The University of Pittsburgh Press</i>	Library-Press partnership	Hybrid (with mostly out-of-print titles), institutional support	It is not possible to download the entire book or certain chapters, Copyright with Press, only for scholarly, scientific or educational use under Fair Use		Usage Statistics
<i>TU Ilmenau Press</i>	Press-Publisher-Publishing Office Partnership	Hybrid, author-pays structure	Not specified	No peer review	Typesetting and printing, dissemination, depositing of digital copies in repository
<i>Yale University Press</i>	University Press	Hybrid (e plus multiple formats), institutional support	Creative Commons license	Not specified	Multiple formats