2017-06-05

Surveying the Scalability of OA Monograph Initiatives - Final Results Presentation

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Agenda

1. **Responses**

2. **Motivations**

3. **Funding**

4. **Decision-making**

5. **Looking ahead**

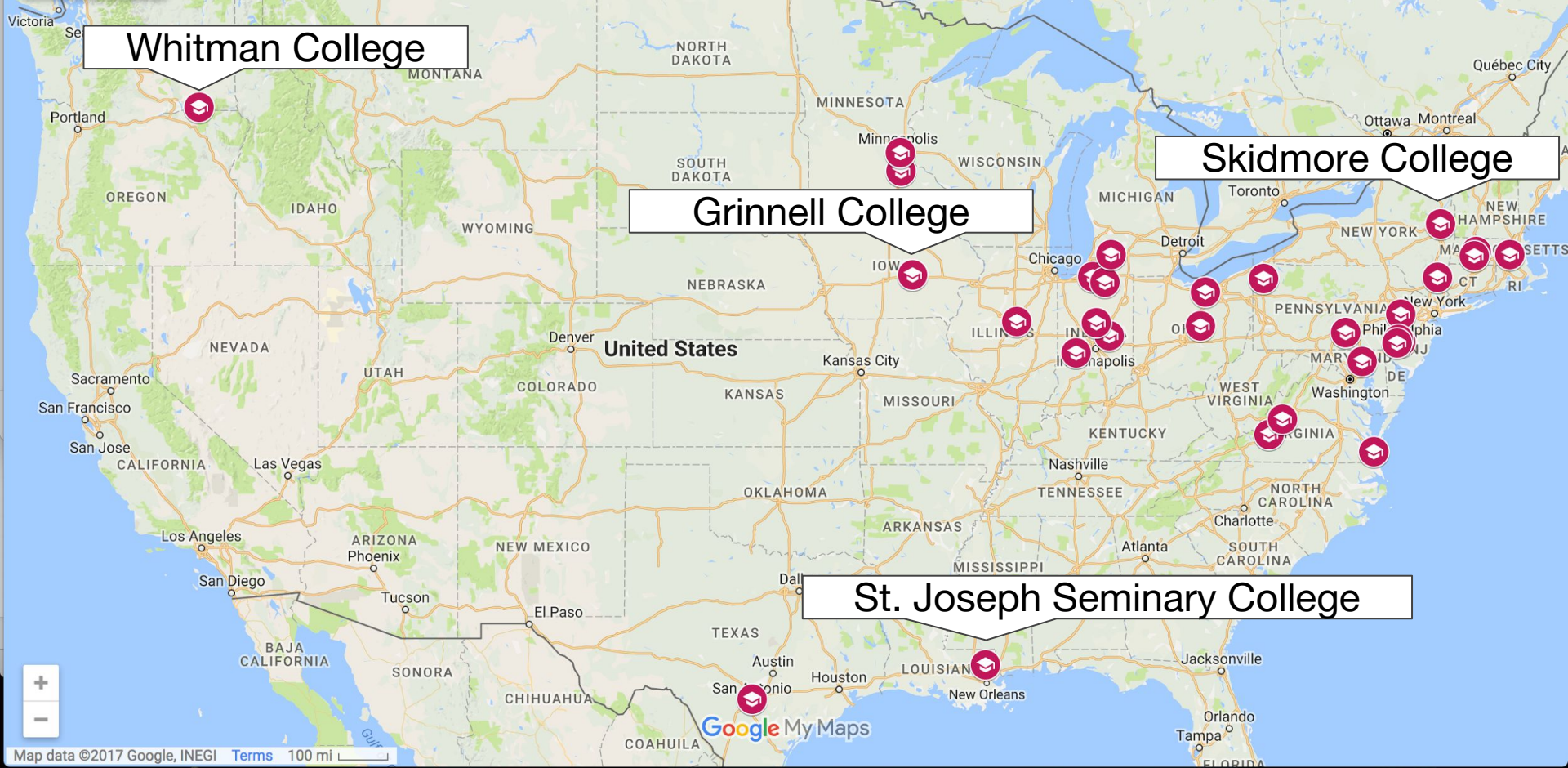6. **Follow-up questions**

1. Responses

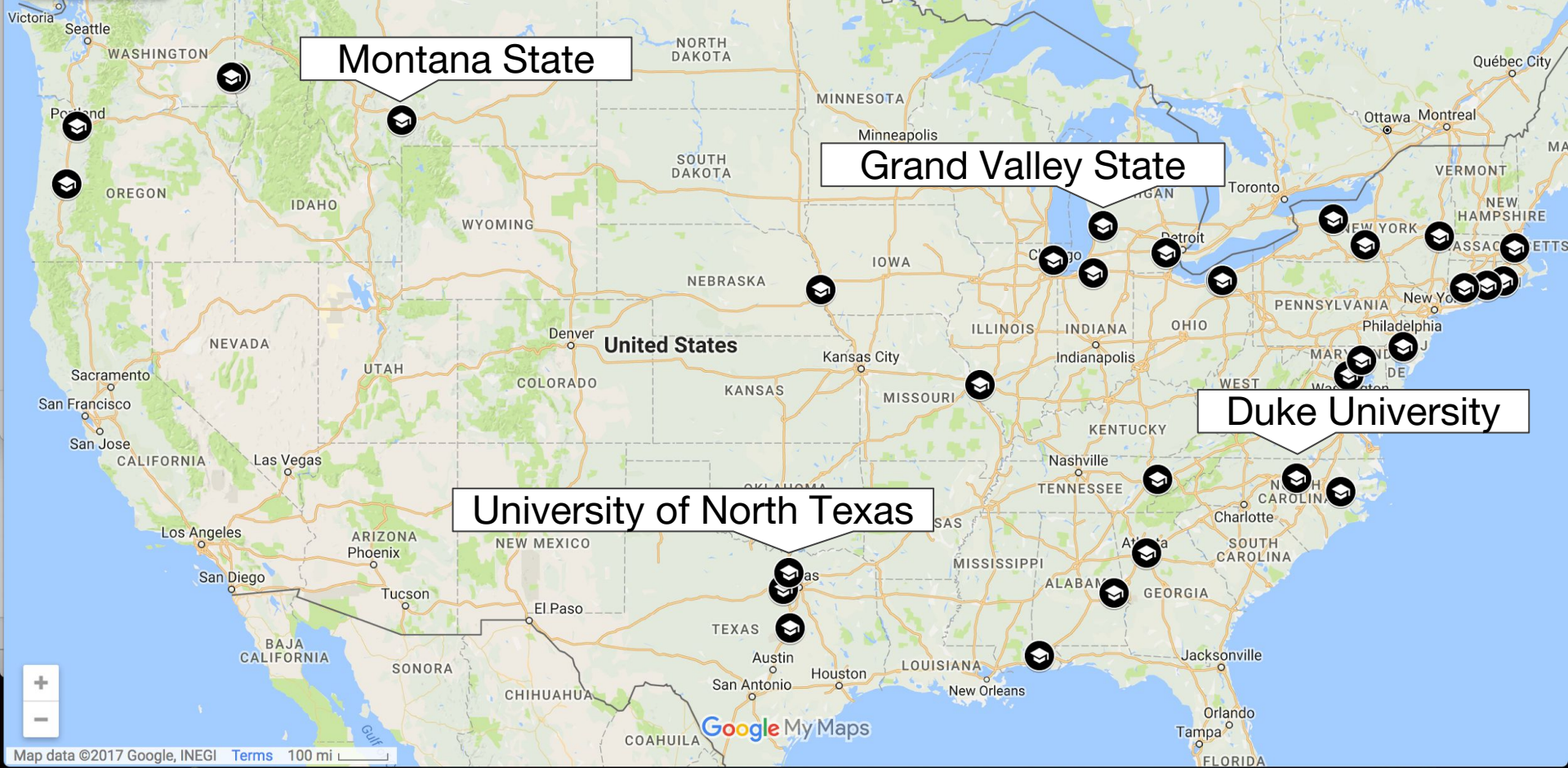Responses from **103** schools

in **37** states & D.C.

tinyurl.com/OASurveySchools

31 Very Small Schools: Fewer than 3,000 students

18 Small Schools: 3,000 to 10,000 students

34 Medium-sized Schools: 10,000 to 20,000 & 20,000 to 30,000
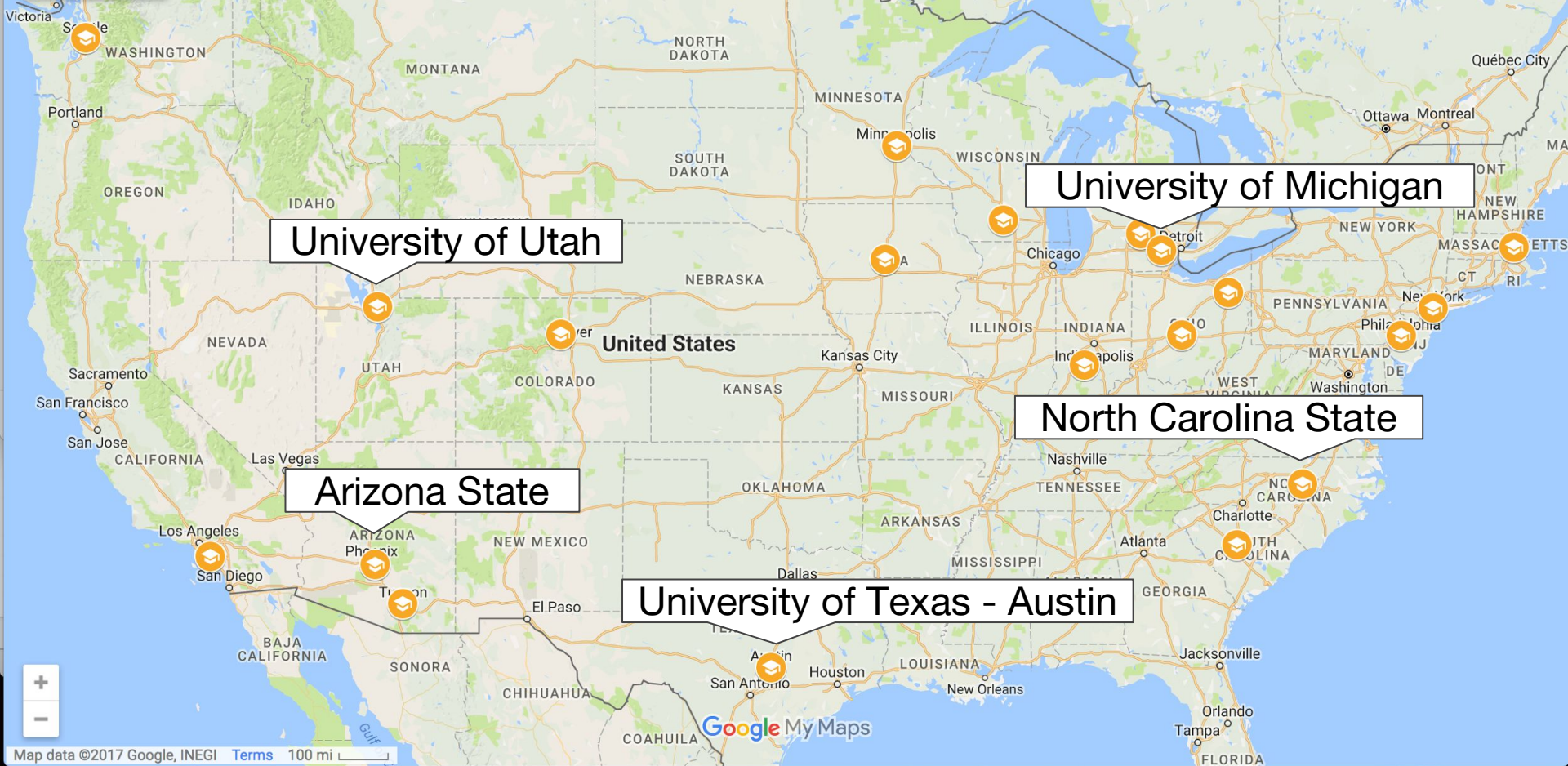
20 Large Schools: 30,000 to 40,000 & 40,000 and up
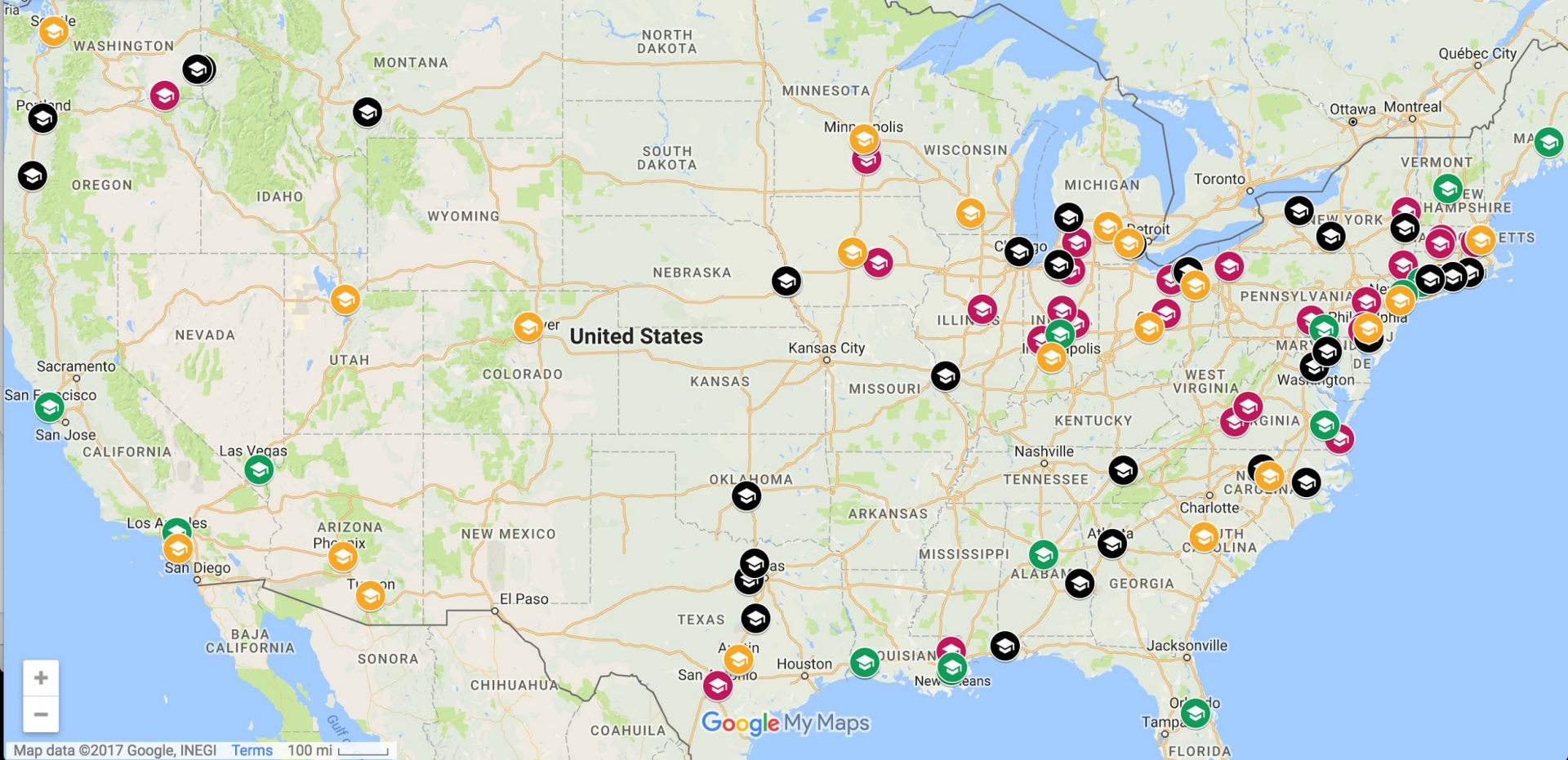
A Good Sample of American Colleges and Universities

Responses by participation status

- **76: have or are participating**

- **10: declined to participate**

- **9: considering participating**

- **6: declined but now considering**

- **2: none of the above**

2. Motivations

Q. What were the major motivations for participating?

Q. Advocacy for OA books: which of the following groups supplied major support for participating in the past or is now pushing for participation?

Q. How will you judge or define the success of your participation?

2. Motivations

Q3.4 - What were the major motivations for participating?

1. **Desire to support OA in general: 73**

2. **Desire to support OA work by faculty: 34**

3. **Potential future savings for library: 25** ✳

4. **Curiosity/see what happens: 22**

Q3.3 - Advocacy for OA books: which of the following groups supplied major encouragement for participating? (select all that apply)
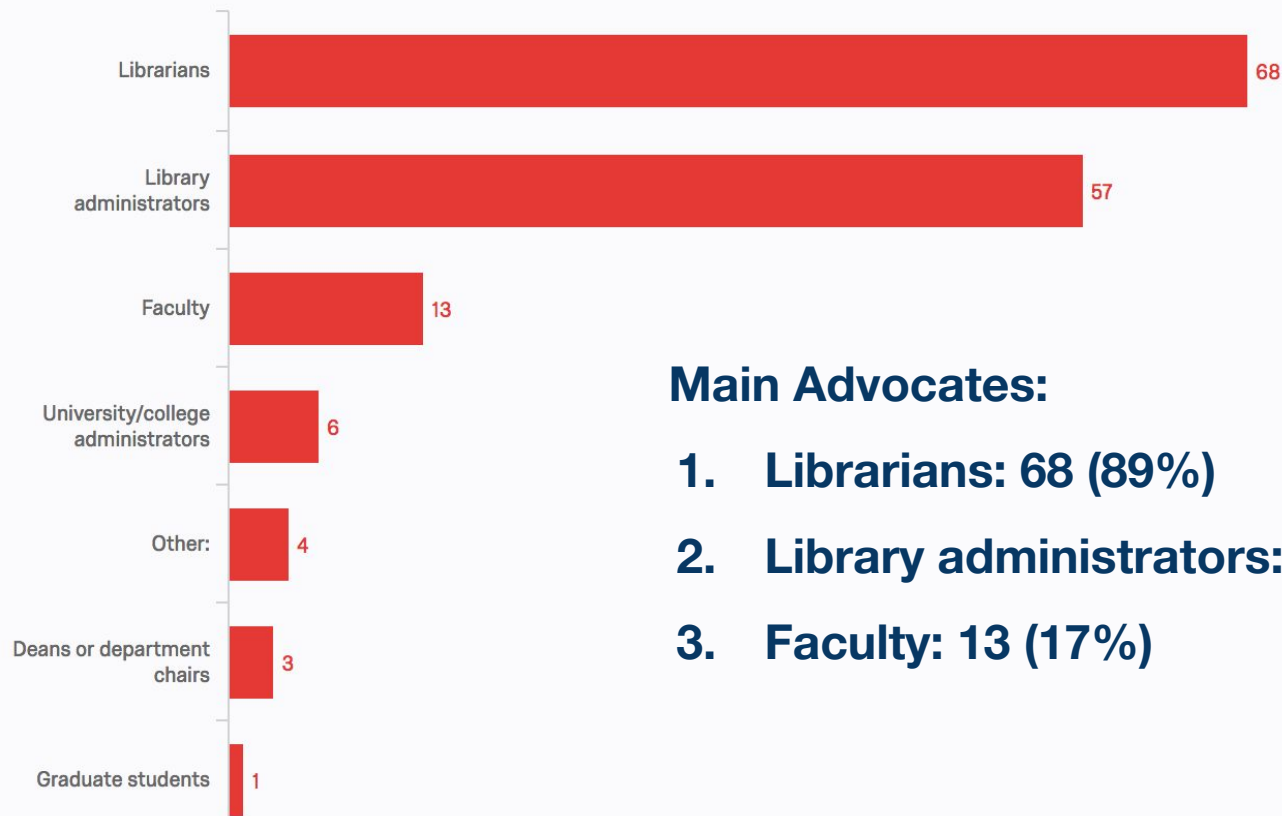
Main Advocates:

1. **Librarians: 68 (89%)**

2. **Library administrators: 57 (75%)**

3. **Faculty: 13 (17%)**

Non-Participating Libraries:

Legend:
- Alumni
- Faculty
- Librarians
- Library administrators
- School administrators
- Students
- There is no discernible support for OA books
- Other:

Bar values:
- Faculty: 1
- Librarians: 12
- Library administrators: 6
- School administrators: 2
- Students: 1
- There is no discernible support for OA books: 11
- Other: 1

Q3.8 - How will you judge or define the success of your participation? (select all that apply) (required)

1. **The expansion of the OA initiative: 66 (87%)**

2. **Increase in usage/readers (local): 58 (76%)**

3. **Increase in usage/readers (global): 42 (55%)**

4. **Satisfaction of faculty: 40 (53%)** ✱

5. **Increase in participation by peer institutions: 37 (49%)**

6. **Satisfaction of students: 31 (41%)** ✱

7. **Savings on monograph expenditures: 21 (28%)** ✱

8. Other:

- Satisfaction of library administration

- **Sustainability** of the OA initiative, but this might be same as "expansion"

- Material became open access. We view supporting OA as supporting the profession and giving back.

- Deeper **understanding** of how OA benefits and costs will play out.

- Not sure we will assess in any of the ways listed. We are looking for **sustainable** models, and look at the initiatives as a whole...can't generalize

- Local **awareness** of OA in general

Q4.6 - How will you judge the success of your participation? (select all that apply) (required)

Non-Participating Libraries:
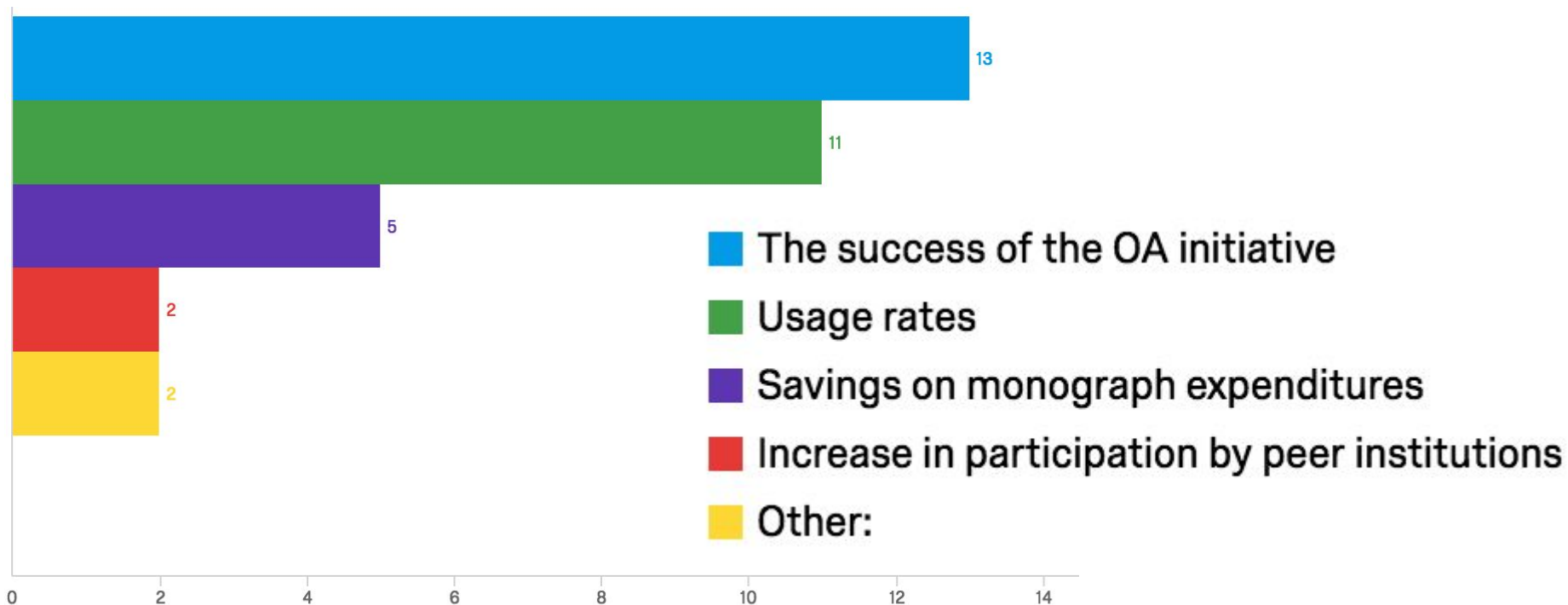
3. Funding

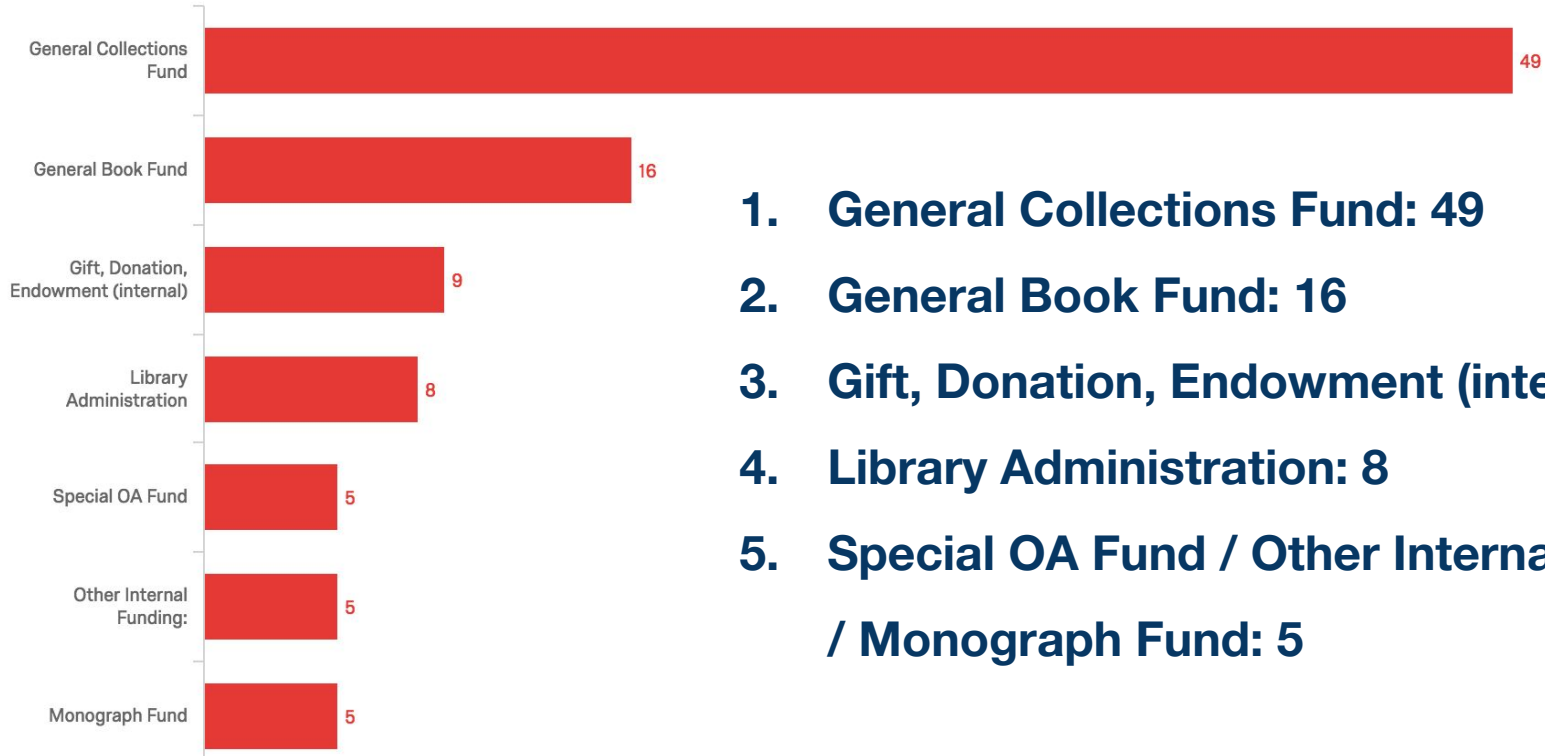Q. From where did the funding come to participate?

Q. Was/is this funding for OA repeating or one-time?

Q3.5 - From where did the funding come to participate? (select one for each source)

1. **General Collections Fund: 49**
2. **General Book Fund: 16**
3. **Gift, Donation, Endowment (internal): 9**
4. **Library Administration: 8**
5. **Special OA Fund / Other Internal Funding / Monograph Fund: 5**

No matter the size of the school, funding overwhelmingly comes from the General Collection Fund

Fewer than 3,000 degree-seeking students
9.38%
3.13%
9.38%
6.25%
21.88%
6.25%
43.75%

3,000-9,999 degree-seeking students
5.88%
5.88%
5.88%
5.88%
11.76%
11.76%
5.88%
5.88%
5.88%
23.53%
11.76%
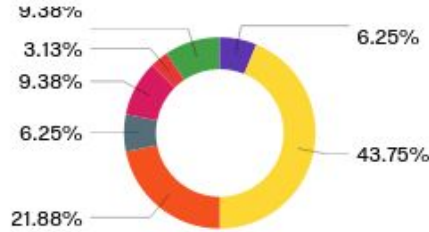
10,000-19,999 degree-seeking students
9.52%
14.29%
23.81%
4.76%
47.62%
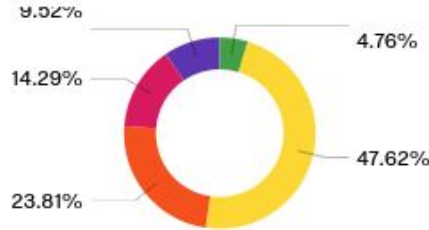
20,000-29,000 degree-seeking students
5.26%
10.53%
5.26%
10.53%
10.53%
5.26%
5.26%
5.26%
42.11%
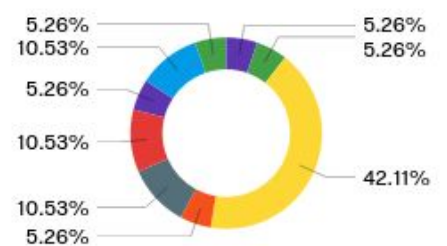
30,000-39,000 degree-seeking students
11.11%
22.22%
11.11%
55.56%
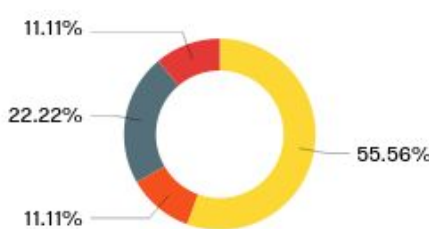
More than 40,000 degree-seeking students
8.33%
8.33%
8.33%
8.33%
66.67%
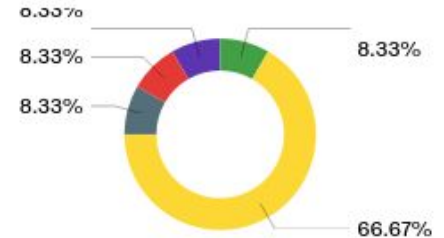
Q3.6 - Was/is this funding for OA repeating or one-time? (select all that apply)
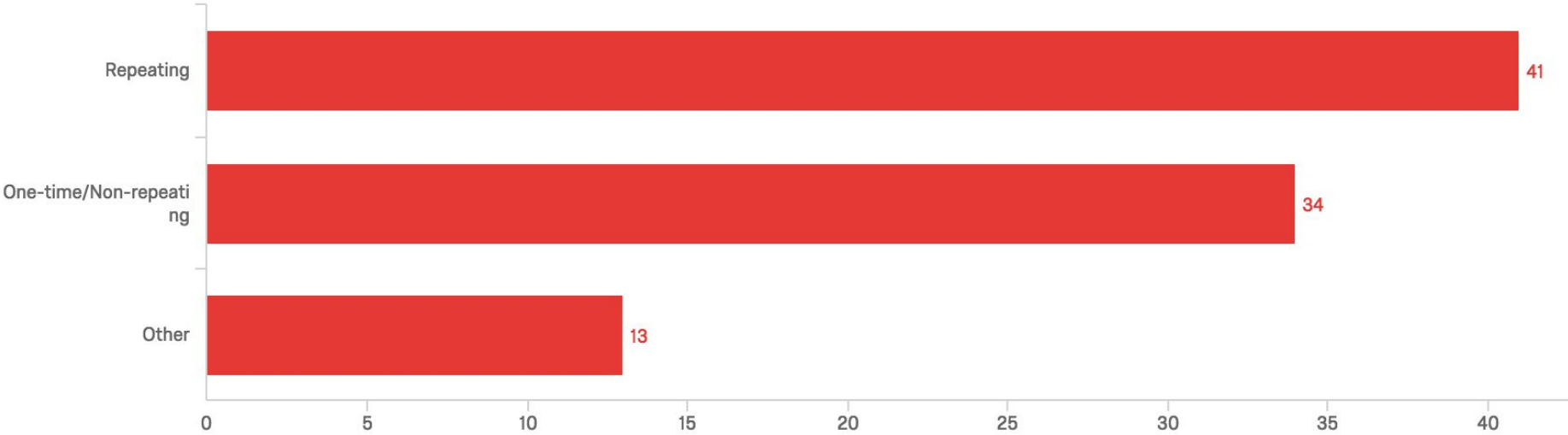
Q3.6 - Was/is this funding for OA repeating or one-time? (select all that apply)

- Wait and see

- We happened to have some **unspent** general funds, and Knowledge Unlatched proved a good target of opportunity.

- One-time for now, but being **considered for repeating**

- We have **a specific fund set aside for open access articles**, but other open access initiatives come from the collections budget

- One-time, but we participated multiple years, so you could say it was repeating. OLH was a **5-year commitment, paid once.**

- 1-time funding initially but with option to repeat project

4. Decision-making

Q3.7 & Q4.3 When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate?

MAJOR FACTORS

Factor	Value
Accessibility	53
Alignment with institutional strategic directions or goals	47
Business model of OA initiative	60
College/University administrator interest or approval	9
Content quality	72
Cost/Contribution amount	67
Desire to disrupt current scholarly communication ecosystem	38
Discoverability	59
Faculty interest or approval	12
Library administrator interest or approval	46
Librarian interest or approval	53
Preservation	17
Reputation of publishers	51
Return on investment (price per title)	26
Student interest or support	4
Workflow: acquisitions/cataloging	13
Workflow: selection	16
Other:	3

MAJOR FACTORS

Content quality

Most Important
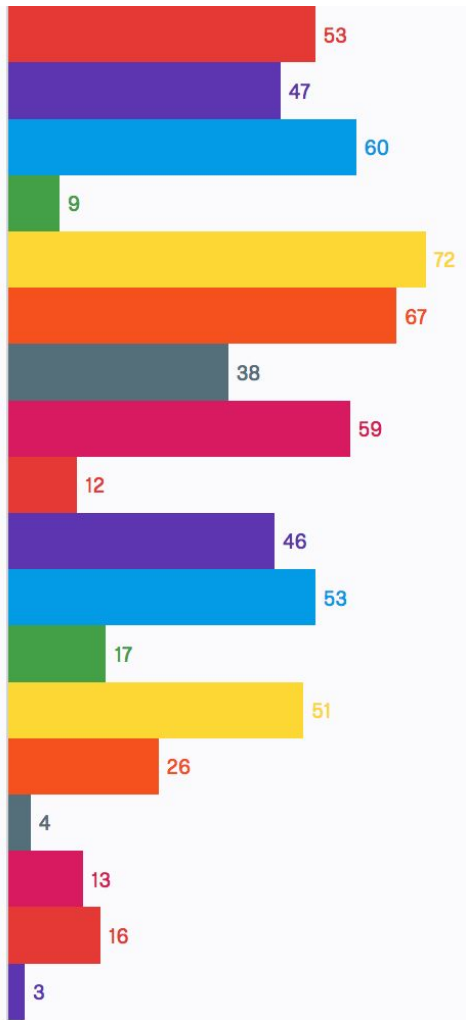
1. Content quality

Q3.7

Most Important

1. Content quality
2. Cost/Contribution amount

MAJOR FACTORS
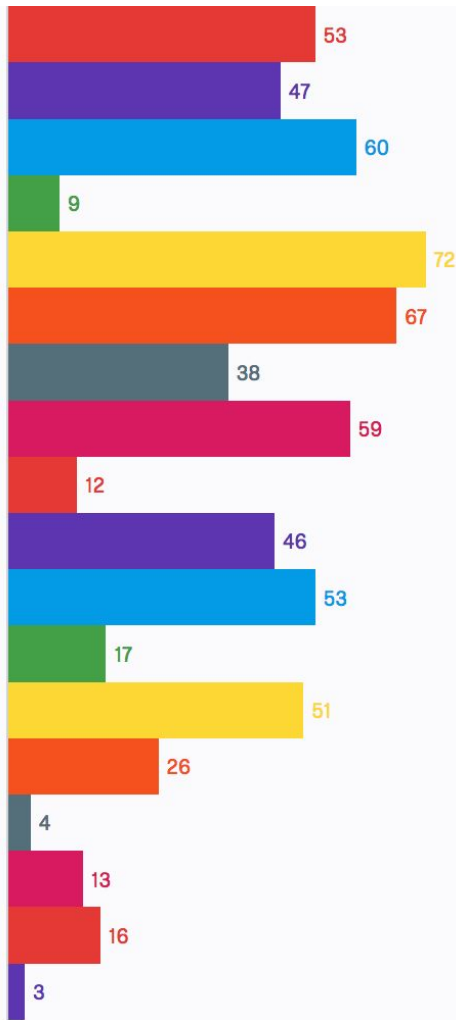
Legend:
- Business model of OA initiative
- Content quality
- Cost/Contribution amount

Bar values (top to bottom): 53, 47, 60, 9, 72, 67, 38, 59, 12, 46, 53, 17, 51, 26, 4, 13, 16, 3

Most Important
1. Content quality
2. Cost/Contribution amount
3. Business model of initiative

Q3.7

MAJOR FACTORS

	Value
	53
	47
	60
	9
	72
	67
	38
	59
	12
	46
	53
	17
	51
	26
	4
	13
	16
	3
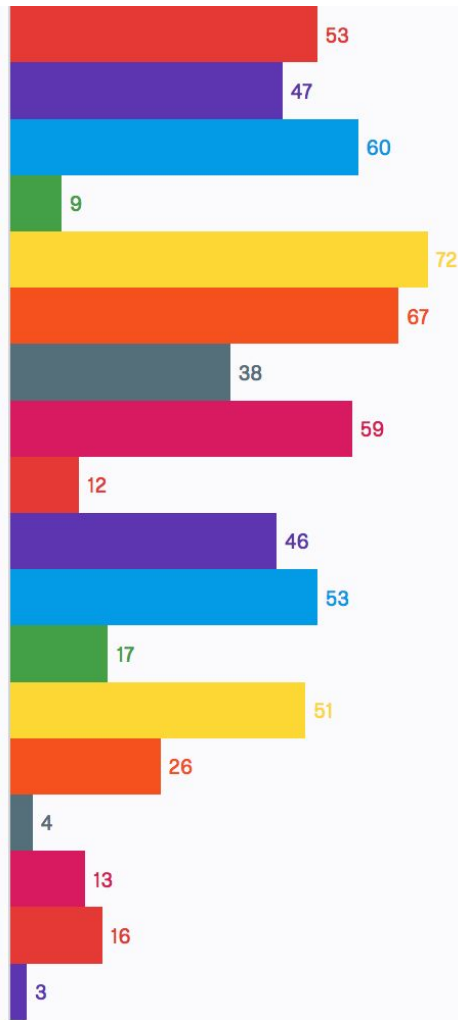
Legend:
- Business model of OA initiative
- Content quality
- Cost/Contribution amount
- Discoverability

Most Important

1. Content quality
2. Cost/Contribution amount
3. Business model of initiative
4. Discoverability

N O T   A

F A C T O R

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2
20
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16
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9
27 **1. Student** interest or support: 27
17
19
2

Q3.7

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2

20 — **2.** College/University **administrator** interest or approval: 20

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16

3

1

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27 — **1. Student** interest or support: 27

17

19

2

Q3.7

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2

20 — **2.** College/University **administrator** interest or approval: 20

1

1

8

16

3

1

13

3

9

27 — **1. Student** interest or support: 27

17

19 — **3. & 4.** Workflow

2

Q3.7

N O T   A   F A C T O R

2. College/University **administrator** interest or approval: 20

5. Faculty interest or approval: 16

1. Student interest or support: 27

3. & 4. Workflow

Q3.7

Scalability
&
Campus Stakeholders:

School Administrators

Faculty

Students

Q3.7
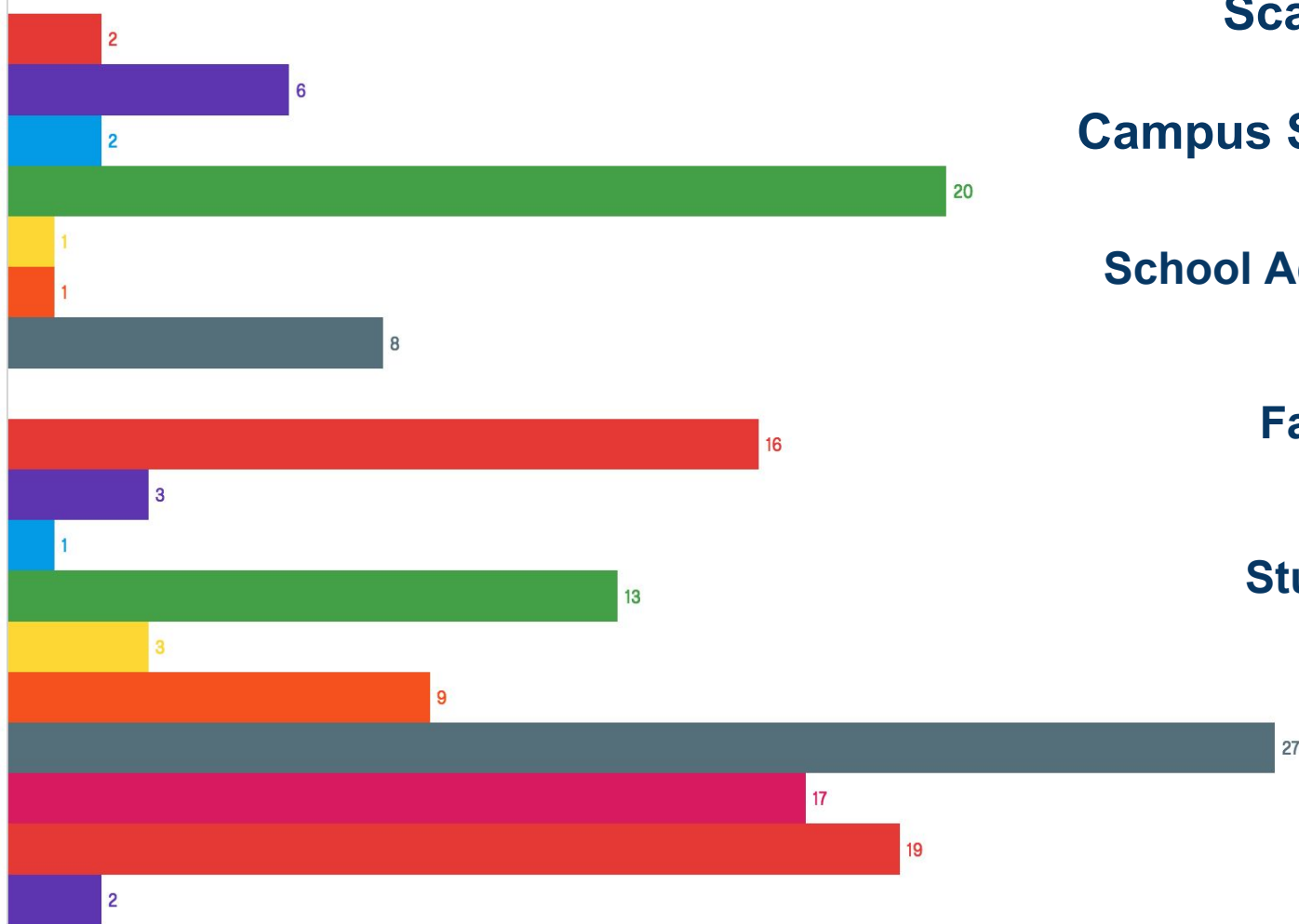
4. Decision-making

Q. When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate? (required)

Asked twice with slightly different list of choices:

Question 3.7

1. Accessibility
2. Alignment with institutional strategic directions or goals
3. Business model of OA initiative
4. College/University administrator interest or approval
5. Content quality
6. Cost/Contribution amount
7. **Desire to disrupt current scholarly communication ecosystem**
8. Discoverability
9. Faculty interest or approval
10. Library administrator interest or approval
11. Librarian interest or approval
12. Preservation
13. Reputation of publishers
14. Return on investment (price per title)
15. Student interest or support
16. Workflow: acquisitions/cataloging
17. Workflow: selection

Question 4.3

1. Accessibility
2. Business model of OA initiative
3. College/University administrator interest or approval
4. Content quality
5. Cost/Contribution amount
6. Discoverability
7. Faculty interest or approval
8. **Freeriders (benefit but don't contribute)**
9. **Interface/user experience**
10. Library administrator interest or approval
11. Librarian interest or approval
12. Library/School Policy
13. Preservation
14. Reputation of publishers
15. Return on investment
16. Student interest or support
17. **Technical/technological compatibility**
18. Workflow (acquisitions/cataloging)
19. Workflow (selection)

95 Responses to Q4.3

- **70 participating**

- **9 considering**

- **6 declined/considering**

- **10 declined**

❋Q4.3 should have only been displayed to the 25 respondents who identified as not having participated in an OA book initiative (Q3.1).

Q4.3 - When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate? (70 participating libraries)
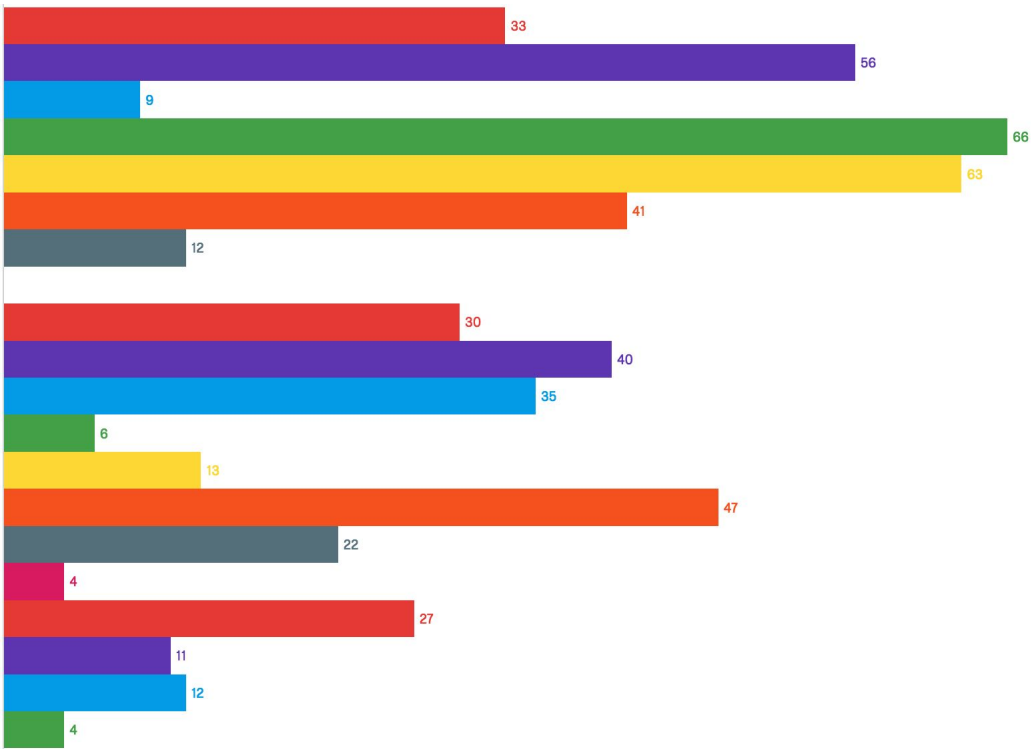
Top Major Factors

1. **Content quality**

2. **Cost/Contribution amount**

3. **Business model of initiative**

4. **Reputation of publishers** ✴

5. **Discoverability**

Q4.3 - When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate? (25 participating libraries)

11	
13	
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9	
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1	

Top Major Factors

1. **Cost/Contribution amount**
2. **Content quality**
3. **Discoverability** ✱
4. **Reputation of publishers**
5. **Business model of initiative**

Q4.3 - When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate?

70 Initiative Participants

Major Factors

1. Content quality
2. Cost/Contribution amount
3. Business model of initiative
4. Reputation of publishers
5. Discoverability

25 Non-Participants

Major Factors

1. Cost/Contribution amount
2. Content quality
3. Discoverability
4. Reputation of publishers
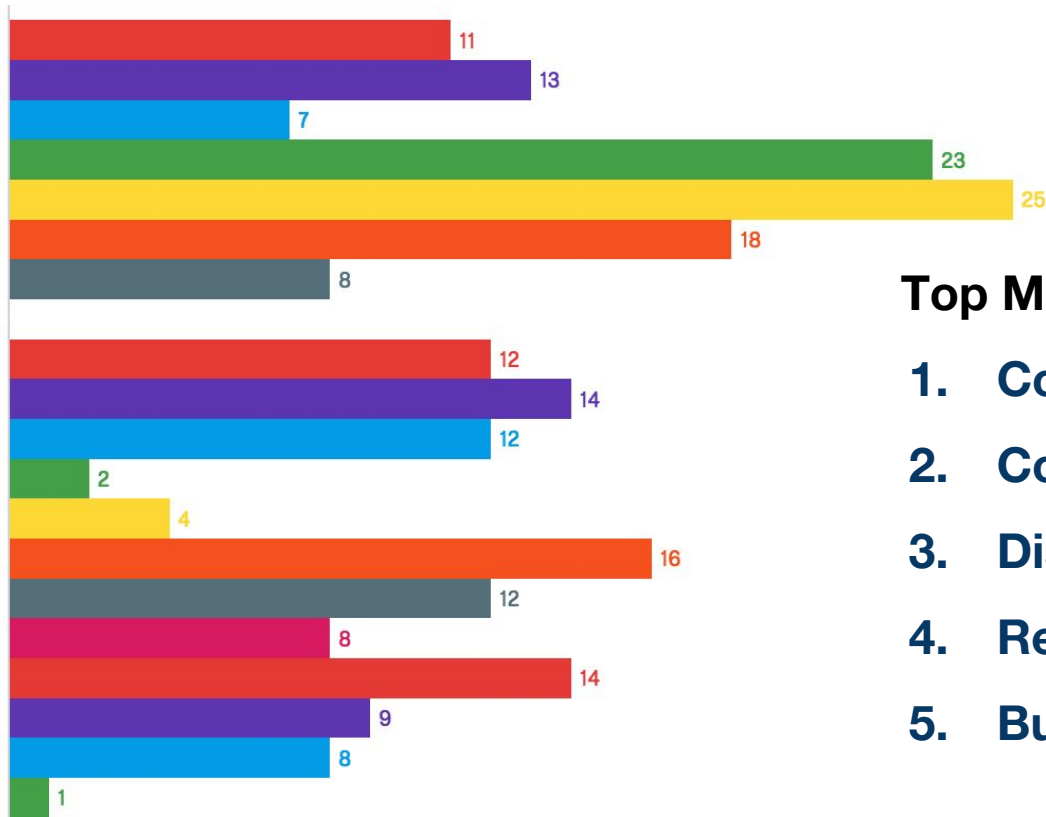5. Business model of initiative
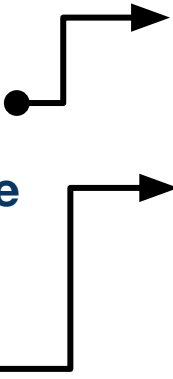
Q4.3 - When your library is evaluating an OA initiative, what are the major and minor factors you consider in determining whether or not to participate? (All)
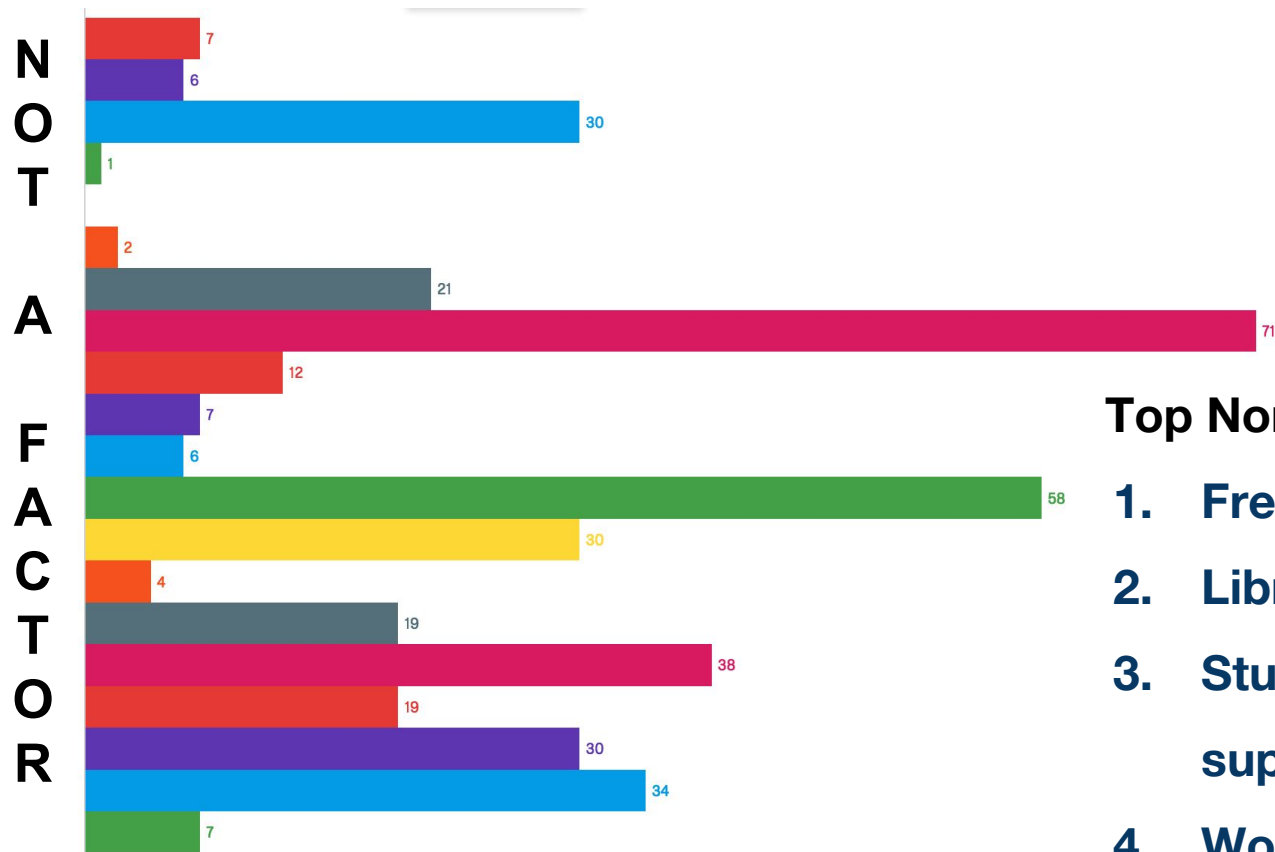
Top Non-Factors

1. **Freeriders** ✱
2. **Library/School policy**
3. **Student interest or support** ✱
4. **Workflow: selection**

5. Looking ahead

Q. Looking forward, what are the biggest obstacles to or areas of concern for an expansion in your library's participation in OA book initiatives in the Humanities and Social Sciences? (select up to 3)

Q3.10 Looking forward, what are the biggest obstacles to or areas of concern for an expansion in your library's participation in OA book initiatives in the Humanities and Social Sciences? (select up to 3)

50

34

23

14

14

12

9

9
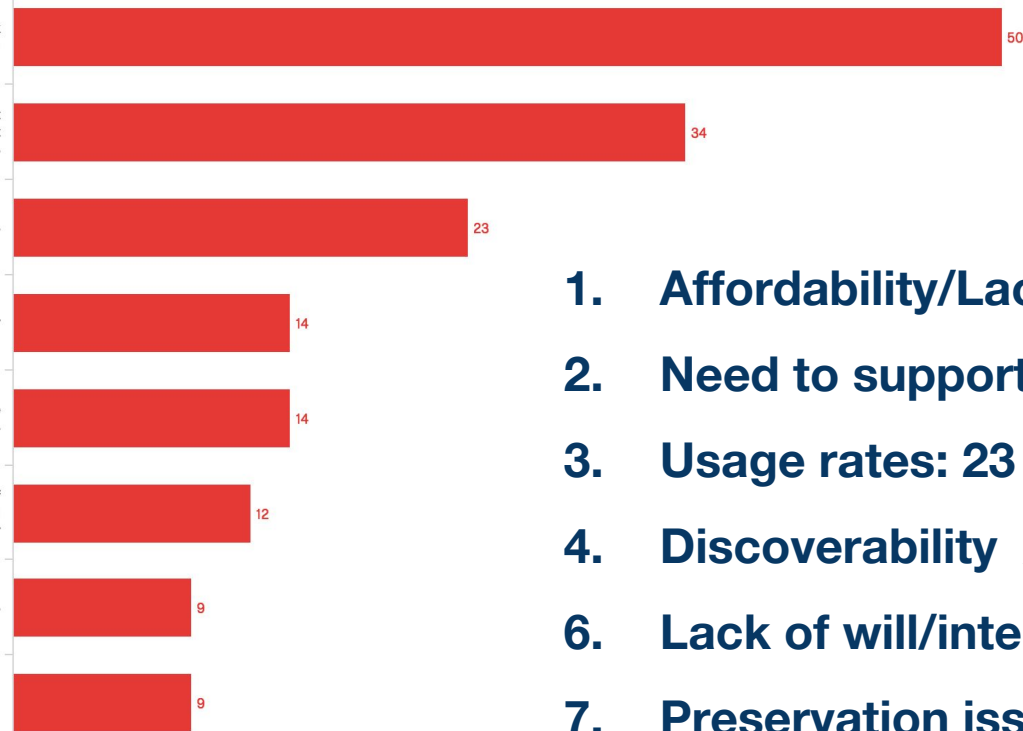
1. **Affordability/Lack of funding: 50 (66%)**

2. **Need to support other important initiatives: 34 (45%)**

3. **Usage rates: 23 (30%)**

4. **Discoverability / User Experience issues: 14 (18%)**

6. **Lack of will/interest among faculty: 12 (16%)**

7. **Preservation issues / Other: 9 (12%)**

3. Availability of **local usage data**, expectation of relevant content, publisher profiting thru the continued sale of OA titles

4. As a public university, would need to fund using private money

5. **Lack of clarity** about the role of the library, the press, colleges and departments and other stakeholders, in agreeing to be the agency on campus to pay for OA implementation on a wide scale.

6. **Duplicative payment** for book content

7. Unrelenting pressure to license **commercial content and tools**

9. **Usage statistics availability and quality** (need to prove **local** benefit)

Q4.5 - Looking forward, what are the biggest obstacles to or areas of concern for an expansion in your library's participation in OA book initiatives in the Humanities and Social Sciences? (select up to 3) (required)
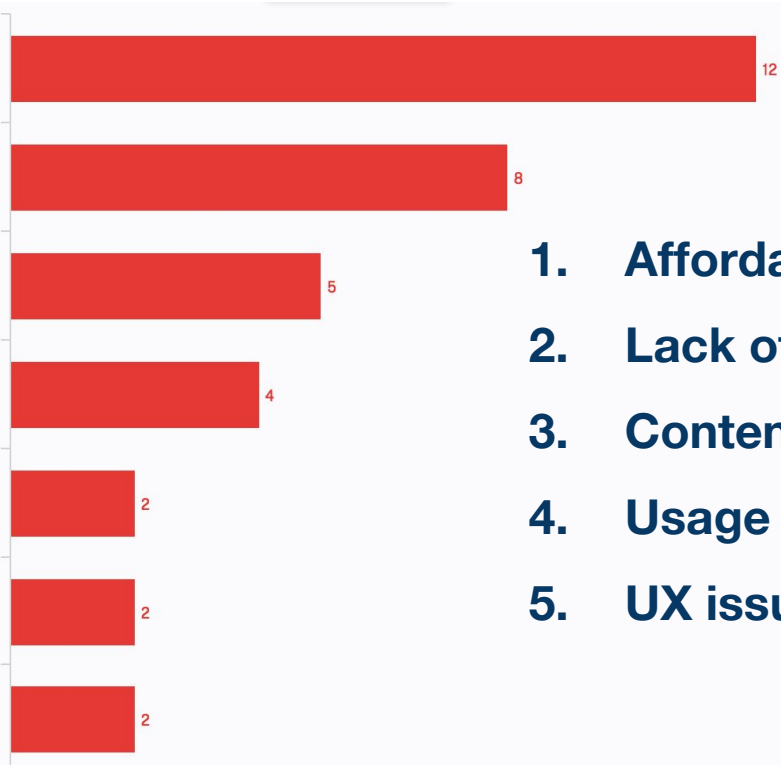

1. **Affordability/Lack of funding: 12**
2. **Lack of will/interest among faculty: 8**
3. **Content quality: 5**
4. **Usage rates**
5. **UX issues / Discovery issues / Accessibility issues: 2**

6. Follow-up Questions

We asked for more info about:

1. **Business model**

2. **Double-dipping**

3. **Content quality**

4. **Accessibility**

5. **MARC records**

6. **Discoverability**

7. **Freeriders**

8. **Usage rates**

6. Follow-up Questions

Today we will look at answers about:

1. **Business model**
2. Double-dipping
3. **Content quality**
4. **Accessibility**
5. **MARC records**
6. Discoverability
7. **Freeriders**
8. **Usage rates**

Q. You cited the business model of the OA initiative to be a major factor in your decision-making process. How do you evaluate the business model of an OA initiative? What would lead you to reject an initiative for reasons of business model? What gives you confidence?

"The best business model is that which provides the best literature to the most people for the least cost. We would reject a business model that imposed f**ees on authors**."

"We want to support models that seem **sustainable** and economical. OA initiatives that appear to perpetuate **the status quo publishing model on the backs of libraries** is not one we are likely to support."

Q. You cited the business model of the OA initiative to be a major factor in your decision-making process. How do you evaluate the business model of an OA initiative? What would lead you to reject an initiative for reasons of business model? What gives you confidence?

"We need to be able to show our institution's administrators **what we're getting for our acquisitions dollars**, so business models that don't have clear "this is what you get" or at least "this is what you *will* get in relatively short order" are much harder for us to support. Some OA business models are also **quite complex**, with multiple moving parts - but most library collections/acquisitions folks simply don't have the time to wade through proposals/initiatives that demand multiple close readings - so I hate to say it, but **the simpler the better**..."

Q. You cited content quality as a major factor in your decision-making process. How do you evaluate content quality when/if you can't actually see the works or know what titles will be included?

"The **reputation** and past performance of the **publisher** are measures. So too are the editor and **editorial board**. Of course we'd also consider the **subject** scope to ensure it matched with our collecting areas."

Q. You cited content quality as a major factor in your decision-making process. How do you evaluate content quality when/if you can't actually see the works or know what titles will be included?

"Both **content quality and relevance** to our users were factors in our participation. Were the participating publishers and content relevant to our curriculum and/or to the larger scholarly community? How did the publishers/content match up with those that reflected strong usage for both print and electronic format for our users? Were the participating publishers known to produce scholarly work that consistently received **positive critical reviews in Choice** and in subject-based scholarly academic journals."

Q. You selected accessibility as a major factor in your decision-making process. How do you define accessibility and what features or affordances do you look for in OA initiatives? What would lead you to reject an initiative on accessibility grounds?

"Accessibility = **no impediments** for readers (no paywalls, no DRM, no chunking of long work into separate files) and no author or pay-to-publish fees."

OR

"Accessibility for students with **accommodation needs** is a requirement for the resources made available on our campus/to our students. We have a checklist of criteria that need to be met by the resource, and we do ask our accessibility office on campus to check new products to see how they work from their perspective."

Q. You cited MARC records as a factor in declining to participate in an OA initiative. What do you want to see in MARC records, how do you want them delivered, and when? In other words, what would be your ideal situation?

"**The sooner** one could receive them **the better**. One of the challenges in supporting OA initiatives is trying to **prevent paying twice for the content** (once for the OA and then again by buying a copy by accident because one didn't know if was part of the OA package, that sort of thing). Basic, decent MARC records...."

Q. You cited MARC records as a factor in declining to participate in an OA initiative. What do you want to see in MARC records, how do you want them delivered, and when? In other words, what would be your ideal situation?

"**Notifications** to us from the OA initiative about the availability of MARC records is ideal (don't make us chase after the records, or have to enter reminders to check for records into our calendars, please); the earlier the better, esp for front list titles, to avoid ordering **duplicates**."

Q. You cited MARC records as a factor in declining to participate in an OA initiative. What do you want to see in MARC records, how do you want them delivered, and when? In other words, what would be your ideal situation?

"Just two words: **Project Muse**! They do MARC records the best. Details: delivery on website, with ability to take all of a set or part of a set based on date last downloaded. Also, uniform "**packages**" that are the same for everyone, so just by knowing I participated in Package X, I know that this is the set of MARC records that corresponds. And that they can be **downloaded as a set**. Sets should correspond to purchases exactly. **Nothing bothers me more** than having to reach out to publishers for MARC records."

Q. You indicated that freeriders are not a factor in your decision-making process. How do you define "freeriders" and why aren't you worried about them?

"Free riders, to my mind, are those who obtain OA literature without cost. Since **that is the goal of OA literature**, I have no problem with free riders."

Q. You indicated that freeriders are not a factor in your decision-making process. How do you define "freeriders" and why aren't you worried about them?

"Free riders, to my mind, are those who obtain OA literature without cost. Since **that is the goal of OA literature**, I have no problem with free riders."

"Freeriders are institutions who don't contribute to OA initiatives, for whatever reason (budgetary, philosophical, etc.) I'm not sure that I'm not worried about that, but **I can't control their actions, I can only control my own**. It doesn't make sense to me to use lack of support by others as a factor as to whether or not I contribute.

Q. You indicated that usage rates present a large obstacle to an expansion of your library's participation in these kinds of OA initiatives. How will the rates be measured and judged? For what are you looking?

"**Ebook** usage is a thorny issue to begin with because the reporting standards are not as clearcut as for **ejournals**. An article download is an easy to understand number. What it means is still up for grabs, but at least you're not wondering what a section download is as compared to a chapter download. That being said, some indication of use is a sign that one is **not throwing money down a rat hole**. Not having any stats makes it challenging to justify continued expenditures in an era when there really isn't any additional money."

Q. You indicated that usage rates present a large obstacle to an expansion of your library's participation in these kinds of OA initiatives. How will the rates be measured and judged? For what are you looking?

"We're needing to support more and more of our collection budget expenditures with **"metrics"** - and I'd hate to see OA initiatives collapse (with institutions not being able to continue support) because **they missed that metrics train**."

Next steps...

1. **Finish analyzing and cross-tabulating data**

2. **Present findings and tentative recommendations at ALA 2017**

3. **Incorporate ALA feedback into recommendations**

4. **Submit for publication**

Thank you!

Questions?