Surveying the Scalability of Open Access Monograph Initiatives: Final Report

A Survey of Collections Departments at Academic Libraries in the United States,

1 December 2016 – 7 February 2017

12 December 2017

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I. Background

In June of 2016, the University of Michigan Library (MLibrary) and Knowledge Unlatched (KU) announced the start of a collaboration "to study and overcome remaining obstacles to the spread of open access scholarly publishing in the humanities and social sciences."[1] This survey grew out of that partnership and was designed to gather data useful for determining the scalability of library-supported open access (OA) initiatives focusing on monographs in the Humanities and Social Sciences such as Luminos, Open Book Publishers, and KU.

The survey was designed and conducted by Christopher A. Barnes, Ph.D., while a graduate student in library and information science at the University of Michigan School of Information. It comprised the capstone project for his graduate fellowship at MLibrary. Kathleen Folger, Electronic Resources Officer at MLibrary, and Rebecca A. Welzenbach, Director of Strategic Integration and Partnerships at Michigan Publishing, served as advisors throughout the academic year. Dr. Frances Pinter, founder of KU, and Associate Professor Lucy Montgomery, Director of KU Research, provided feedback on the design of the survey and helped with its dissemination.

The survey was targeted at collections units of academic libraries because the question of scalability for library-funded OA initiatives hinges on issues of budgets, discovery, workflow, and strategic collecting priorities. The population was limited to libraries at four-year colleges and universities in the United States, and respondents were told that they would be answering on behalf of their unit. Soliciting one authoritative response per library was intended to encourage internal consultation and responses that reflected institutional rather than individual perceptions and processes. If respondents indicated that they were not prepared to answer on behalf of their library, they could not complete the survey.

The survey was conducted from 1 December 2016 through 7 February 2017. It was advertised on Twitter, ALA listservs, the websites of Michigan Publishing and Knowledge Unlatched, and was shared by LYRASIS[2] representatives with their client libraries. Beginning in January of 2017, many of those libraries participating in KU and related initiatives that had not yet responded were emailed directly. In the spring, a series of follow-up questions were emailed to the 38 respondents who indicated their willingness to answer a few additional questions. 10 of the librarians wrote back with responses and they are included here in an appendix.

[1] "Knowledge Unlatched and University of Michigan Library Announce Collaboration to Advance Open Access." https://www.lib.umich.edu/announcements/knowledge-unlatched-and-university-michigan-library-announce-collaboration-advance

[2] LYRASIS is the non-profit membership organization that manages pledging and other business operations for Knowledge Unlatched. https://www.lyrasis.org

II. Responses and Key Findings

Responses

The survey received a total of 103 valid responses from academic libraries in 37 states and the District of Columbia.[3] Of these, 60 were private institutions, 42 were public, and one identified as "Both" (Q2.3). The greatest number of responses (31) came from libraries at institutions with fewer than 3,000 degree-seeking students (Q2.5). Institutions with between 10,000 and 20,000 students were the second most numerous (21), and those schools with between 3,000 and 10,000 students were third (18). Large and very large institutions were also represented, respectively, with 9 responses from schools with between 30,000 and 40,000 students and 11 from schools with more than 40,000 degree-seeking students. Given the bigger presence of smaller schools, it was surprising to see that doctoral-granting institutions accounted for 69% or 71 of the 103 total respondents (Q2.4).

76 or 74% of responses came from libraries that had previously committed funds to an OA book initiative like Knowledge Unlatched, while 27 came from those that had not (Q3.1). KU was by far the most common OA initiative listed, with 61 respondents having participated in at least one round of KU pledging (Q3.2). This is not surprising given that the survey was promoted in part by directly emailing collections librarians at institutions participating in KU and similar initiatives. Because participating libraries would necessarily bring different experiences to the survey than those that did not participate, the survey distinguished between the two at the outset and posed slightly different questions to each group.

Key Findings

1. Content Quality: A Matter of Trust

When evaluating OA monograph initiatives, "content quality" was the most popular evaluative factor among participating libraries (Q3.7 & Q4.3) and it was the second most popular major factor among non-participating libraries. Content quality was also judged to be among the top three biggest obstacles to scalability by both participating and non-participating libraries (Q4.5). For participating libraries, only concerns over funding – "Affordability/lack of funding" and "Need to support other important initiatives" – trumped concerns over "poor content quality" (Q3.10). These results led us to ask a follow-up question about how content is evaluated in advance of seeing the works (Follow-up Q2). Of the eight responses, all but one mentioned using publisher attributes – its

[3] A Google Map showing all 103 schools can be found at https://drive.google.com/open?id=1XgSWmpC69IiFIstsbcT1kQHgdXU

past performance, standing, reputation, and relationships with librarians – as the criteria by which quality of content is judged in advance. Several expressed the sentiment captured succinctly by one response: "Publisher standing & reputation. Not perfect, but it's all we've got." While this is not surprising, the extent to which trust plays a role in the decision making of collections librarians is noteworthy. For example, one librarian commented that they go by "Gut feeling based on publisher, mostly, and trust of the selection process, for example Knowledge Unlatched has a board that evaluates books to unlatch." That board – the KU Title Selection Committee[4] – is comprised of librarians from around the globe, making it easier for collections librarians to trust its decisions. It is also more likely that librarians will trust publishers whose previous behavior has demonstrated that they share the same values as the library community. Furthermore, it was strongly implied that some publishers had not earned or lost the trust of some of the respondents. For example, one wrote about reserving "trust for well-known cases, such as a known university press."

2. Business Models: Straightforward and Sustainable

Question 3.7 and Question 4.3 asked libraries about the major and minor factors they considered in determining whether to participate. "Business model of the OA initiative" was the third most popular major factor among participating libraries, and we therefore decided to create a multi-part follow-up question concerning it: "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?" (Follow-up Q1a). Nine responses were received and several common themes can be observed. Sustainability of funding was key, with one respondent defining it as a business model containing multiple sources of funding such as library subscriptions and grant funding. Another librarian responded that a sustainable model would be one that did not mirror the unsustainable publishing model now in place which survives at the expense of library budgets. One respondent wrote about sustainability in terms of "reality-basedness" and gave examples of the questions that would be used to evaluate the presence of such a quality: "'Does this model rely for its sustainability on people doing things that experience suggests they don't usually do?' and 'Does this model require potential participants to redirect already-scarce funding away from other campus priorities? (And if so, how much?)' and 'What concrete benefit will participants realize from participation in this OA initiative?'" Several respondents also noted the desirability of initiatives that could provide usage data which would back up claims regarding the concrete benefits obtained by the participating institution. Respondents also judged usage rates to be among the top obstacles to scaling up and they are discussed separately below.

[4] http://support.knowledgeunlatched.org/general-knowledge-unlatched-faq/how-does-knowledge-unlatcheds-model-work

Cost and pricing structures were also key considerations when evaluating a business model, with one respondent writing that author-facing fees would be a deal breaker and another that the "cost-benefit ratio" needed to be reasonable. The necessity of explaining the initiative to library and university administration means that collections librarians would prefer straightforward business models that enable them to clearly identify the return on their investment. There was considerable interest in models with tiered or progressive pricing which would enable them to participate rather than be free riders. "The pricing of an open access monograph initiative needs to accommodate a wide range of institution sizes and collection interests as well as consortial partnerships" (Follow-up Q1a). Another librarian succinctly captured the common view, variously expressed, that the ideal initiative would offer "a cost level that recognizes the size of our institution, a generous amount of content for that cost, and recognizable and stable partners in the effort." The need for "recognizable and stable partners" echoes the discussion of content quality above and the extent to which libraries rely on what one respondent termed "reputational factors" (Follow-up Q2) to assess it when determining whether or not to participate.

3. Usage Rates: Data-Driven Decision Making

Question 3.10 and Question 4.5 asked respondents to identify "the biggest obstacles to or areas of concern for an expansion in your library's participation in OA book initiatives." In both questions, participating libraries placed usage rates among the top three obstacles to expansion. In Question 3.10, only concerns over cost and funding received more votes than usage rates. In Question 4.5, usage rates were the second most common choice for biggest obstacle to scaling up, receiving one more vote than content quality. This finding makes sense given the increasing tendency for library and university administrators to demand hard data justifying collections expenditures in terms of return on investment. Usage rates were also the second most popular metric by which libraries would judge the success of their participation, only slightly behind "Success of the OA initiative" and far ahead of all others (Q3.8 & Q4.6).

In Follow-up Question 7, we asked respondents to explain what they are looking for and how they will measure or judge the usage data they receive. One response addressed the rationale for desiring usage rates while also addressing some of the difficulties in obtaining reliable data for books as opposed to articles:

> Ebook usage is a thorny issue to begin with because the reporting standards are not as clear cut 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. (Follow-up Q7)

The situation is further complicated by the fact that students and faculty can access their library's OA ebooks from anywhere on any device without logging in, making it very difficult to accurately track local usage using authentication records or IP ranges. This is a particularly important problem to solve because, as one respondent put it, "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." The best business model would likely be unsustainable for libraries with limited budgets if that model did not offer evidence of direct benefits to the institution's students and faculty. As another respondent put it, "If the OA resource has no user(s) among current faculty and students, we will likely not contribute no matter how attractive the project may be."

4. Free Riders: Not a Problem

Responding libraries overwhelmingly agreed that free riders are not much of a factor when they are deciding whether to participate in an OA book initiative. Zero libraries identified them as a major factor, 21 as a minor factor, and 71 libraries indicated that "Freeriders (benefit but don't contribute)" were not a factor in their decision-making process (Q4.3). This was among the most surprising and encouraging findings of the survey, and we therefore created a follow-up question asking respondents to define free riders in their own words and explain why they aren't worried about them. The replies to Follow-up Question 6 were among the most philosophical and illuminating as regards motivations for participating, with several seeing a disconnect between concern over free riders and the desire to make these books freely available. As one respondent put it, "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." Another respondent echoed the sentiments of many when writing, "It doesn't make sense to me to use lack of support by others as a factor as to whether or not I contribute." What does make sense to use as a major decision-making factor is the cost of contributing, as is borne out by the responses to questions Q3.7, Q3.10, and Q4.3. But if contribution costs are deemed too high, it is much more likely that a library will choose to "use" the OA books without participating in the initiative.

There is a genuine desire to avoid this even among the smallest of schools. As one respondent wrote, "I believe that my library, although small and comparatively less-well funded than our peers, has a real responsibility to step up and contribute modest funds towards OA publication models" (Follow-up Q6). There needs to be a viable alternative

which would allow them to afford it. One of the responses received for Question 6.1 - “What other information should we have? What key topics or important questions are missing?” – includes a plea for finding a way of scaling down the range of contribution amounts for just that reason:

> I really want to participate in KU because I believe it's a great idea in principle. Unfortunately, I can't because the pricing models do not scale down to very small institutions (I work at a small theological school with 100 students). I simply can't justify dropping half of my collection budget on open access book support for titles far outside my collection development policy. Please make a plan for reasonable levels of support for OA monographs from very small specialized institutions. (Q6.1)

The free rider problem, to the extent there actually is one, could be greatly ameliorated by the implementation of tiered pricing. Scaling down the pricing model could be key for scaling up the number of schools that participate and the number of readers who access the titles.

III. Conclusions and Next Steps

The responses to this survey suggest that library-funded OA book initiatives can successfully scale up if they 1) employ straightforward and sustainable business models, 2) offer quality content from trusted publishers, and 3) provide participants with usage data illustrating the local impact of their financial investment. Sustainable business models will keep library participation affordable, and this survey demonstrates a need for ways that supportive institutions with smaller budgets can participate in these OA initiatives even if unable to contribute the full membership amount. Discoverability and accessibility are also high priorities for collections librarians, and initiatives that successfully scale will ensure their books are easily findable and readable by all users. Finally, scaling up will entail these initiatives becoming better integrated with the approval plans and digital platforms which comprise the contemporary collections workflow. This may take earlier or additional commitments on the part of publishers.

Significantly scaling up these initiatives would be aided if participating publishers, for example, committed to publishing all titles of a given series or sub-discipline through the initiative, thereby allowing collections librarians to remove them from their approval plans and avoid "double dipping," i.e. paying a publisher twice for the same title in the same format. Responses to our follow-up question regarding double dipping (Follow-up Q1b) varied widely, but they clearly indicate the value of timely data that enables librarians to account for titles acquired through OA initiatives as they do with other vendors. Surveying publisher attitudes on these and related issues is a key next step for ensuring the success of these initiatives at scale.

OA monograph initiatives also must be discerning in the publishers they allow to participate. Since libraries rely on trust in the credibility of a content creator as a proxy for content quality, earning and retaining the trust of participants should be a key goal for OA initiatives hoping to scale up. What could violate that trust? Partnering with publishers that have not gained the goodwill of the academic library community, that offer titles unlikely to appeal to an academic audience of sufficient size, or whose OA titles are poorly received by reviewers could undermine the initiative's ability to recruit new participants and retain those already onboard.

It is not surprising that most advocacy for participating in library-supported OA book initiatives is coming from within the library, but it is concerning that so little support is coming from outside it – from faculty, from deans and department chairs, or from university administrators (Q3.3). Only 13 or 17% of participating libraries cited receiving support from faculty, and only 6 received support from their school's administration. Furthermore, non-participating libraries cited the absence of faculty support as a major obstacle to future participation (Q4.5). There is therefore a definite need to find ways to get more faculty support for the library's financial investment in these initiatives. As they scale, these initiatives should explore and advertise ways that their books can be incorporated within the

teaching and learning life of participating schools. While this survey shows that responding libraries are doing a good job of integrating OA scholarly books within their discovery platforms (Q5.4), new ways for users to search for and identify OA titles continue to be developed. The effect that such system-level changes can have on local usage represents another fertile area for future research.

IV. The Survey

Section 1: Introduction

This survey is for collections librarians at academic libraries in the U.S. that are currently participating, considering participating, or have thoughtfully declined to participate in one or more library supported OA monograph initiatives focusing on Humanities and Social Science titles such as Knowledge Unlatched, Luminos, or Open Book Publishers.

Created by the University of Michigan Library in collaboration with Knowledge Unlatched, this survey asks questions about how collections librarians decide whether or not to participate in such OA initiatives and the extent to which OA monographs are integrated within library discovery systems. The goal is to gather data that will help to identify and overcome the remaining obstacles to the spread of open access scholarly book publishing in the Humanities and Social Sciences.

We are hoping to receive one response per academic library. We therefore ask that you consult with your colleagues in collections if you are unsure how to answer a given question. The survey is not long and has very few required questions. If you would like to look at the questions in advance, here is a link to a pdf version. The survey deadline has been extended and the survey will close on Tuesday, February 7, at midnight.

Section 2: Identification Questions

Q2.1 - Name of college or university (required[5]):

Fewer than 3,000 degree-seeking students

1. Allegheny College
2. Amherst College
3. Anabaptist Mennonite Biblical Seminary
4. Anderson University
5. Carleton College
6. DePauw University
7. Dickinson College
8. Goshen College
9. Goucher College
10. Grinnell College
11. Haverford College
12. Hollins University
13. Illinois Wesleyan University
14. Indiana University Kokomo
15. Kalamazoo College
16. Kenyon College
17. Lafayette College
18. Macalester College
19. Mount Holyoke College
20. Oberlin College
21. Saint Joseph Seminary College
22. Saint Mary's College

[5] In order to allow respondents to click through the survey and answer questions in the order they preferred, "required" questions were not coded to force an answer before allowing respondents to move on to the next question.

23. Skidmore College
24. Swarthmore College
25. Trinity University
26. University of the Sciences
27. Vassar College
28. Virginia Wesleyan College
29. Washington and Lee University
30. Wellesley College
31. Whitman College

3,000-9,999 degree-seeking students

1. Azusa Pacific University
2. Chapman University
3. Creighton University
4. Dartmouth
5. Loyola University New Orleans
6. Manhattan College
7. Marian University
8. McNeese State University
9. Nevada State College
10. Rollins College
11. Sacred Heart University
12. Saint Edwards University
13. Samford University
14. University of Maine
15. University of New Orleans
16. University of San Francisco

17. William and Mary
18. York College of PA

10,000-19,999 degree-seeking students

1. Baylor University
2. Case Western Reserve University
3. Cleveland State University
4. Connecticut College
5. Duke University
6. Emory University
7. Georgetown University
8. Johns Hopkins University
9. Montana State University
10. Northwestern University
11. Rowan University
12. Texas Christian University
13. U of South Alabama
14. University at Albany
15. University of Idaho
16. University of Nebraska at Omaha
17. University of Notre Dame
18. University of Rhode Island
19. University of Rochester
20. Washington University in St Louis
21. Yale University

20,000-29,000 degree-seeking students

1. Auburn University
2. Cornell
3. East Carolina University
4. Eastern Michigan University
5. Grand Valley State University
6. Harvard University
7. Portland State University
8. The George Washington University
9. University of North Texas
10. University of Oklahoma
11. University of Oregon
12. University of Tennessee Knoxville
13. Washington State University

30,000-39,000 degree-seeking students

1. Boston University
2. Iowa State University
3. Kent State University
4. North Carolina State University
5. Temple University
6. University of California Irvine
7. University of Colorado Boulder
8. University of South Carolina
9. University of Utah

More than 40,000 degree-seeking students

1. Arizona State University
2. Indiana University Bloomington
3. Michigan State University
4. New York University
5. Ohio State
6. The University of Texas at Austin
7. University of Arizona
8. University of Michigan
9. University of Minnesota
10. University of Washington
11. University of Wisconsin Madison

Q2.2 - State in which school is located (e.g. MI, NY, CO) (required):

1. Alabama: 3
2. Arizona: 2
3. California: 4
4. Colorado: 1
5. Connecticut: 3
6. District of Columbia: 2
7. Florida: 1
8. Georgia: 1
9. Idaho: 1
10. Illinois: 2
11. Indiana: 9
12. Iowa: 2
13. Louisiana: 4
14. Maine: 1
15. Maryland: 2
16. Massachusetts: 5
17. Michigan: 5
18. Minnesota: 3
19. Missouri: 1
20. Montana: 1
21. Nebraska: 2
22. Nevada: 1
23. New Hampshire: 1
24. New Jersey: 1
25. New York: 7
26. North Carolina: 3
27. Ohio: 6
28. Oklahoma: 1
29. Oregon: 2
30. Pennsylvania: 8
31. Rhode Island: 1
32. South Carolina: 1
33. Tennessee: 1
34. Texas: 6
35. Utah: 1
36. Virginia: 4
37. Washington: 3
38. Wisconsin: 1

Q2.3 - Public or private school (required):

Figure 2.3

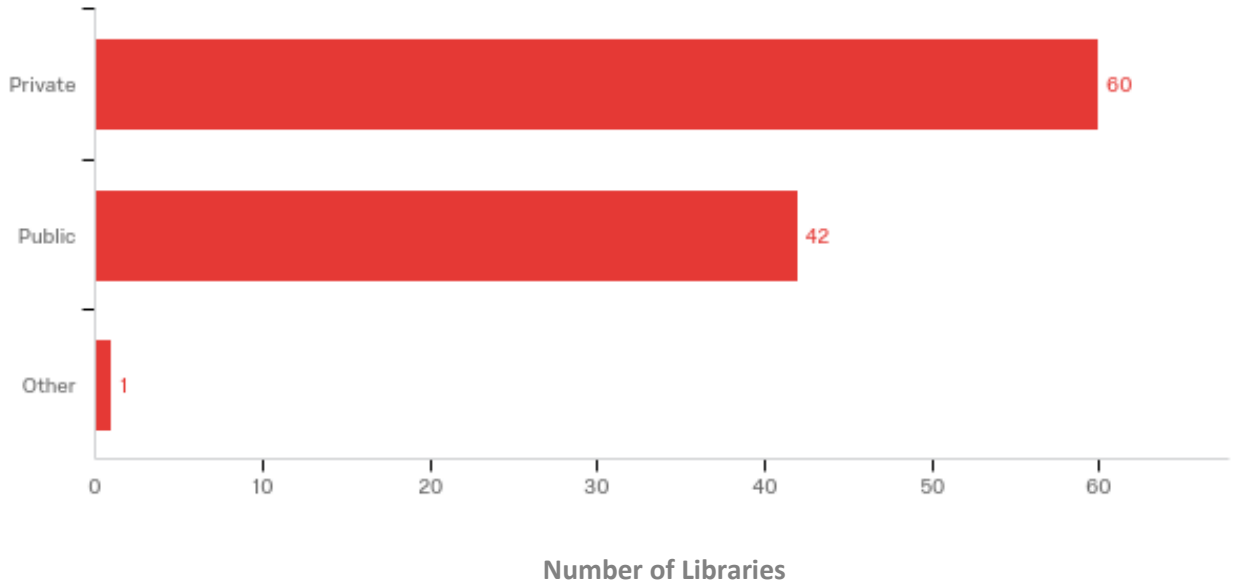


Table 2.3

#	Choices	%	Count
1	Private	58.25%	60
2	Public	40.78%	42
3	Other	0.97%	1
	Total	100%	103

Other:

Both

Q2.4 - Highest degree awarded by school (required):

Figure 2.4

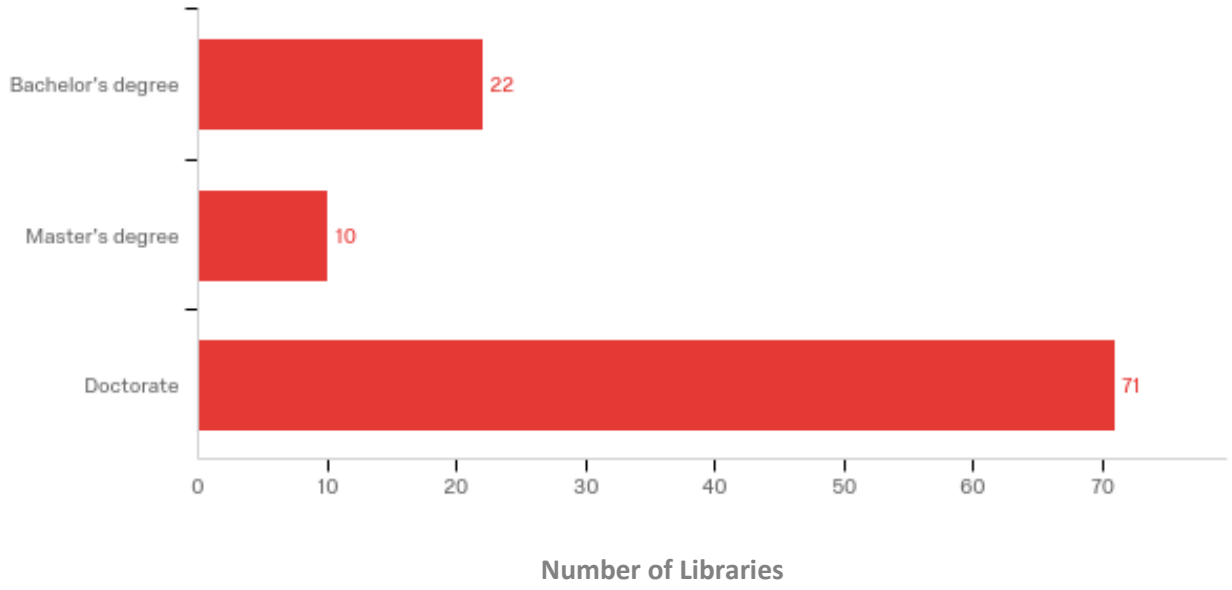


Table 2.4

#	Choices	%	Count
1	Bachelor's degree	21.36%	22
2	Master's degree	9.71%	10
3	Doctorate	68.93%	71
	Total	100%	103

Q2.5 - Size of school:

Figure 2.5

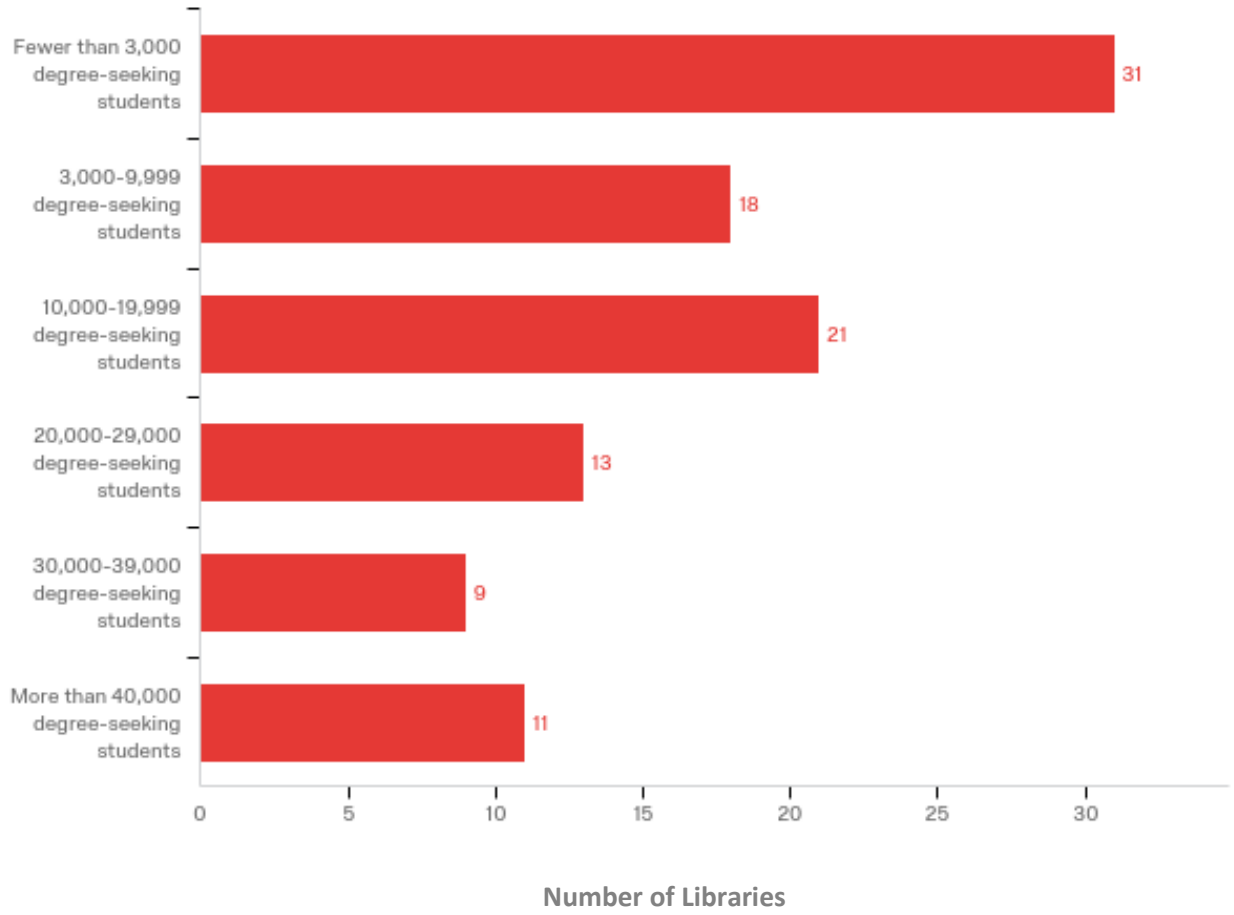


Table 2.5

#	Choices	%	Count
1	Fewer than 3,000 degree-seeking students	30.10%	31
2	3,000-9,999 degree-seeking students	17.48%	18
3	10,000-19,999 degree-seeking students	20.39%	21
4	20,000-29,000 degree-seeking students	12.62%	13
5	30,000-39,000 degree-seeking students	8.74%	9
6	More than 40,000 degree-seeking students	10.68%	11
	Total	100%	103

Q2.6 - Your position title:

Figure 2.6

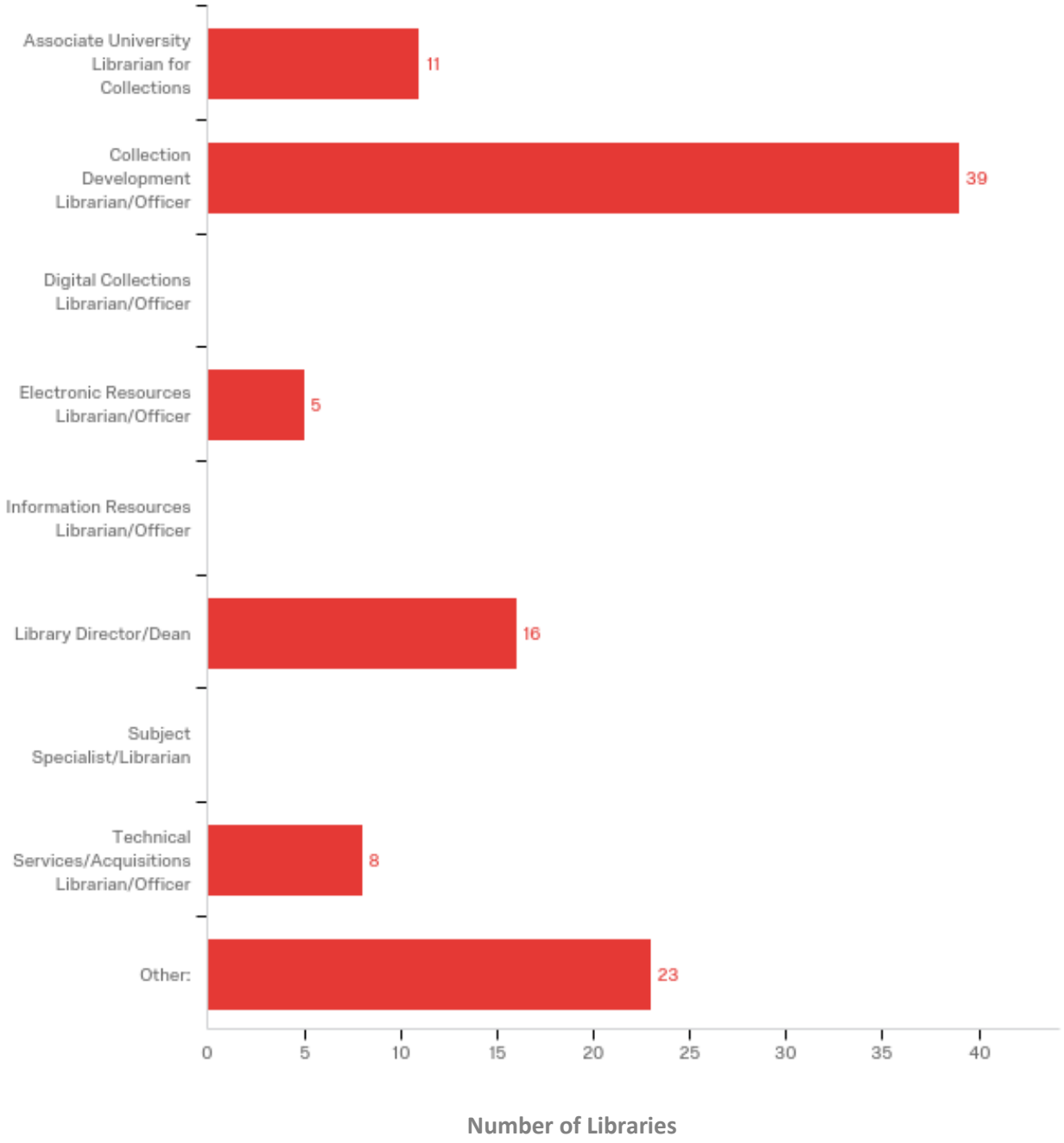


Table 2.6

#	Choices	%	Count
1	Associate University Librarian for Collections	10.78%	11
2	Collection Development Librarian/Officer	38.24%	39
3	Digital Collections Librarian/Officer	0.00%	0
4	Electronic Resources Librarian/Officer	4.90%	5
5	Information Resources Librarian/Officer	0.00%	0
6	Library Director/Dean	15.69%	16
7	Subject Specialist/Librarian	0.00%	0
8	Technical Services/Acquisitions Librarian/Officer	7.84%	8
9	Other:	22.55%	23
	Total	100%	102

Other:

1. Head of Collection Services/Associate Professor
2. Collections Coordinator
3. Director, Scholarly Communication, Copyright and Publishing Program
4. Associate Dean for Research and Instruction
5. Assistant Acquisitions and Collection Development Librarian
6. Collections Strategist
7. Associate Dean for Collections & Content Services
8. Reference Librarian and Collections Team Member
9. Scholarly Communication Librarian
10. Director of Collections
11. Asst. Director of Library for Collection Development & Research Services
12. Head of Collection Management
13. Collection Development & Electronic Resources
14. Associate Dean for Research Services

15. Director, Copyright & Scholarly Communication
16. Assistant Library Director - Collection Development & Discovery
17. Associate Director for Collections
18. Collections Librarian
19. Associate Dean, University Libraries
20. Associate Director for Library Resources & Administration
21. Strategic Collections Librarian
22. Associate University Librarian for Digital Initiatives & Open Access
23. Head of Collections & Systems

Q2.7 - We would like one response from each library, so we request that you ask your colleagues about any questions you do not feel confident answering independently. Are you prepared to answer on behalf of your library and its collections unit?[6]

Table 2.7

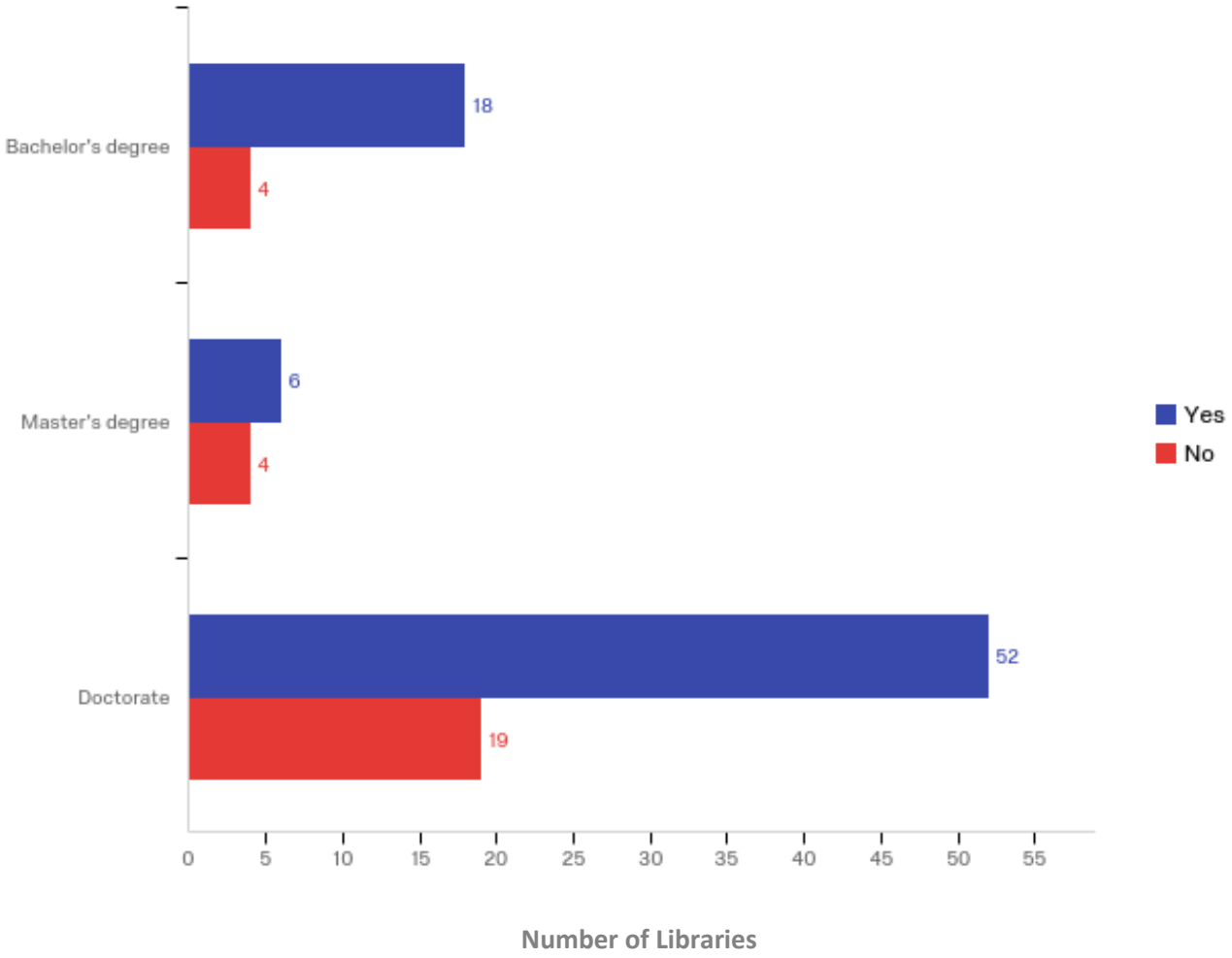
#	Choices	%	Count
1	Yes	100.00%	103
	Total	100%	103

[6] Respondents answering 'No' to this question were then asked if they were sure. Those respondents unable to answer on behalf of their library were not able to complete the survey.

Section 3: Questions for Current Participants

Q3.1 - Has your library chosen to allocate financial resources to one or more library-supported OA monograph initiatives focusing on Humanities and Social Sciences titles such as Knowledge Unlatched, Luminos, or Open Book Publishers?[7]

Figure 3.1



[7] Those answering 'No' were taken directly to Q4.1. **Note**: Throughout this survey, those respondents answering 'Yes' to this question are referred to as *Participants* and those answering 'No' are referred to as *Non-participants*.

Table 3.1

#	Choice	%	Count
1	Yes	73.79%	76
2	No	26.21%	27
	Total	100%	103

Q3.2 - Please list the OA initiatives[8] in which your library is participating or has participated (optional):

Table 3.2: Five most frequently cited OA initiatives

#	Initiatives	Count
1	Knowledge Unlatched	61
2	Open Library of Humanities	27
3	Reveal Digital	14
4	Open Book Publishers	11
5	Lever Press	9

Responses

1. Knowledge Unlatched, Lever Press, OLH
2. Knowledge Unlatched
3. Knowledge Unlatched, Reveal Digital, Open Book Publishers, Open Humanities Press
4. Knowledge Unlatched, Open Library of Humanities, Luminos
5. Open Textbook Library (Open Textbook Network)
6. Knowledge Unlatched, Reveal Digital, open access publishing fund
7. Knowledge Unlatched, Reveal Digital
8. Knowledge Unlatched, SPARC

[8] This question did not limit to OA initiatives focusing on books, therefore the responses represent a mix of different kinds.

9. Knowledge Unlatched
10. Knowledge Unlatched; Open Library for the Humanities, Open Book Publishers, PLOS
11. Knowledge Unlatched, Open Library of the Humanities
12. Knowledge Unlatched Pilot Collection, Knowledge Unlatched Round 2 Collection
13. Knowledge Unlatched
14. BioMed Centre, SPARC, DOAJ, Reveal Digital, Knowledge Unlatched
15. Knowledge Unlatched
16. Knowledge Unlatched
17. Knowledge Unlatched, SCOAP3, arxiv
18. Knowledge Unlatched, PhilPapers
19. Knowledge Unlatched
20. Knowledge Unlatched, Open Library of the Humanities, DOAJ, maybe more
21. DOAJ
22. SCOAP3, Open Library of Humanities, Knowledge Unlatched, Reveal Digital Independent Voices
23. Knowledge Unlatched, Reveal Digital/Independent Voices, BioMed, SPARC, SCOAP3, OA fund for faculty publications
24. Knowledge Unlatched, PeerJ, BioMed Central
25. Lever, Knowledge Unlatched, Luminos
26. Knowledge Unlatched, Reveal Digital, SCOAP3
27. Lever Press, Knowledge Unlatched, Open Library of the Humanities
28. Arxiv, BioMed Central, BioOne, DOAJ, Knowledge Unlatched, Luminos, MDPI, Open Library of the Humanities, PeerJ, Reveal Digital, SCOAP3, TRAIL
29. KU, OBP, OLH, Lever Press, Unglue.it ; also (not book-focused) Reveal Digital, PhilPapers, OAN, and payment of author fees for Oberlin faculty publication in OA jrls
30. Knowledge Unlatched
31. Knowledge Unlatched; Oberlin Group Lever Press
32. Knowledge Unlatched, Open Book Publishers
33. Knowledge Unlatched; Reveal Digital
34. Knowledge Unlatched; Lever Press; Stanford Encyclopedia of Philosophy; Public Library of Science; Biomed Central; SPARC

35. ArXiv; SCOAP3; Open Library of Humanities; Nucleic Acids Research; BioMed Central / SpringerOpen; Knowledge Unlatched
36. Knowledge Unlatched
37. Knowledge Unlatched, Open Book Publishers,
38. Knowledge Unlatched
39. Luminos, Knowledge Unlatched
40. Knowledge Unlatched
41. Lever Press, Knowledge Unlatched, SCOAP3, Open Book Publishers
42. We participate in several initiatives
43. Amherst College Press, Lever Press, Knowledge Unlatched, Anvil
44. 1) small contribution to NC LIVE's Home Grown eBook Collection (OA at the state level); 2) we contributed 3,198 volumes to the Open Content Alliance that then went into the Internet Archive and HathiTrust
45. the first two rounds of KU, Reveal Digital Independent Voices
46. Open Book Publishing, Openedition, Knowledge Unlatched (1 year)
47. Knowledge Unlatched
48. Knowledge Unlatched
49. Knowledge Unlatched, Open Book Publishers
50. Knowledge Unlatched (through our consortium)
51. Knowledge Unlatched, Open Access Network, COAPI, Lever Press
52. Knowledge Unlatched, SCOAP3
53. Knowledge Unlatched, Independent Voices, Open Library of Humanities, Stanford Encyclopedia of Philosophy, Biomed Central membership, library funding program for faculty OA publishing
54. KU and Open Book Publishers
55. Knowledge Unlatched, Stanford Encyclopedia of Philosophy
56. Knowledge Unlatched, Open Book Publishers, Luminos, SCOAP3, DOAJ, MDPI, Open Library of the Humanities, Independent Voices
57. Open Library of the Humanities
58. Funding for APCs, support for Reveal Digital, supports SCOAP3, support for Knowledge Unlatched, institutional repository, DOAJ
59. OLH, Lever Press, Open Book Publishers, Open Access Network, Knowledge Unlatched

60. Knowledge Unlatched, SCOAP3, Open Library of Humanities, Lever Press
61. Knowledge Unlatched
62. Knowledge Unlatched
63. see https://scholarworks.duke.edu/open-access/open-initiatives/
64. Knowledge Unlatched, Reveal Digital, Open Library for the Humanities
65. Knowledge Unlatched, PLOS, BioMed Central, Stanford Encyclopedia of Philosophy, Open Textbook Library, Lever Initiative, Open Library of the Humanities
66. Knowledge Unlatched, Biomed Central, Scoap3, Springer Open Books, several of our journal contracts have limited OA provisions in them.

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

Figure 3.3

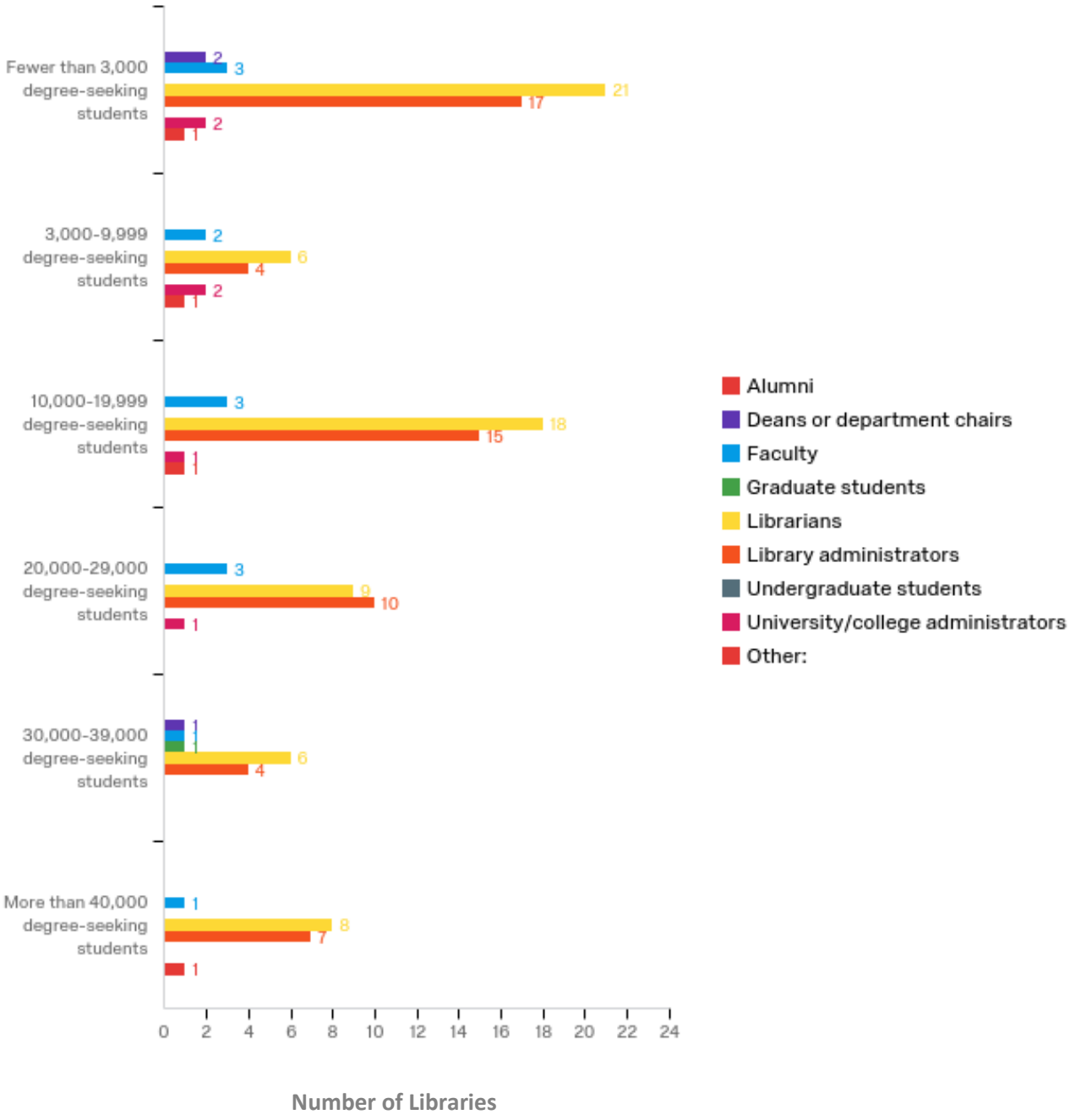


Table 3.3

#	Choices	%	Count
1	Alumni	0.00%	0
2	Deans or department chairs	3.95%	3
3	Faculty	17.11%	13
4	Graduate students	1.32%	1
5	Librarians	89.47%	68
6	Library administrators	75.00%	57
7	Undergraduate students	0.00%	0
8	University/college administrators	7.89%	6
9	Other:	5.26%	4
	Total	100%	76

Other:

1. LOUIS (statewide library consortium) and Louisiana Board of Regents
2. Donor
3. Chief Information Officer
4. External funder

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

Figure 3.4

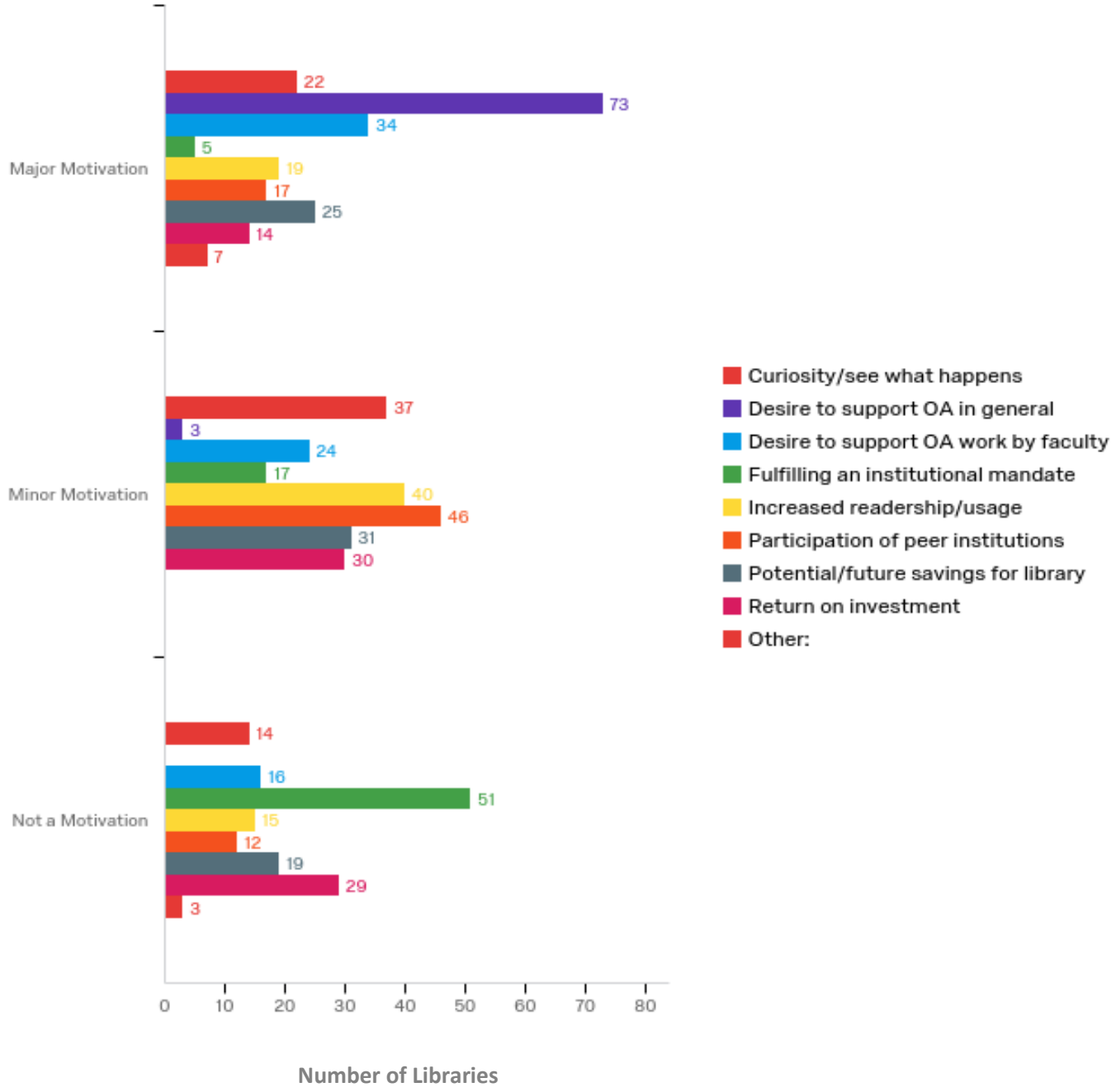


Table 3.4

#	Choices	Major Motivation		Minor Motivation		Not a Motivation		Total
1	Curiosity/see what happens	30.14%	22	50.68%	37	19.18%	14	73
2	Desire to support OA in general	96.05%	73	3.95%	3	0.00%	0	76
3	Desire to support OA work by faculty	45.95%	34	32.43%	24	21.62%	16	74
4	Fulfilling an institutional mandate	6.85%	5	23.29%	17	69.86%	51	73
5	Increased readership/usage	25.68%	19	54.05%	40	20.27%	15	74
6	Participation of peer institutions	22.67%	17	61.33%	46	16.00%	12	75
7	Potential/future savings for library	33.33%	25	41.33%	31	25.33%	19	75
8	Return on investment	19.18%	14	41.10%	30	39.73%	29	73
9	Other:	70.00%	7	0.00%	0	30.00%	3	10

Other:

1. Proof of concept: to participate in OA initiatives that we hope are sustainable
2. Exploration of business models
3. Belief in the usefulness of OA resources and applicability to OER initiatives and openness as a value
4. Student Affordability
5. Ethical commitment (access for all)
6. Fits within university's mission
7. Transform the global scholarly communication ecosystem.

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

Figure 3.5



Table 3.5

#	Choices	%	Count
1	Academic Department(s)	0.00%	0
2	Central College/University Administration	5.26%	4
3	Consortium Fund	1.32%	1
4	Foundation or Endowment (external)	5.26%	4
5	General Collections Fund	64.47%	49
6	General Book Fund	21.05%	16
7	Gift, Donation, Endowment (internal)	11.84%	9
8	Library Administration	10.53%	8
9	Monograph Fund	6.58%	5
10	Special OA Fund	6.58%	5
11	Subject-specific book fund	3.95%	3
12	Other Internal Funding:	6.58%	5
13	Other External Funding:	1.32%	1
	Total	100%	76

Other Internal Funding:

1. Fund set aside for special projects and piloting new initiatives
2. Electronic Resources Fund
3. General library budget and endowed funds both
4. Personnel Budget
5. Library Contract Services Fund

Other External Funding:

Louisiana Board of Regents

Q3.6 - Was/is this funding for OA repeating or one-time? (select all that apply)

Figure 3.6

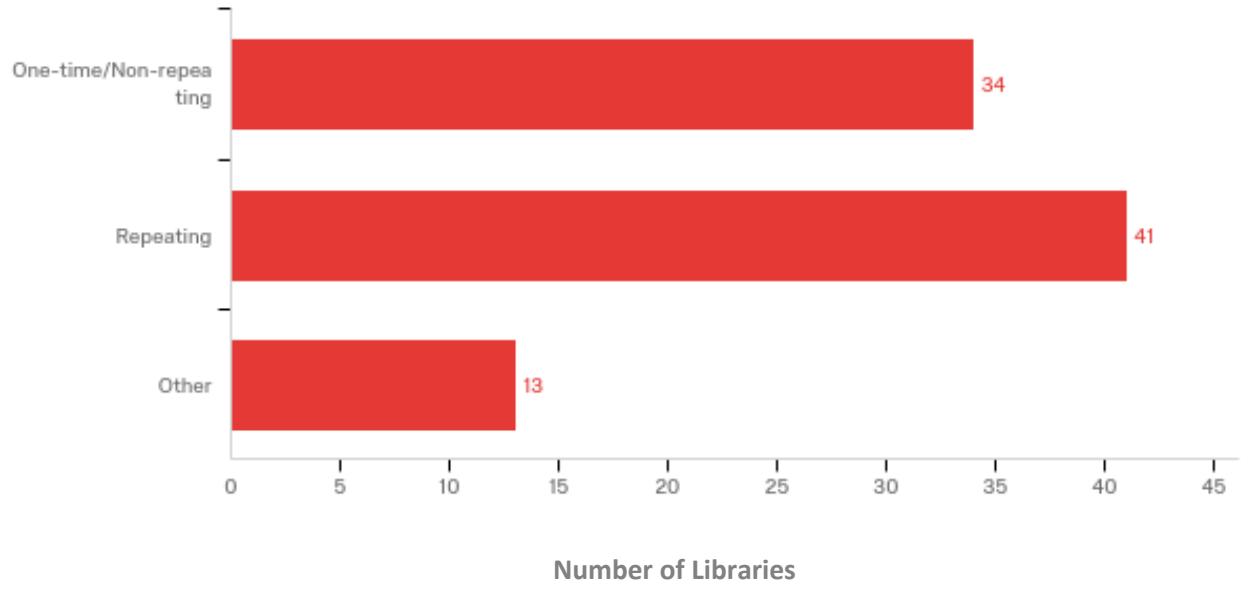


Table 3.6

#	Choices	%	Count
1	One-time/Non-repeating	44.74%	34
2	Repeating	53.95%	41
3	Other	17.11%	13
	Total	100%	76

Other:

1. Wait and see
2. We happened to have some unspent general funds, and Knowledge Unlatched proved a good target of opportunity.
3. One-time for now, but being considered for repeating
4. We have a specific fund set aside for open access articles, but other open access initiatives come from the Collections budget

5. TBD
6. One-time, but we participated multiple years, so you could say it was repeating. OLH was a 5-year commitment, paid once.
7. 1-time funding initially but with option to repeat project
8. Will evaluate to determine whether to continue funding OA initiatives
9. While the funding has come from one-time funds, we are committed to continue using resources from our one-time funds to support future OA projects.
10. Re-evaluated each year, but will repeat as long as our funding permits.
11. It depends on the situation, we reevaluate regularly to see if continued participation is desired and if funds are available
12. Some of each
13. No earmarked funding for OA

Q3.7 - 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)

Figure 3.7a Major Factors

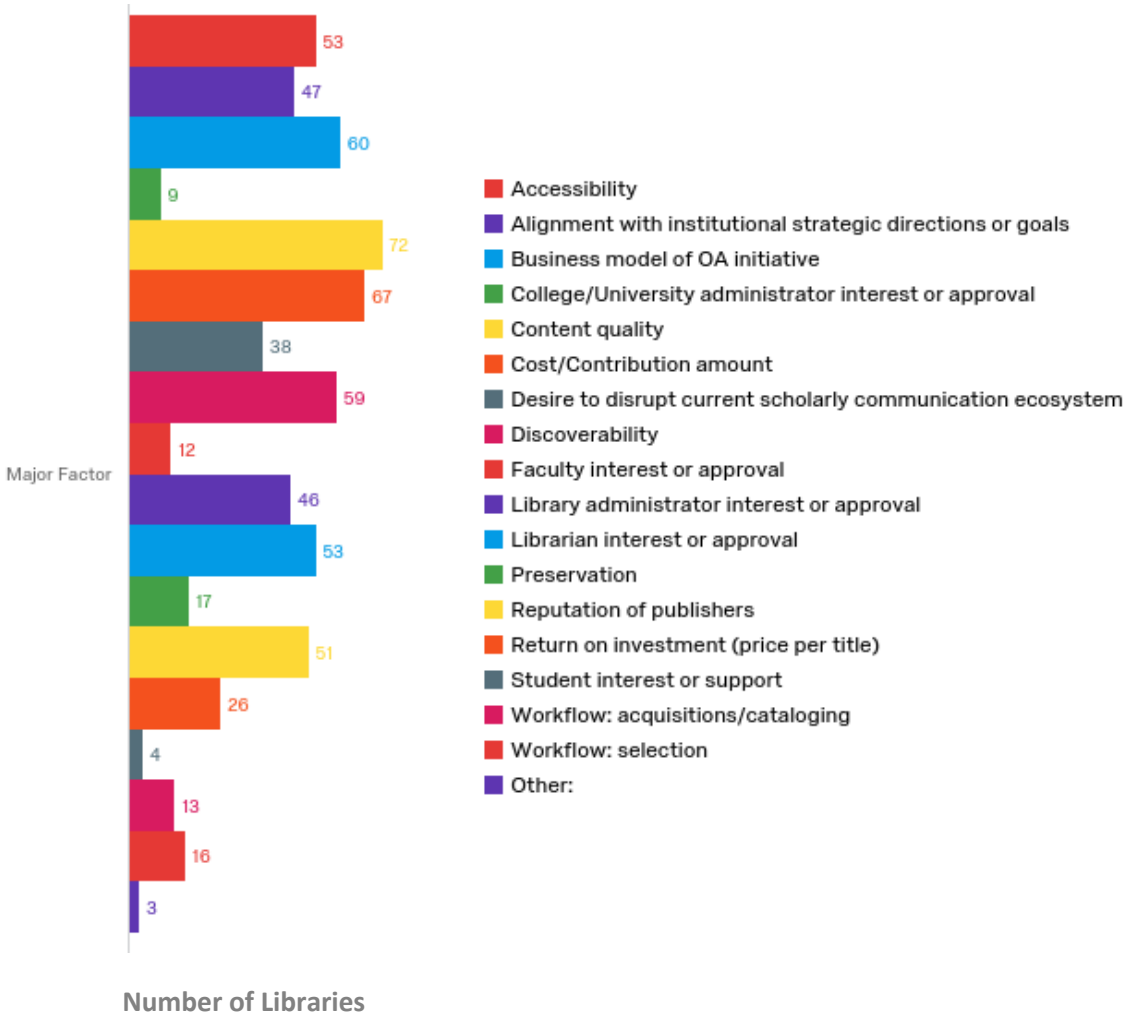


Figure 3.7b Minor Factors



Figure 3.7 Non-factors

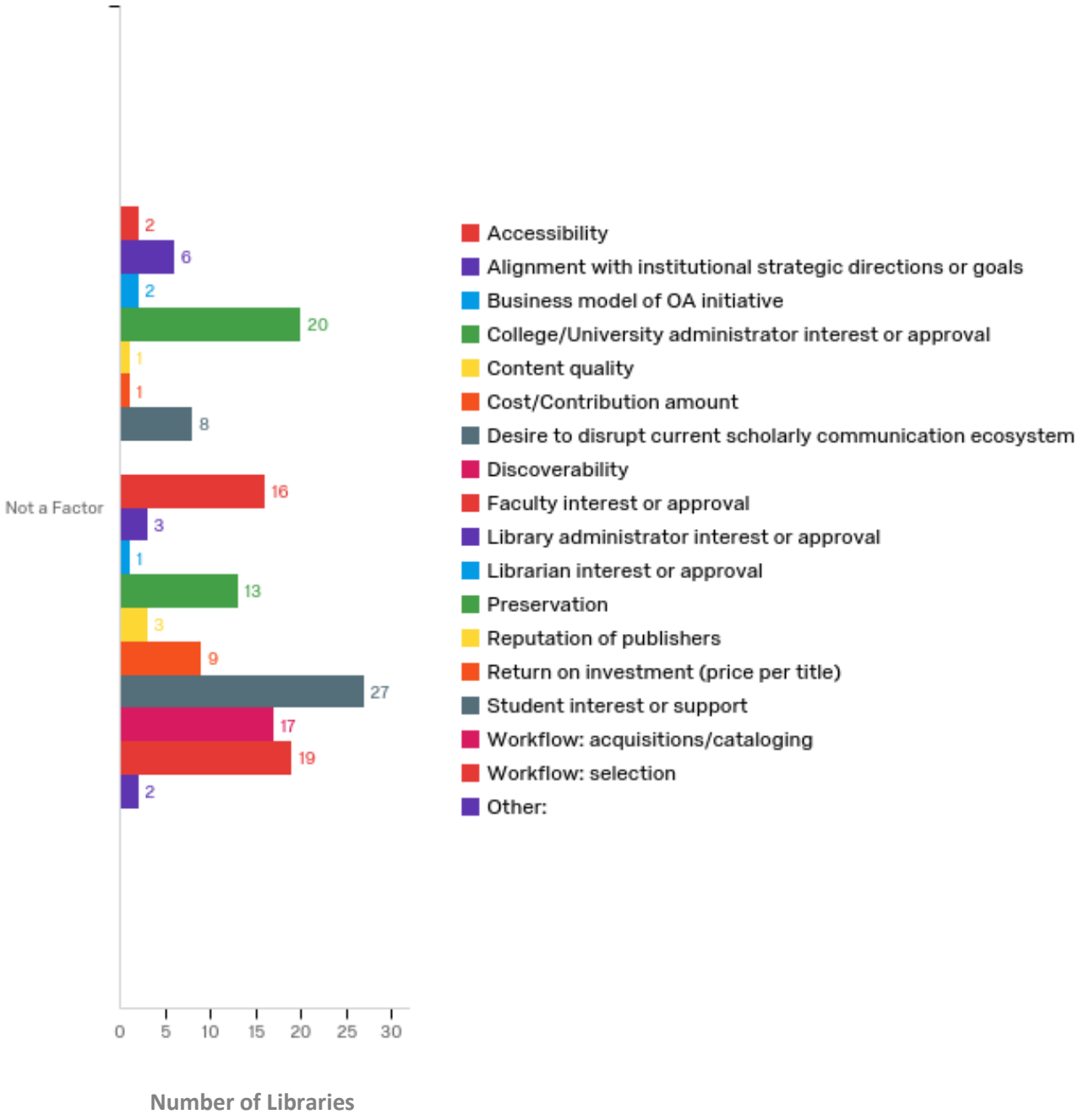


Table 3.7

#	Choices	Major Factor		Minor Factor		Not a Factor		Total
1	Accessibility	70.67%	53	26.67%	20	2.67%	2	75
2	Alignment with institutional strategic directions or goals	62.67%	47	29.33%	22	8.00%	6	75
3	Business model of OA initiative	78.95%	60	18.42%	14	2.63%	2	76
4	College/University administrator interest or approval	12.33%	9	60.27%	44	27.40%	20	73
5	Content quality	94.74%	72	3.95%	3	1.32%	1	76
6	Cost/Contribution amount	89.33%	67	9.33%	7	1.33%	1	75
7	Desire to disrupt current scholarly communication ecosystem	50.67%	38	38.67%	29	10.67%	8	75
8	Discoverability	78.67%	59	21.33%	16	0.00%	0	75
9	Faculty interest or approval	16.00%	12	62.67%	47	21.33%	16	75
10	Library administrator interest or approval	61.33%	46	34.67%	26	4.00%	3	75
11	Librarian interest or approval	69.74%	53	28.95%	22	1.32%	1	76
12	Preservation	22.97%	17	59.46%	44	17.57%	13	74
13	Reputation of publishers	68.92%	51	27.03%	20	4.05%	3	74
14	Return on investment (price per title)	35.14%	26	52.70%	39	12.16%	9	74
15	Student interest or support	5.41%	4	58.11%	43	36.49%	27	74
16	Workflow: acquisitions/cataloging	17.57%	13	59.46%	44	22.97%	17	74
17	Workflow: selection	21.62%	16	52.70%	39	25.68%	19	74
18	Other:	60.00%	3	0.00%	0	40.00%	2	5

Other:

1. Duplication with already purchased content
2. Fits our collection policy
3. The answers above vary a LOT depending on which resource/initiative. It isn't true that any one answer is correct for all the initiatives we support.

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

Figure 3.8

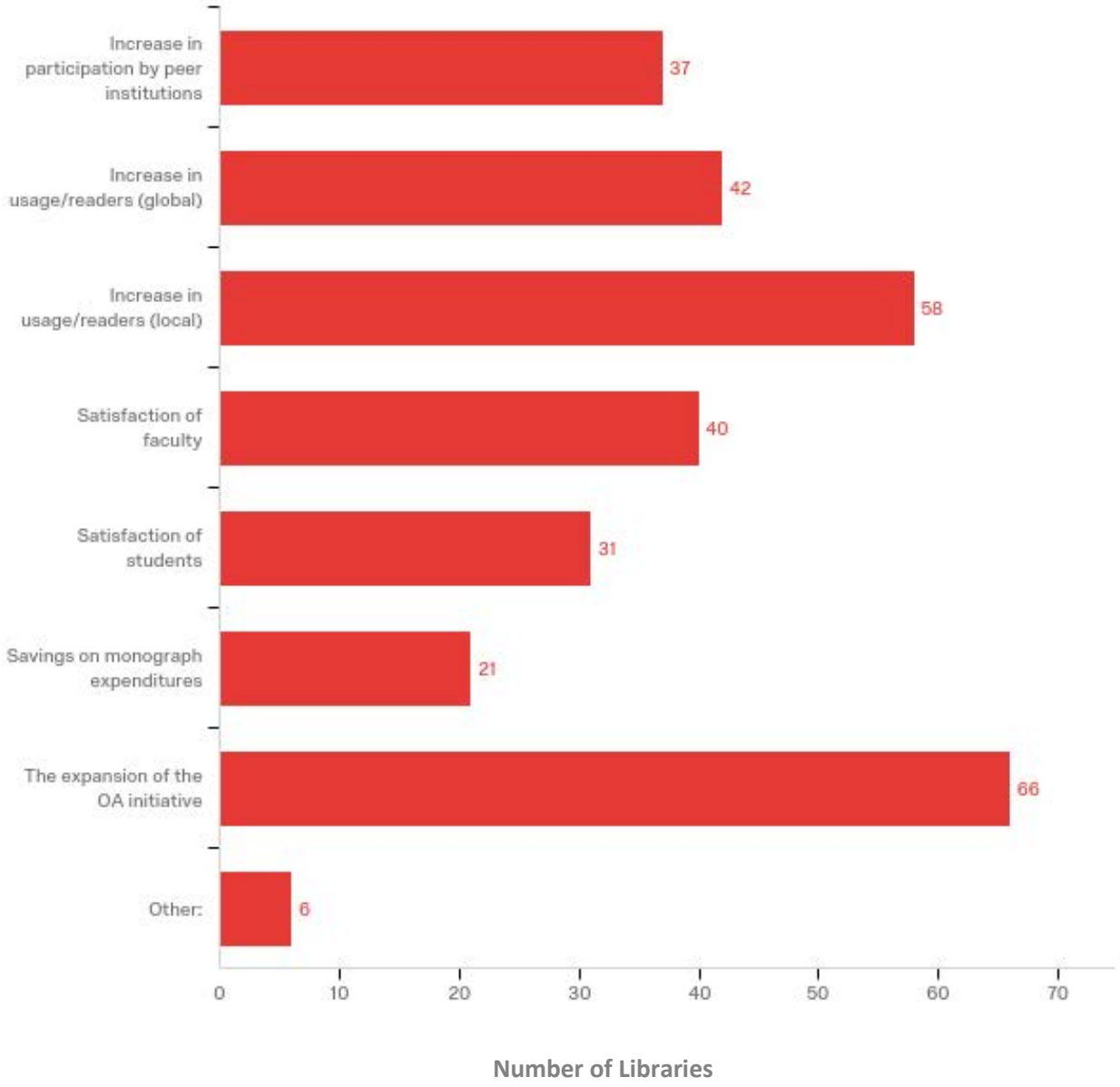


Table 3.8

#	Choices	%	Count
1	Increase in participation by peer institutions	12.29%	37
2	Increase in usage/readers (global)	13.95%	42
3	Increase in usage/readers (local)	19.27%	58
4	Satisfaction of faculty	13.29%	40
5	Satisfaction of students	10.30%	31
6	Savings on monograph expenditures	6.98%	21
7	The expansion of the OA initiative	21.93%	66
8	Other:	1.99%	6
	Total	100%	301

Other:

1. Satisfaction of library administration
2. Sustainability of the OA initiative, but this might be same as "expansion"
3. Material became open access. We view supporting OA as supporting the profession and giving back.
4. Deeper understanding of how OA benefits and costs will play out.
5. 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
6. Local awareness of OA in general

Q3.9 - How likely is it that your library will...

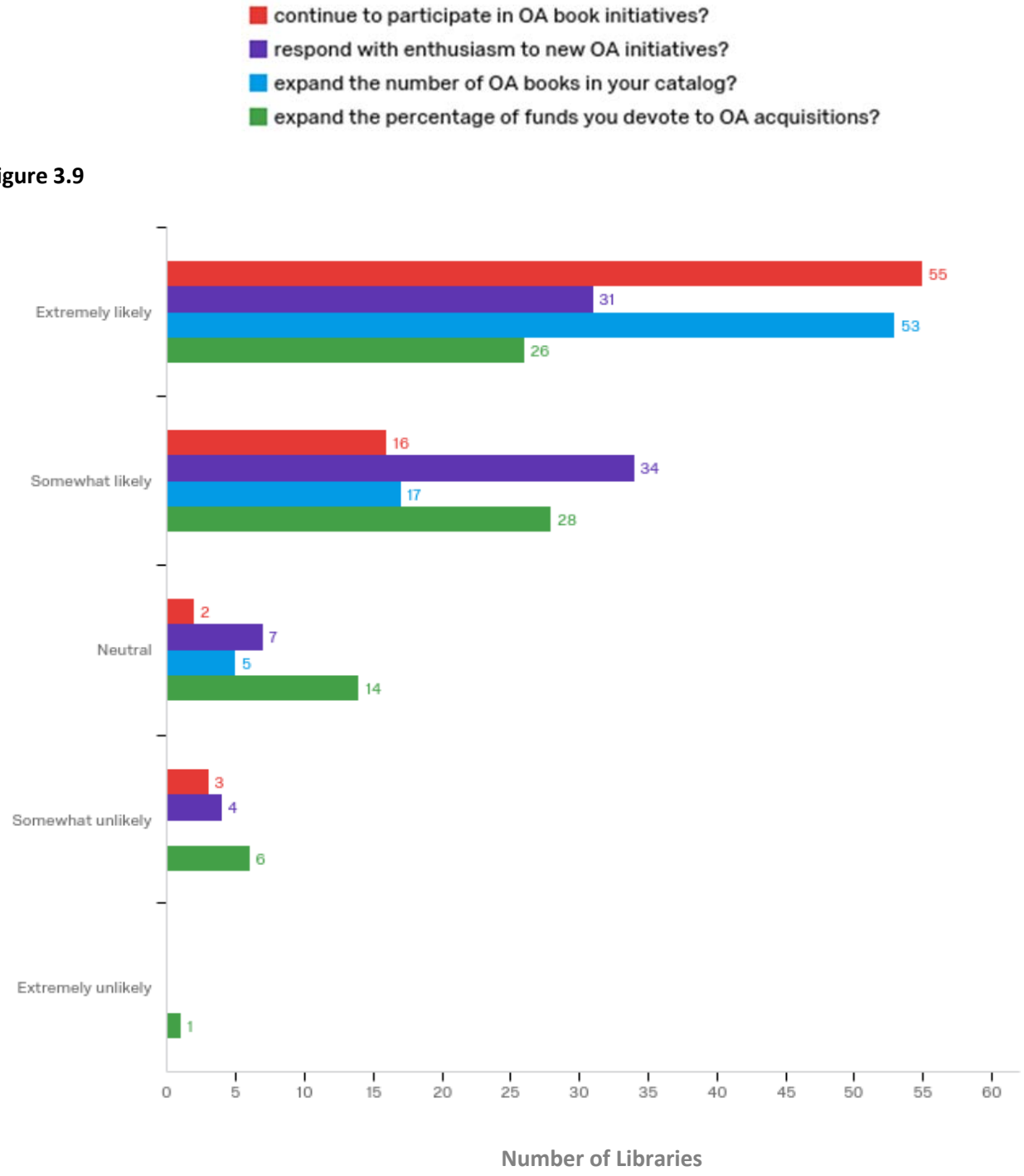


Figure 3.9

Table 3.9

#	How likely is it that your library will…	Extremely likely	Somewhat likely	Neutral	Somewhat unlikely	Extremely unlikely	Totals
1	continue to participate in OA book initiatives?	55/72.37%	16/21.05%	2/2.63%	3/3.95%	0/0.00%	76/100%
2	respond with enthusiasm to new OA initiatives?	31/40.79%	34/44.74%	7/9.21%	4/5.26%	0/0.00%	76/100%
3	expand the number of OA books in your catalog?	53/70.67%	17/22.67%	5/6.67%	0/0.00%	0/0.00%	75/100%
4	expand the percentage of funds you devote to OA acquisitions?	26/34.67%	28/37.34%	14/18.67%	6/8.00%	1/1.33%	75/100%

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) (required)

Figure 3.10

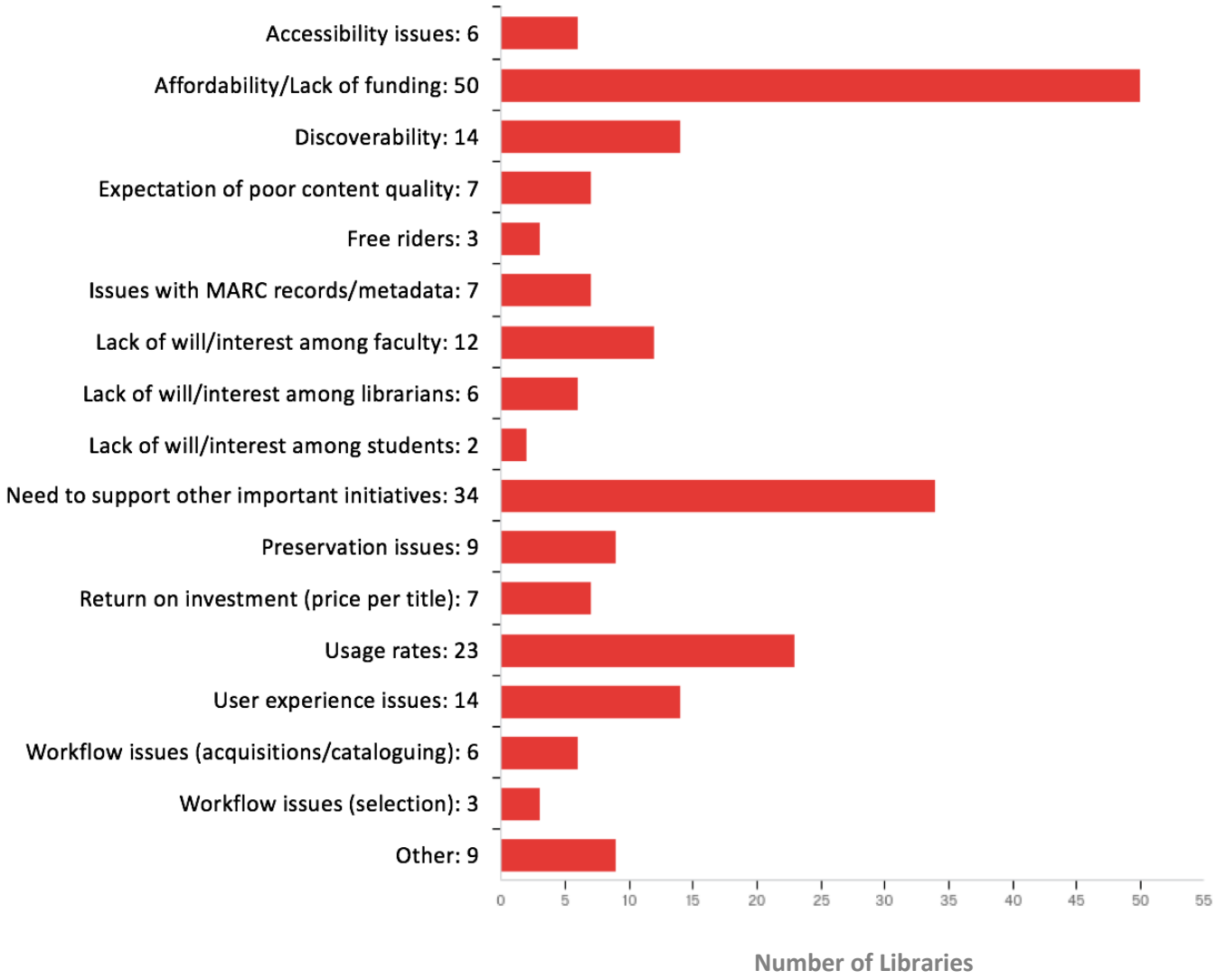


Table 3.10

#	Question	Fewer than 3,000 degree-seeking students	3,000-9,999 degree-seeking students	10,000-19,999 degree-seeking students	20,000-29,000 degree-seeking students	30,000-39,000 degree-seeking students	More than 40,000 degree-seeking students	Total
1	Accessibility issues	2	0	1	2	0	1	6
2	Affordability/Lack of funding	13	3	10	11	7	6	50
3	Discoverability	9	2	2	1	0	0	14
4	Expectation of poor content quality	0	1	2	1	1	2	7
5	Freeriders (non-participating libraries that benefit but don't pay)	2	0	0	0	1	0	3
6	Issues with MARC Records/Metadata	2	1	3	1	0	0	7
7	Lack of will/Interest among faculty	2	2	6	2	0	0	12
8	Lack of will/interest among librarians	0	0	3	3	0	0	6
9	Lack of will/interest among students	0	1	1	0	0	0	2
10	Need to support other important initiatives	10	4	7	5	2	6	34
11	Preservation issues	2	1	2	1	1	2	9
12	Return on investment (price per title)	2	1	1	1	1	1	7
13	Usage rates	10	2	5	4	1	1	23
14	User Experience issues	3	2	4	2	2	1	14
15	Workflow issues (acquisitions/cataloging)	2	0	2	0	0	2	6
16	Workflow issues (selection)	1	0	1	0	0	1	3
17	Other:	1	0	3	0	1	4	9

Other:

1. Possible diminution of acquisitions budget by library administration, for other priorities
2. Business model of OA Initiatives
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
8. Scalability / sustainability. Will any of these projects really take off and have a large impact?
9. Usage statistics availability and quality (need to prove local benefit)

Section 4: Questions for those now Considering & already Declined[9]

Q4.1 - Which of the following best describes the current situation at your library regarding the allocation of financial resources to one or more library-supported OA monograph initiatives focusing on Humanities and Social Sciences titles such as Knowledge Unlatched, Luminos, or Open Book Publishers? (required)

Figure 4.1

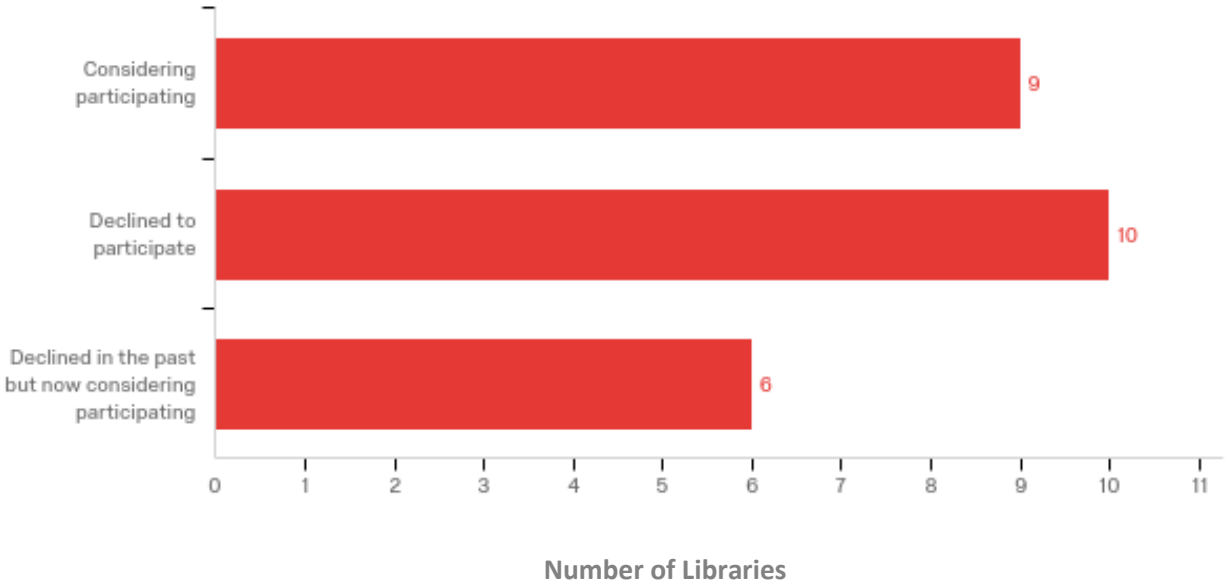


Table 4.1

#	Choices	%	Count
1	Considering participating	36.00%	9
2	Declined to participate	40.00%	10
3	Declined in the past but now considering participating	24.00%	6
	Total	100%	25

[9] The questions in Section 4 were supposed to be displayed only to non-participating libraries, i.e. those respondents who answered 'No' to Q3.1. Due to a coding error, Q4.1 was the *only* question that was *not* displayed to all respondents. As a result, participating libraries were asked to answer questions 4.2 through 4.6 even though they had already answered largely identical questions in Section 3. The responses of participants have been included, but they have been separated from those of non-participants.

Q4.2 - What were the most important factors for declining to participate? (required)

Figure 4.2a Major Factors – Non-participants

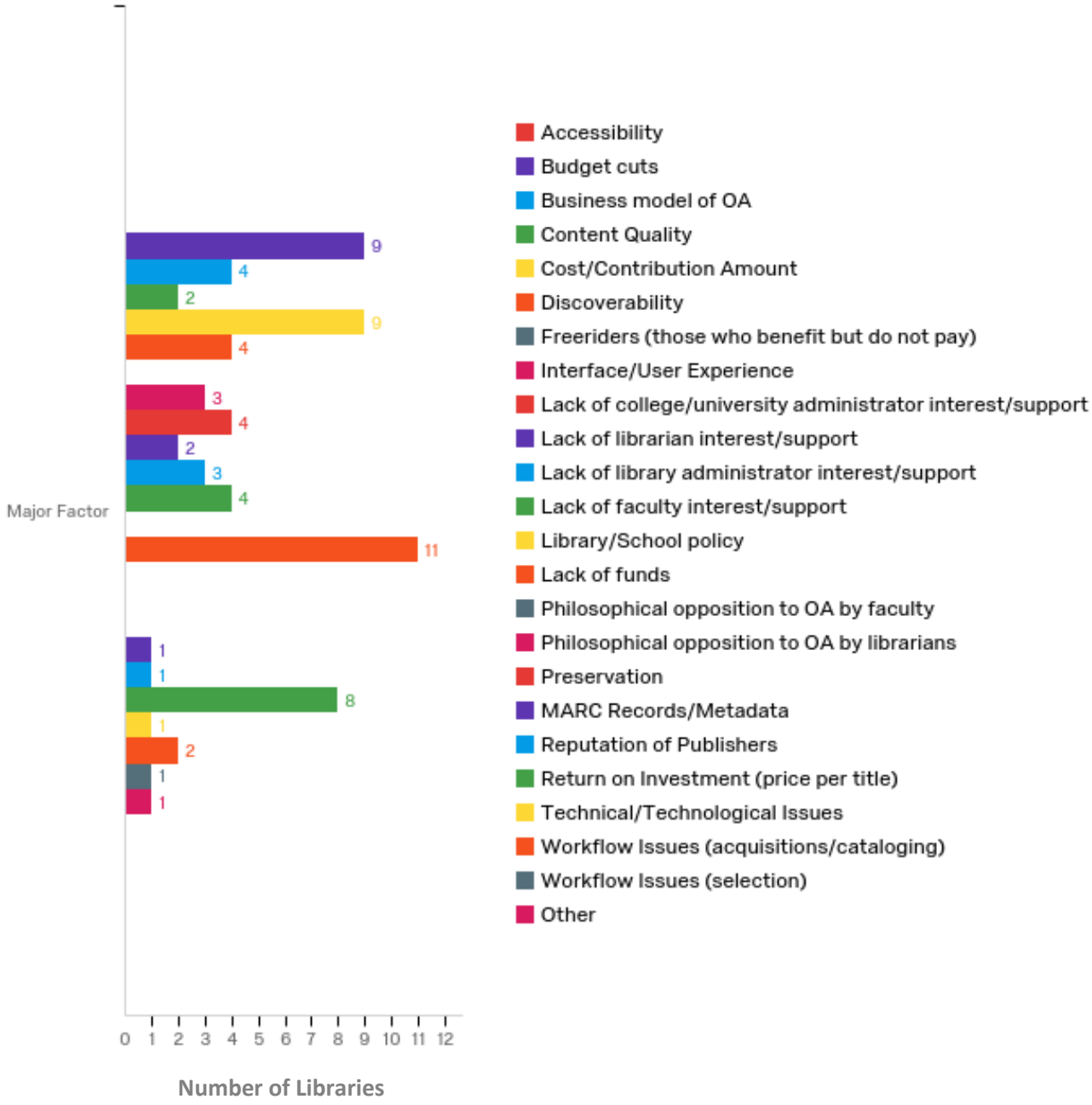


Figure 4.2b Minor Factors – Non-participants

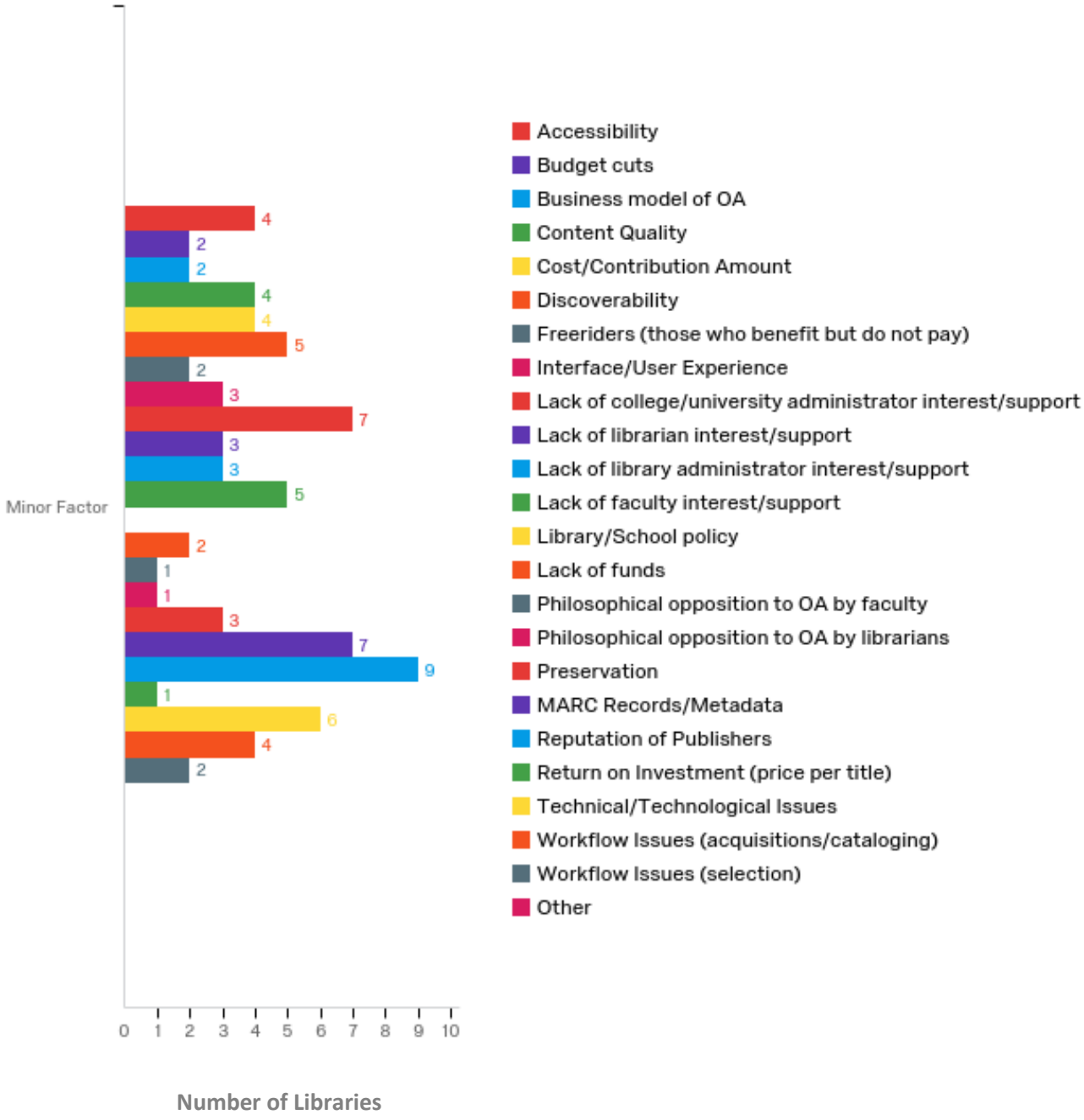


Figure 4.2c Non-factors – Non-participants

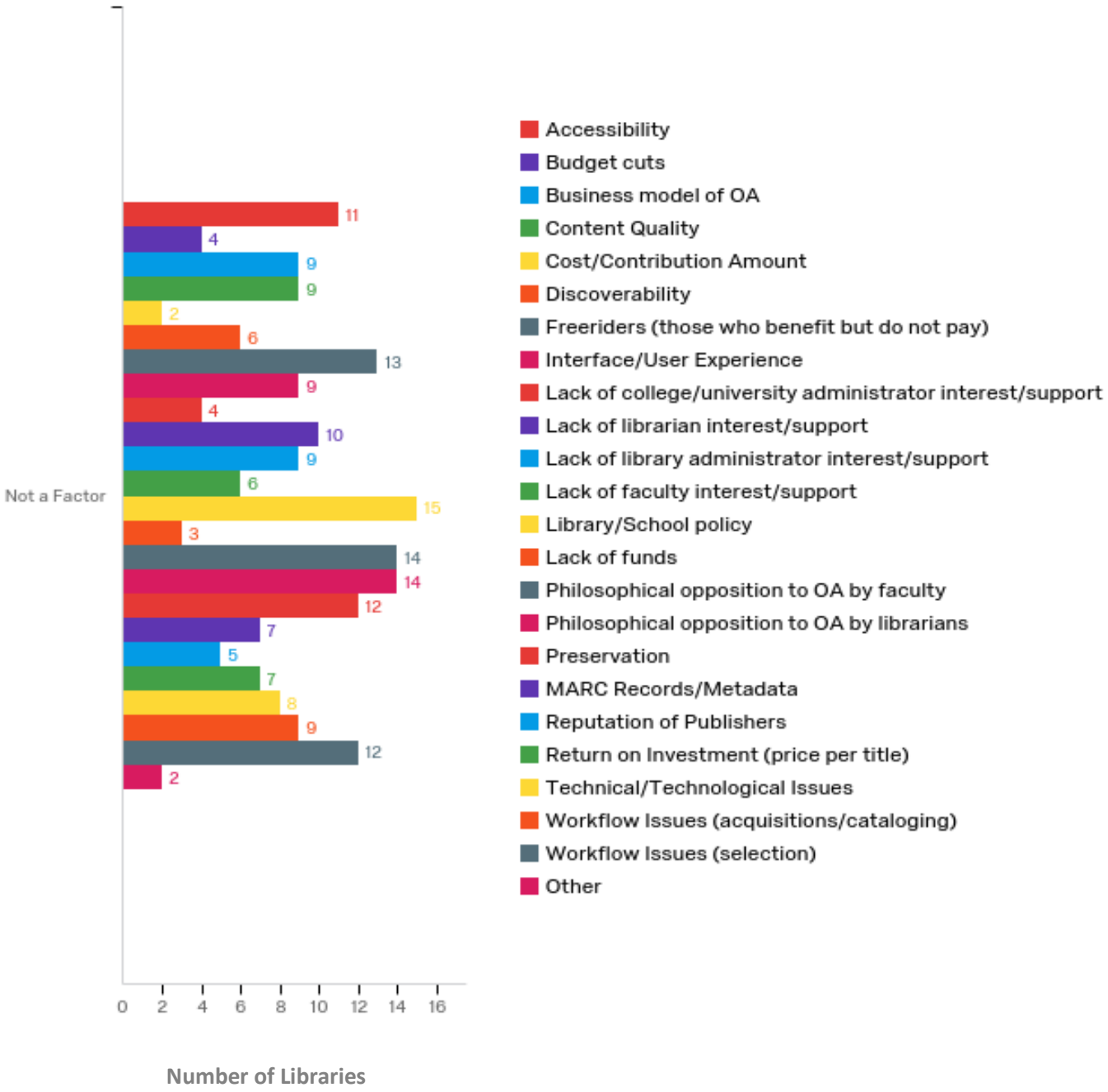


Table 4.2a Non-participant Responses

#	Choices	Major Factor		Minor Factor		Not a Factor		Total
1	Accessibility	0.00%	0	26.67%	4	73.33%	11	15
2	Budget cuts	60.00%	9	13.33%	2	26.67%	4	15
3	Business model of OA	26.67%	4	13.33%	2	60.00%	9	15
4	Content Quality	13.33%	2	26.67%	4	60.00%	9	15
5	Cost/Contribution Amount	60.00%	9	26.67%	4	13.33%	2	15
6	Discoverability	26.67%	4	33.33%	5	40.00%	6	15
7	Freeriders (those who benefit but do not pay)	0.00%	0	13.33%	2	86.67%	13	15
8	Interface/User Experience	20.00%	3	20.00%	3	60.00%	9	15
9	Lack of college/university administrator interest/support	26.67%	4	46.67%	7	26.67%	4	15
10	Lack of librarian interest/support	13.33%	2	20.00%	3	66.67%	10	15
11	Lack of library administrator interest/support	20.00%	3	20.00%	3	60.00%	9	15
12	Lack of faculty interest/support	26.67%	4	33.33%	5	40.00%	6	15
13	Library/School policy	0.00%	0	0.00%	0	100.00%	15	15
14	Lack of funds	68.75%	11	12.50%	2	18.75%	3	16
15	Philosophical opposition to OA by faculty	0.00%	0	6.67%	1	93.33%	14	15
16	Philosophical opposition to OA by librarians	0.00%	0	6.67%	1	93.33%	14	15
17	Preservation	0.00%	0	20.00%	3	80.00%	12	15
18	MARC Records/Metadata	6.67%	1	46.67%	7	46.67%	7	15
19	Reputation of Publishers	6.67%	1	60.00%	9	33.33%	5	15
20	Return on Investment (price per title)	50.00%	8	6.25%	1	43.75%	7	16
21	Technical/Technological Issues	6.67%	1	40.00%	6	53.33%	8	15
22	Workflow Issues (acquisitions/cataloging)	13.33%	2	26.67%	4	60.00%	9	15
23	Workflow Issues (selection)	6.67%	1	13.33%	2	80.00%	12	15
24	Other	33.33%	1	0.00%	0	66.67%	2	3

Figure 4.2d Major Factors - Participants

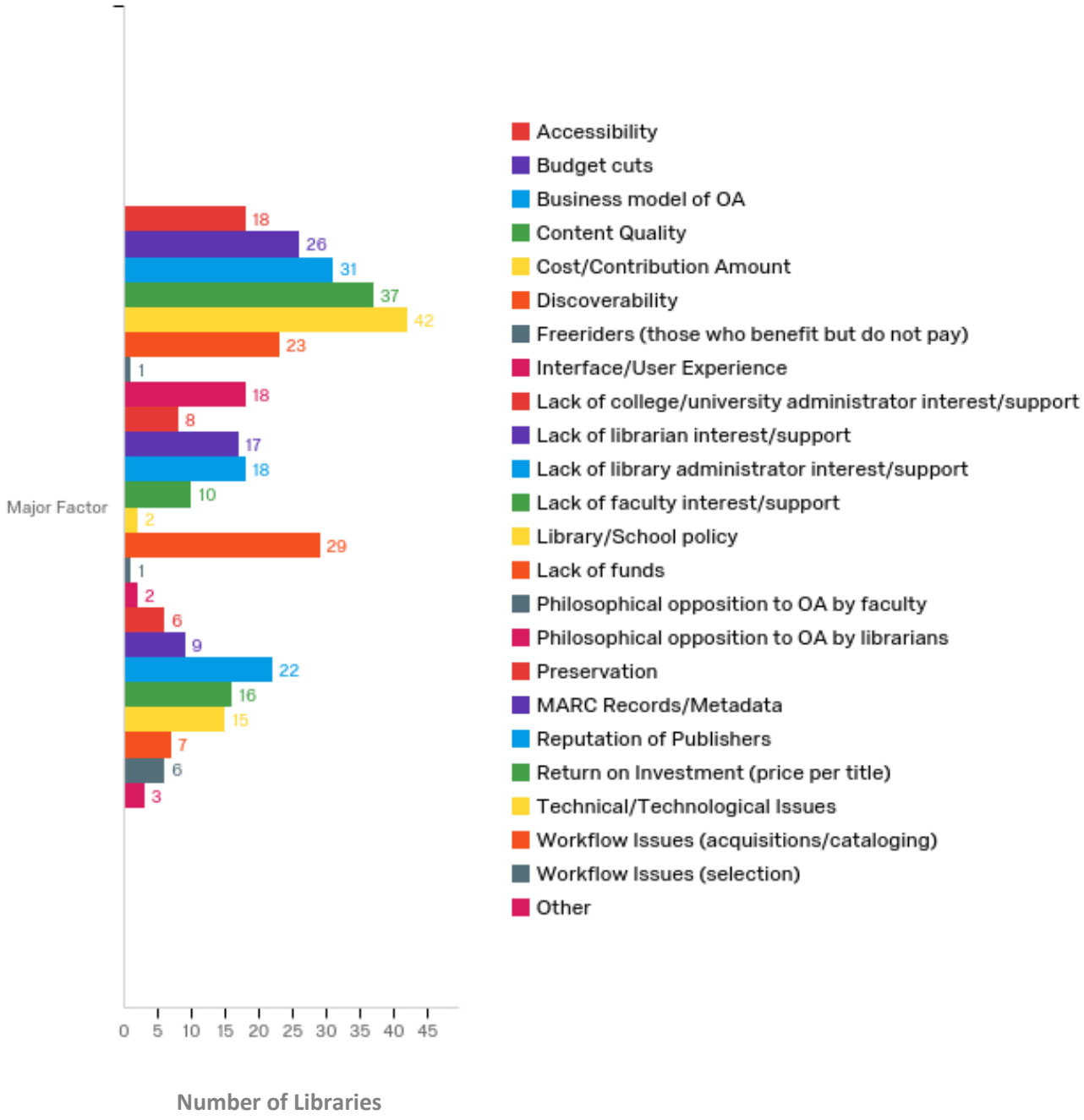


Figure 4.2e Minor Factors - Participants

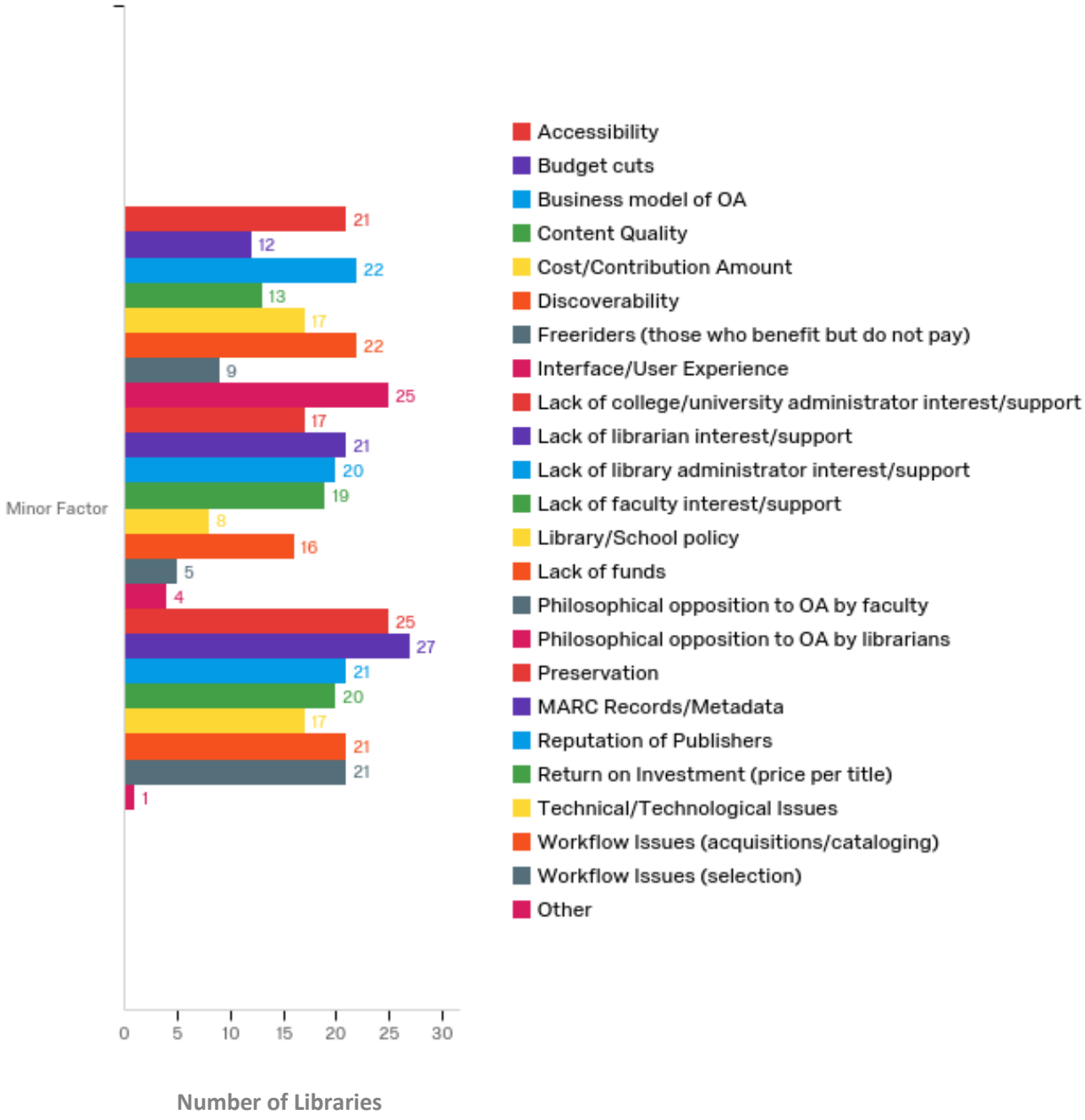


Figure 4.2f Non-factors - Participants

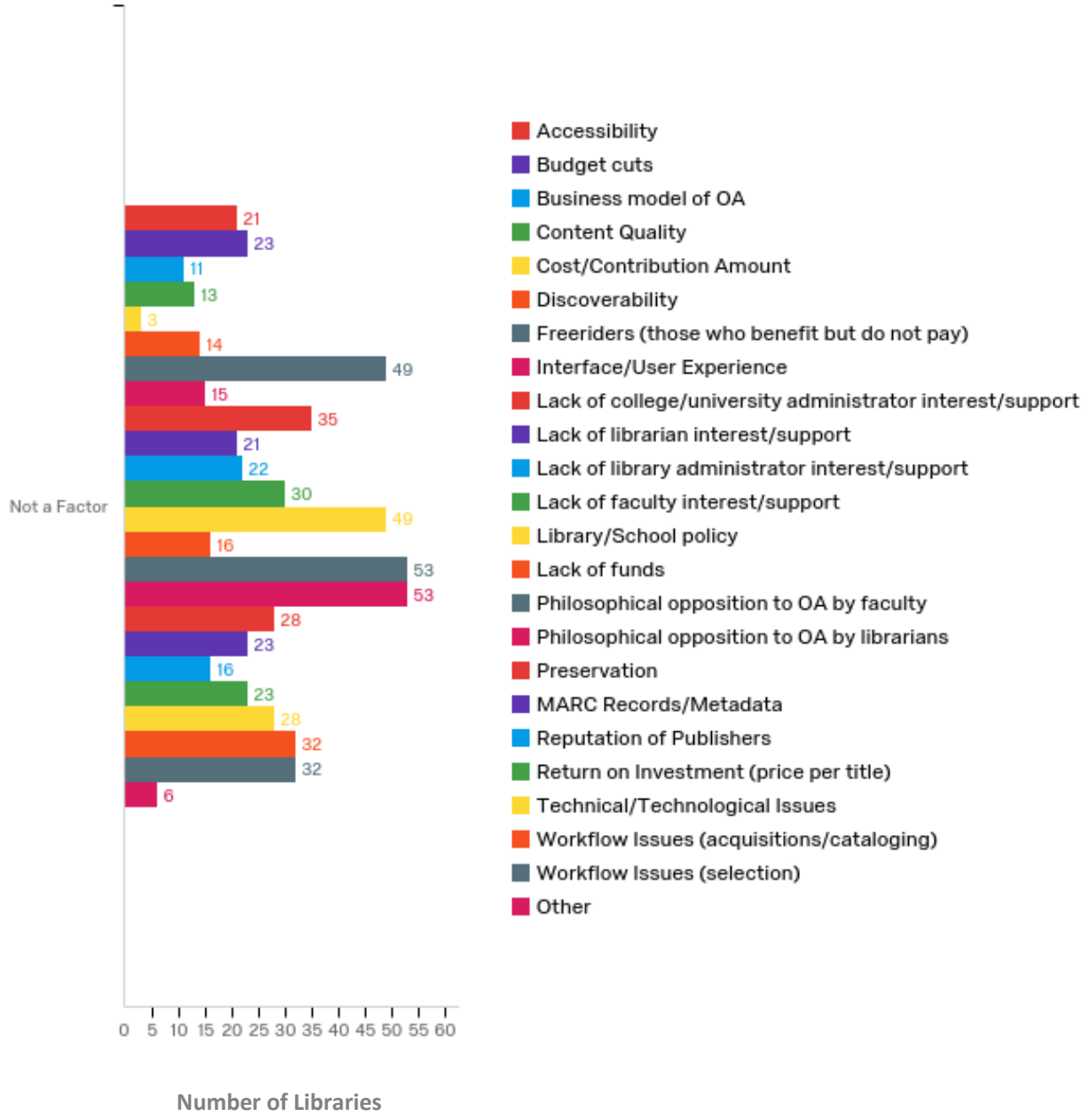


Table 4.2b Participant Responses

#	Choices	Major Factor		Minor Factor		Not a Factor		Total
1	Accessibility	30.00%	18	35.00%	21	35.00%	21	60
2	Budget cuts	42.62%	26	19.67%	12	37.70%	23	61
3	Business model of OA	48.44%	31	34.38%	22	17.19%	11	64
4	Content Quality	58.73%	37	20.63%	13	20.63%	13	63
5	Cost/Contribution Amount	67.74%	42	27.42%	17	4.84%	3	62
6	Discoverability	38.98%	23	37.29%	22	23.73%	14	59
7	Freeriders (those who benefit but do not pay)	1.69%	1	15.25%	9	83.05%	49	59
8	Interface/User Experience	31.03%	18	43.10%	25	25.86%	15	58
9	Lack of college/university administrator interest/support	13.33%	8	28.33%	17	58.33%	35	60
10	Lack of librarian interest/support	28.81%	17	35.59%	21	35.59%	21	59
11	Lack of library administrator interest/support	30.00%	18	33.33%	20	36.67%	22	60
12	Lack of faculty interest/support	16.95%	10	32.20%	19	50.85%	30	59
13	Library/School policy	3.39%	2	13.56%	8	83.05%	49	59
14	Lack of funds	47.54%	29	26.23%	16	26.23%	16	61
15	Philosophical opposition to OA by faculty	1.69%	1	8.47%	5	89.83%	53	59
16	Philosophical opposition to OA by librarians	3.39%	2	6.78%	4	89.83%	53	59
17	Preservation	10.17%	6	42.37%	25	47.46%	28	59
18	MARC Records/Metadata	15.25%	9	45.76%	27	38.98%	23	59
19	Reputation of Publishers	37.29%	22	35.59%	21	27.12%	16	59
20	Return on Investment (price per title)	27.12%	16	33.90%	20	38.98%	23	59
21	Technical/Technological Issues	25.00%	15	28.33%	17	46.67%	28	60
22	Workflow Issues (acquisitions/cataloging)	11.67%	7	35.00%	21	53.33%	32	60
23	Workflow Issues (selection)	10.17%	6	35.59%	21	54.24%	32	59
24	Other	30.00%	3	10.00%	1	60.00%	6	10

Other (Participants and Non-participants):

1. UTL didn't decline to participate - not sure why question 4.1 isn't showing on this survey, but these don't apply to us[10]
2. we've tried to support most/all initiatives that we've become aware of, and that have made an appeal
3. duplicative payment
4. Declining to participate in what? We do participate in some OA initiatives and the reasons for not participating in a particular initiative varies depending upon the details of that particular initiative.
5. OA is vital for certain subject areas and formats (e.g., science journals), but for humanities books, neither cost nor accessibility is a problem under the traditional print-purchase model. Humanities books are not a problem that needs to be solved, except to the extent that too many substandard books are published to meet authors' requirements for tenure and promotion.
6. Faculty are in the early stages of supporting OER as a textbook replacement. It is difficult to know which initiative to support when we are unsure which subject matter experts would be willing to turn to OER content as a replacement for traditional textbooks.
7. Access to usage statistics

[10] This respondent's confusion, along with that of others, is a result of the coding error described in footnote 9 on page 46. Question 4.1 was not displayed because the respondent answered 'Yes' to Question 3.1. The rest of Section 4 should have been hidden from this respondent as well, but was not.

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? (required)

Figure 4.3a Major Factors – Non-participants

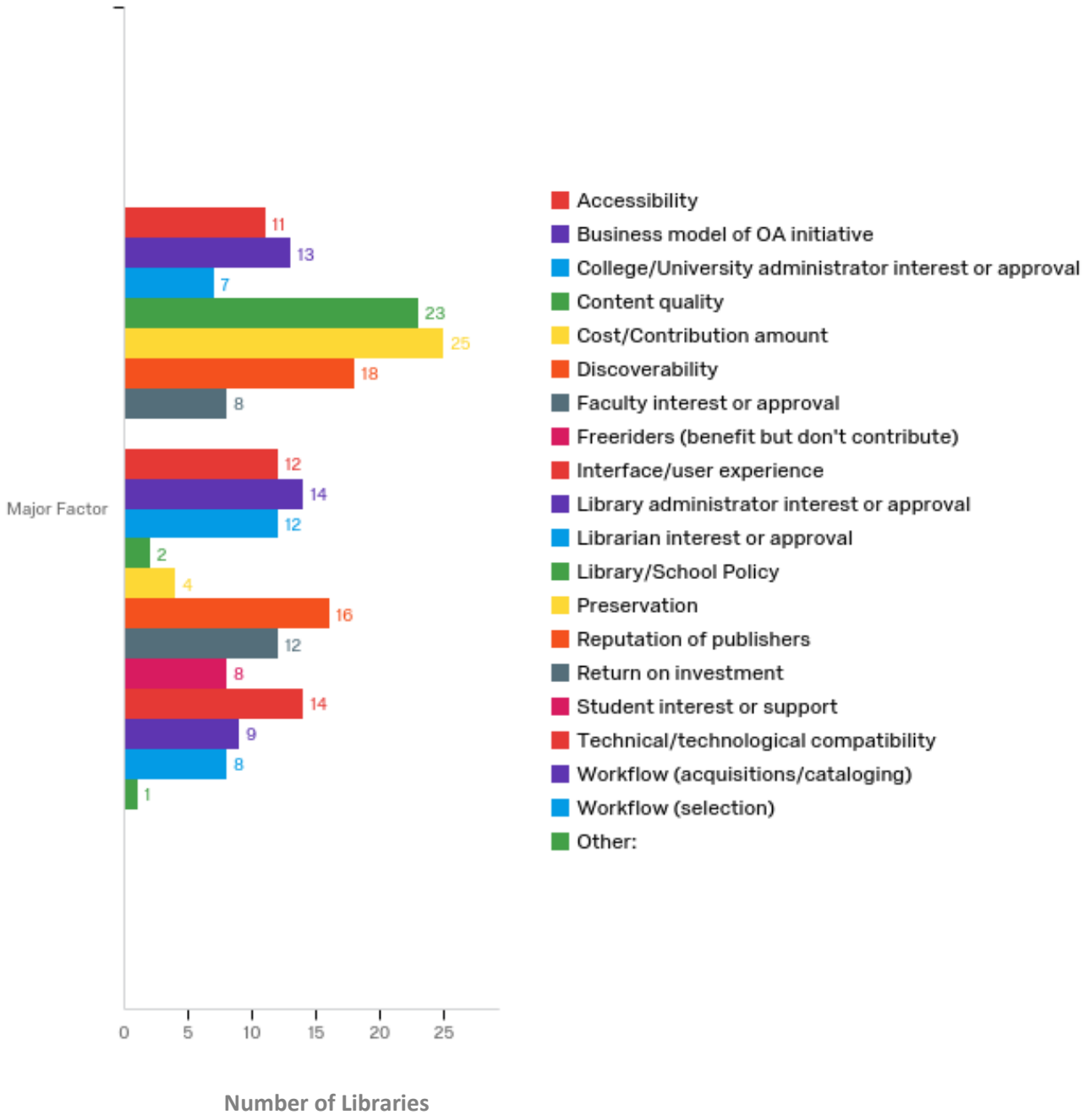


Figure 4.3b Minor Factors – Non-participants

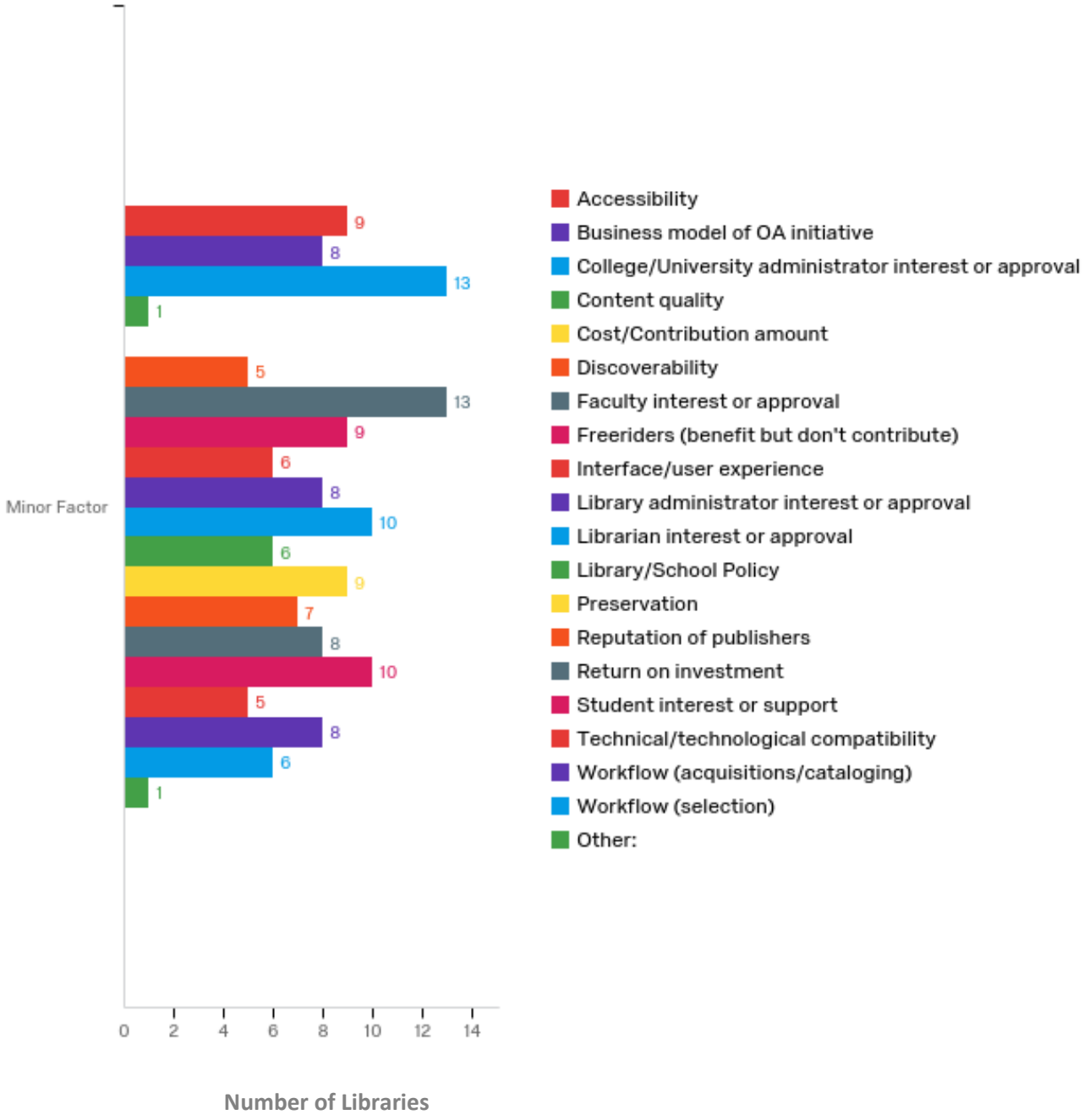


Figure 4.3c Non-factors – Non-participants

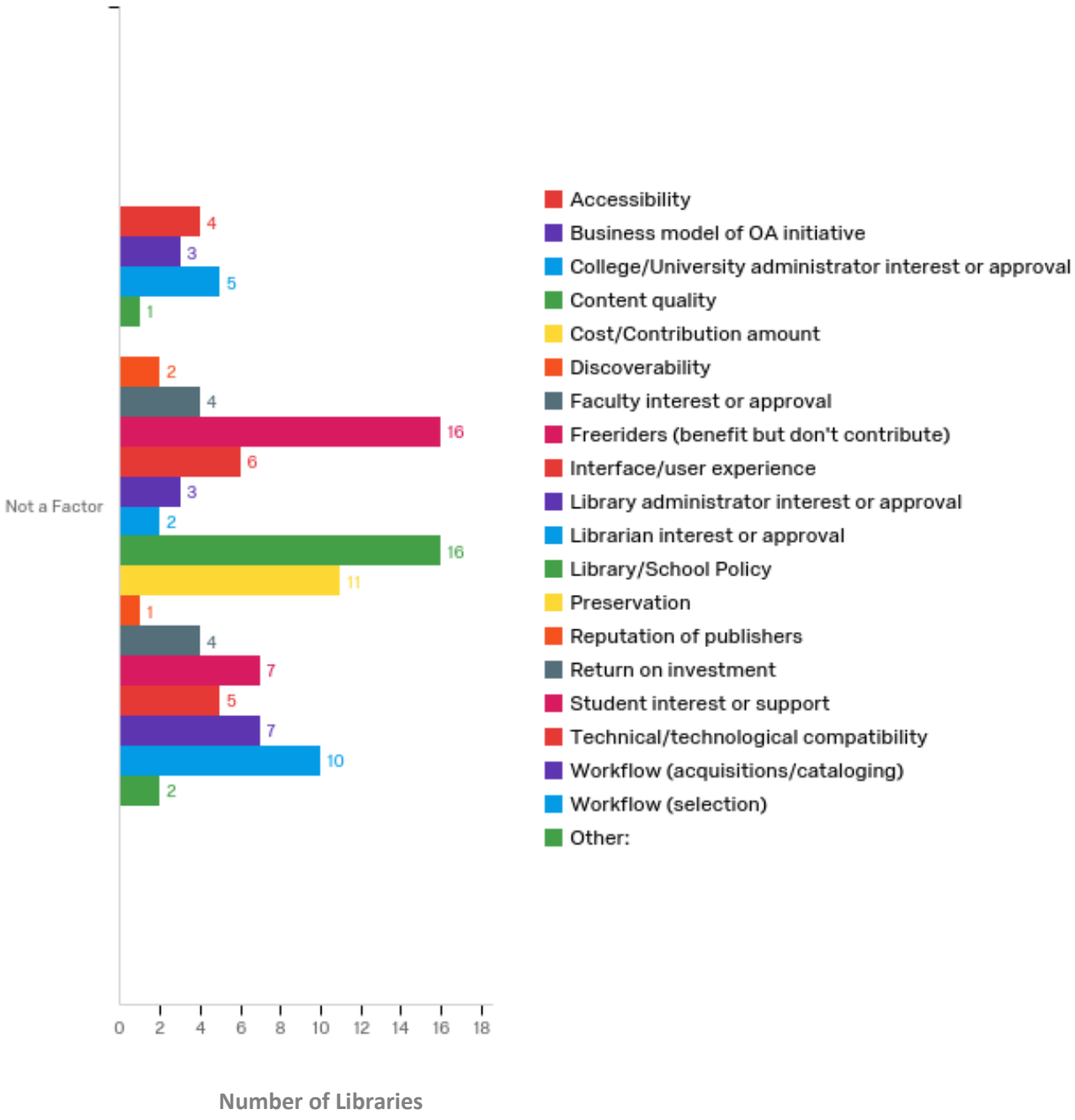


Table 4.3a Non-participant Responses

#	Choices	Major Factor		Minor Factor		Not a Factor		Total
1	Accessibility	45.83%	11	37.50%	9	16.67%	4	24
2	Business model of OA initiative	54.17%	13	33.33%	8	12.50%	3	24
3	College/University administrator interest or approval	28.00%	7	52.00%	13	20.00%	5	25
4	Content quality	92.00%	23	4.00%	1	4.00%	1	25
5	Cost/Contribution amount	100.00%	25	0.00%	0	0.00%	0	25
6	Discoverability	72.00%	18	20.00%	5	8.00%	2	25
7	Faculty interest or approval	32.00%	8	52.00%	13	16.00%	4	25
8	Freeriders (benefit but don't contribute)	0.00%	0	36.00%	9	64.00%	16	25
9	Interface/user experience	50.00%	12	25.00%	6	25.00%	6	24
10	Library administrator interest or approval	56.00%	14	32.00%	8	12.00%	3	25
11	Librarian interest or approval	50.00%	12	41.67%	10	8.33%	2	24
12	Library/School Policy	8.33%	2	25.00%	6	66.67%	16	24
13	Preservation	16.67%	4	37.50%	9	45.83%	11	24
14	Reputation of publishers	66.67%	16	29.17%	7	4.17%	1	24
15	Return on investment	50.00%	12	33.33%	8	16.67%	4	24
16	Student interest or support	32.00%	8	40.00%	10	28.00%	7	25
17	Technical/technological compatibility	58.33%	14	20.83%	5	20.83%	5	24
18	Workflow (acquisitions/cataloging)	37.50%	9	33.33%	8	29.17%	7	24
19	Workflow (selection)	33.33%	8	25.00%	6	41.67%	10	24
20	Other:	25.00%	1	25.00%	1	50.00%	2	4

Figure 4.3d Major Factors - Participants

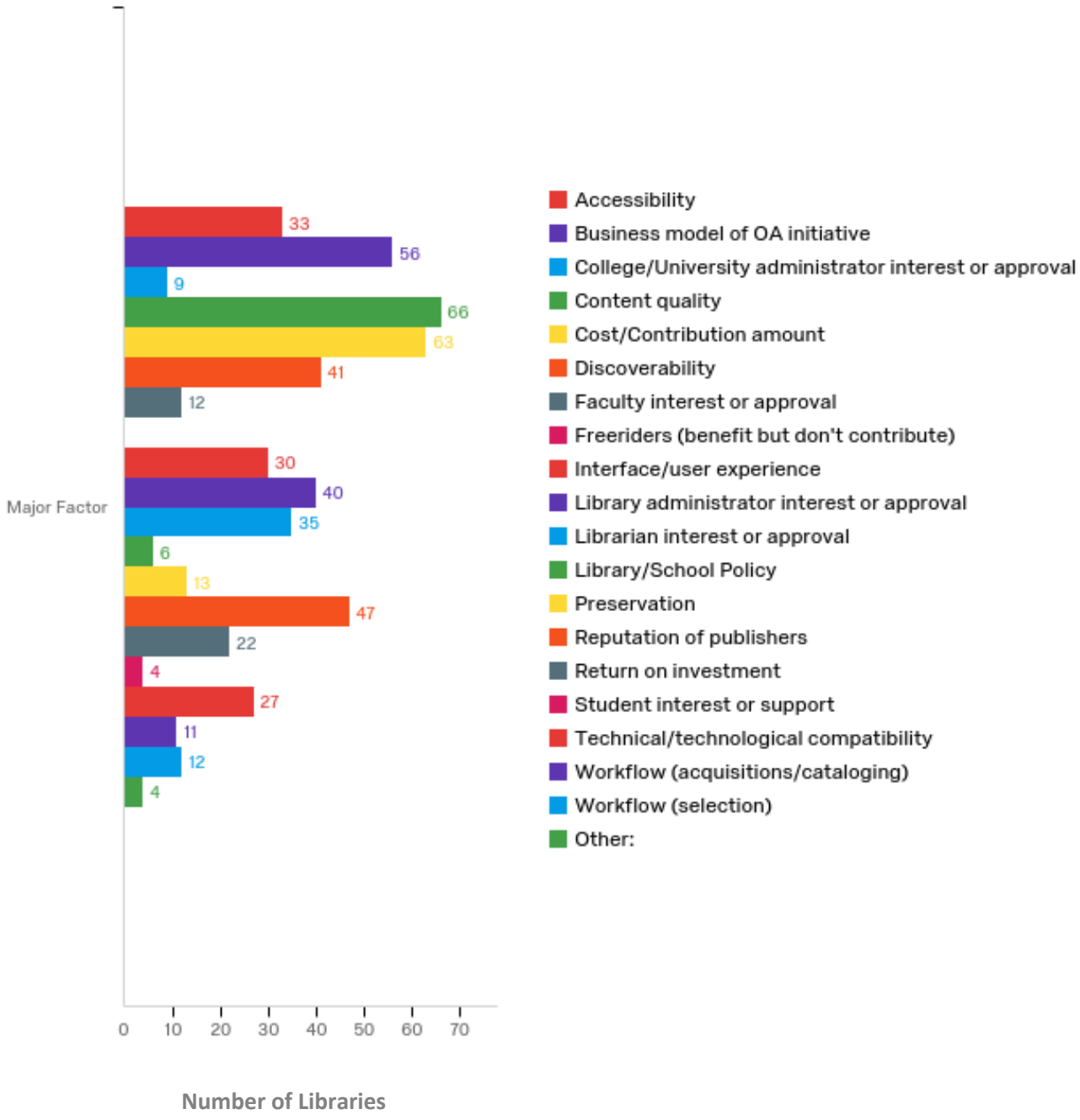


Figure 4.3e Minor Factors – Participants

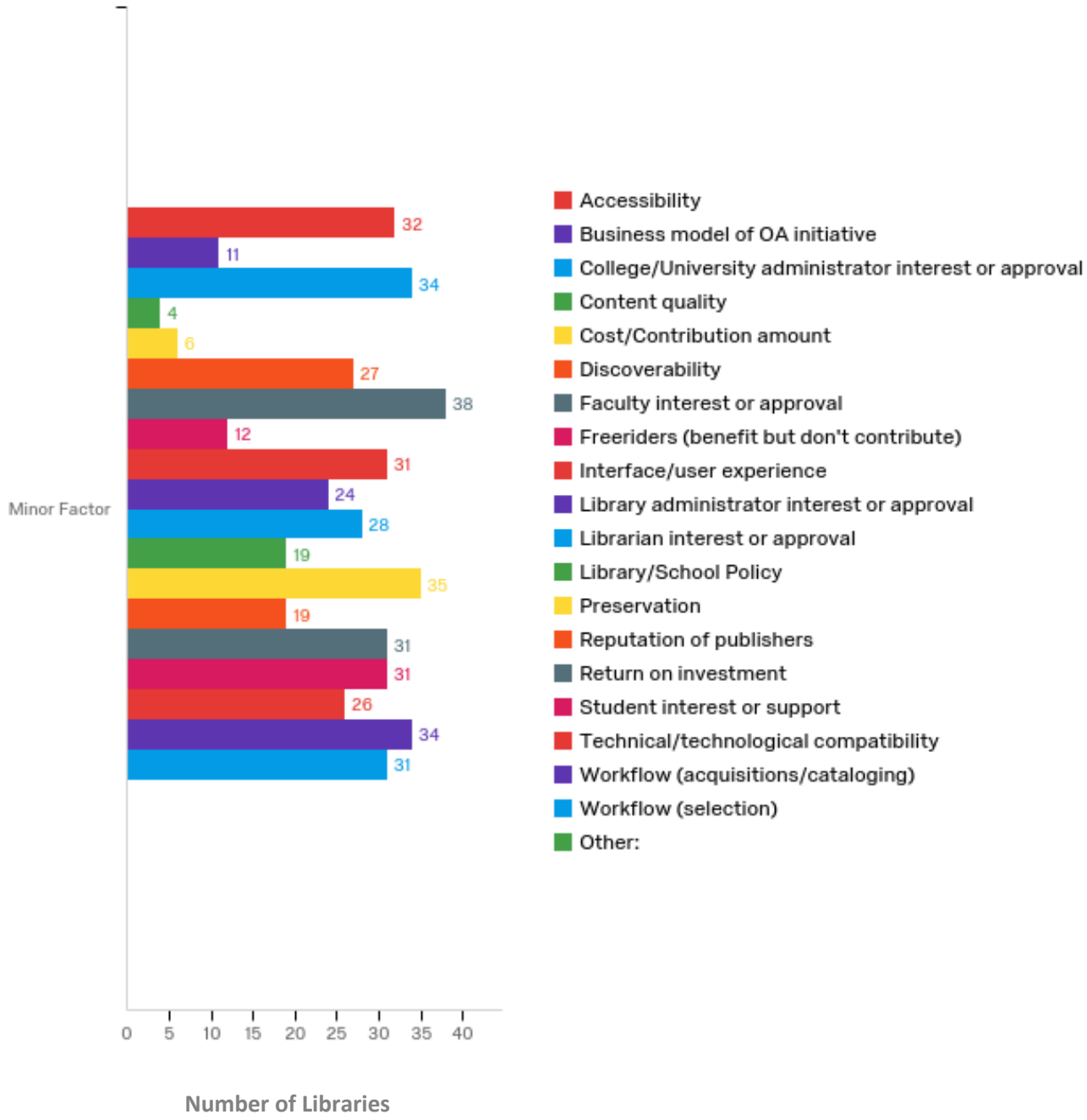


Figure 4.3f Non-factors - Participants

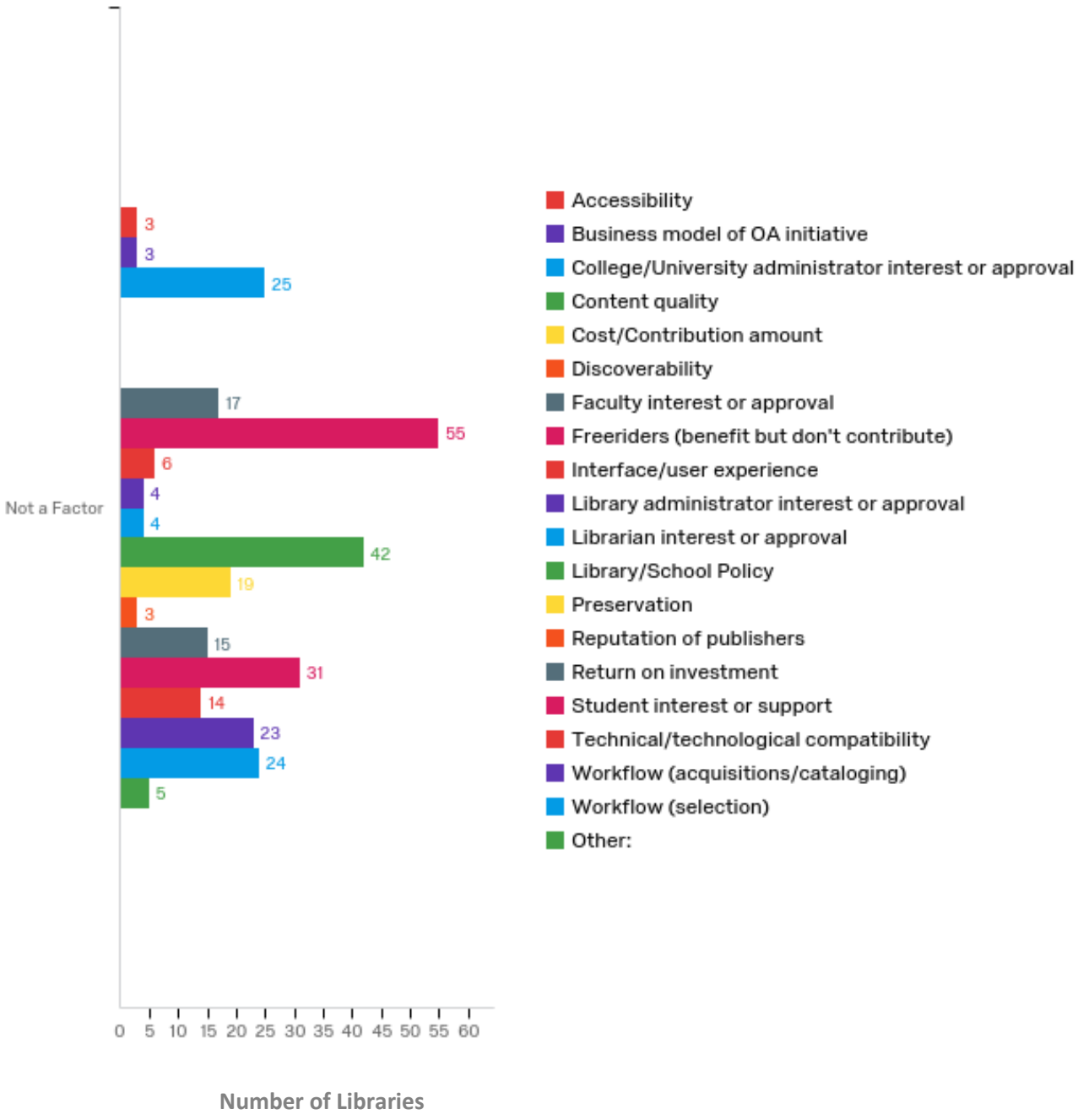


Table 4.3b Participant Responses

#	Choices	Major Factor		Minor Factor		Not a Factor		Total
1	Accessibility	48.53%	33	47.06%	32	4.41%	3	68
2	Business model of OA initiative	80.00%	56	15.71%	11	4.29%	3	70
3	College/University administrator interest or approval	13.24%	9	50.00%	34	36.76%	25	68
4	Content quality	94.29%	66	5.71%	4	0.00%	0	70
5	Cost/Contribution amount	91.30%	63	8.70%	6	0.00%	0	69
6	Discoverability	60.29%	41	39.71%	27	0.00%	0	68
7	Faculty interest or approval	17.91%	12	56.72%	38	25.37%	17	67
8	Freeriders (benefit but don't contribute)	0.00%	0	17.91%	12	82.09%	55	67
9	Interface/user experience	44.78%	30	46.27%	31	8.96%	6	67
10	Library administrator interest or approval	58.82%	40	35.29%	24	5.88%	4	68
11	Librarian interest or approval	52.24%	35	41.79%	28	5.97%	4	67
12	Library/School Policy	8.96%	6	28.36%	19	62.69%	42	67
13	Preservation	19.40%	13	52.24%	35	28.36%	19	67
14	Reputation of publishers	68.12%	47	27.54%	19	4.35%	3	69
15	Return on investment	32.35%	22	45.59%	31	22.06%	15	68
16	Student interest or support	6.06%	4	46.97%	31	46.97%	31	66
17	Technical/technological compatibility	40.30%	27	38.81%	26	20.90%	14	67
18	Workflow (acquisitions/cataloging)	16.18%	11	50.00%	34	33.82%	23	68
19	Workflow (selection)	17.91%	12	46.27%	31	35.82%	24	67
20	Other:	44.44%	4	0.00%	0	55.56%	5	9

Other (Participants and Non-participants):

1. No overlap with purchased content
2. Duplicate content
3. Faculty are in the early stages of supporting OER as a textbook replacement. It is difficult to know which initiative to support when we are unsure which subject matter experts would be willing to turn to OER content as a replacement for traditional textbooks.
4. Budget size
5. This should be the same as the previous question...
6. Usage statistics

Q4.4 - Advocacy for OA books: which of the following groups supplied major support for participating in the past or is now pushing for participation? (select all that apply)

Figure 4.4 Participants & Non-participants

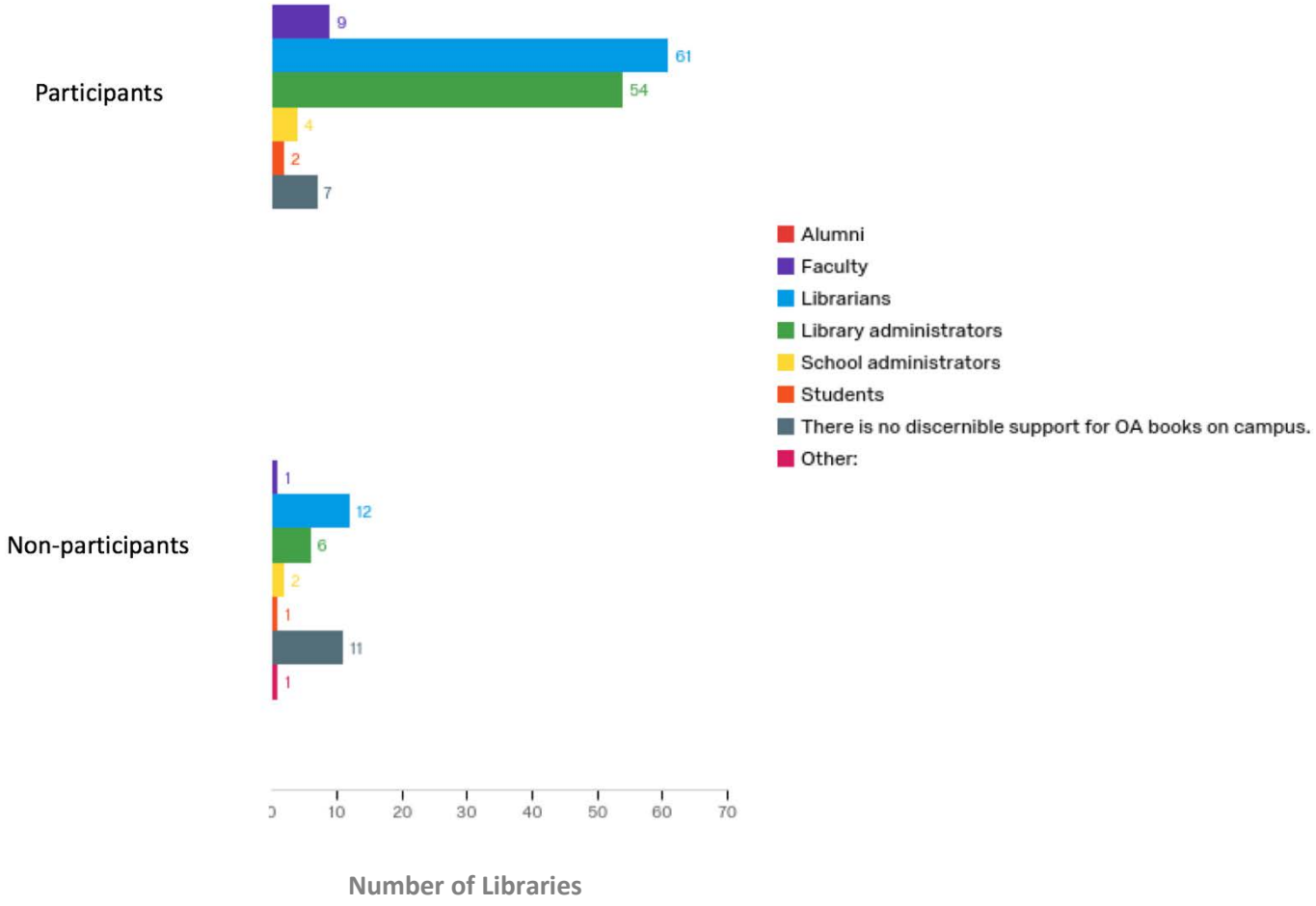


Table 4.4 Participants & Non-participants

#	Choices	Participants		Non-participants		Total
1	Alumni	0.00%	0	0.00%	0	0
2	Faculty	90.00%	9	10.00%	1	10
3	Librarians	83.56%	61	16.44%	12	73
4	Library administrators	90.00%	54	10.00%	6	60
5	School administrators	66.67%	4	33.33%	2	6
6	Students	66.67%	2	33.33%	1	3
7	There is no discernible support for OA books on campus.	38.89%	7	61.11%	11	18
8	Other:	0.00%	0	100.00%	1	1

Other:

No support for non-reference OA books in the humanities.

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)

Figure 4.5 Participants & Non-participants

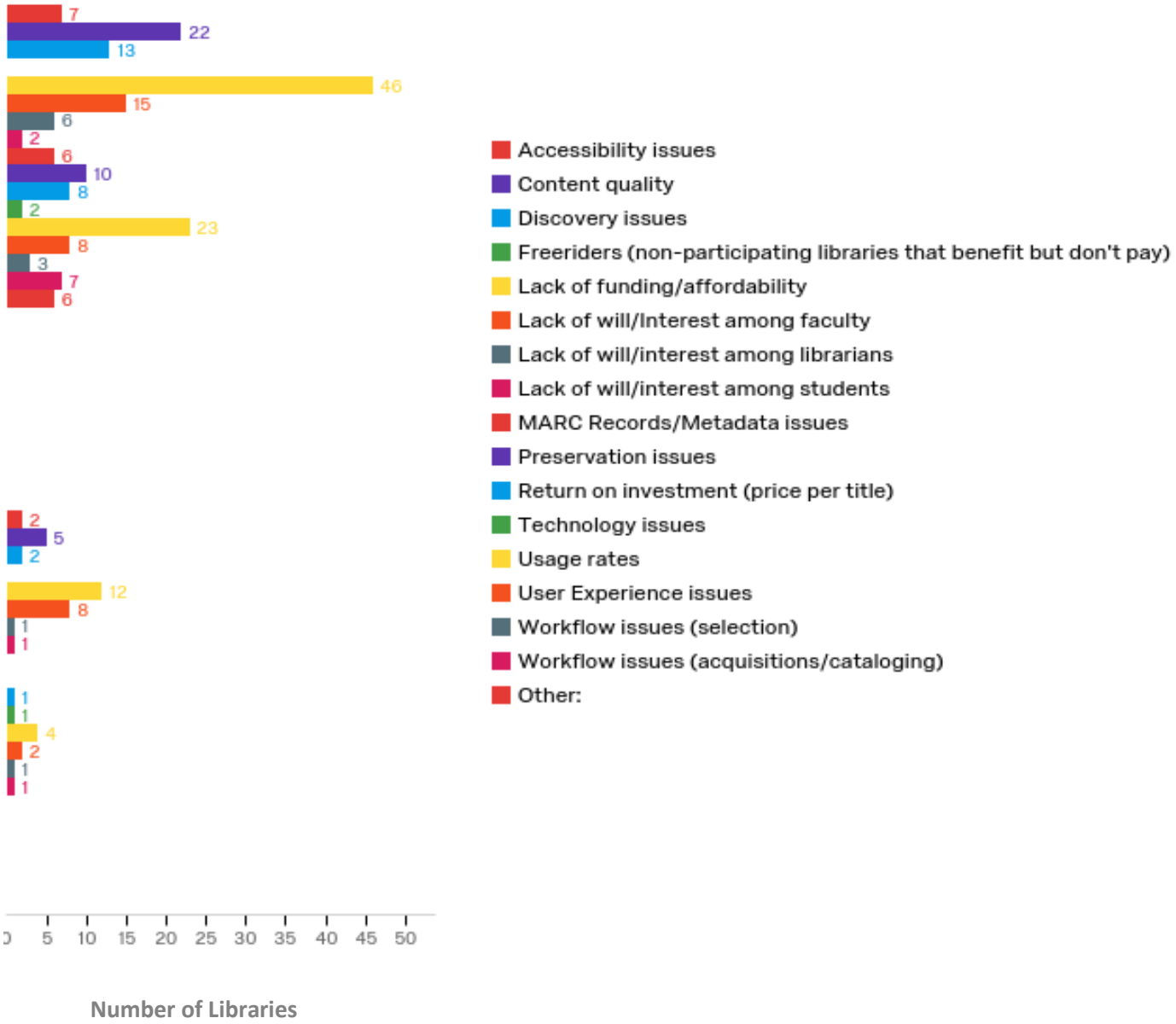


Table 4.5 Participants & Non-participants

#	Choices	Participants		Non-participants		Total
1	Accessibility issues	77.78%	7	22.22%	2	9
2	Content quality	81.48%	22	18.52%	5	27
3	Discovery issues	86.67%	13	13.33%	2	15
4	Freeriders (non-participating libraries that benefit but don't pay)	0.00%	0	0.00%	0	0
5	Lack of funding/affordability	79.31%	46	20.69%	12	58
6	Lack of will/Interest among faculty	65.22%	15	34.78%	8	23
7	Lack of will/interest among librarians	85.71%	6	14.29%	1	7
8	Lack of will/interest among students	66.67%	2	33.33%	1	3
9	MARC Records/Metadata issues	100.00%	6	0.00%	0	6
10	Preservation issues	100.00%	10	0.00%	0	10
11	Return on investment (price per title)	88.89%	8	11.11%	1	9
12	Technology issues	66.67%	2	33.33%	1	3
13	Usage rates	85.19%	23	14.81%	4	27
14	User Experience issues	80.00%	8	20.00%	2	10
15	Workflow issues (selection)	75.00%	3	25.00%	1	4
16	Workflow issues (acquisitions/cataloging)	87.50%	7	12.50%	1	8
17	Other:	100.00%	6	0.00%	0	6

Other:

1. Support from library administration
2. Business model of OA initiative
3. Business model--continued sale of OA titles by publishers
4. Lack of central administrative direction in addressing an issue that leads to large potential costs and obligations.
5. Duplicate content

6. Too many competing OA initiatives. Hard to know which ones to support and skepticism about them making any real difference in the publishing landscape. Unsuitability of some OA initiatives for academic libraries that are not at R1 institutions.

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

Figure 4.6 Participants & Non-participants

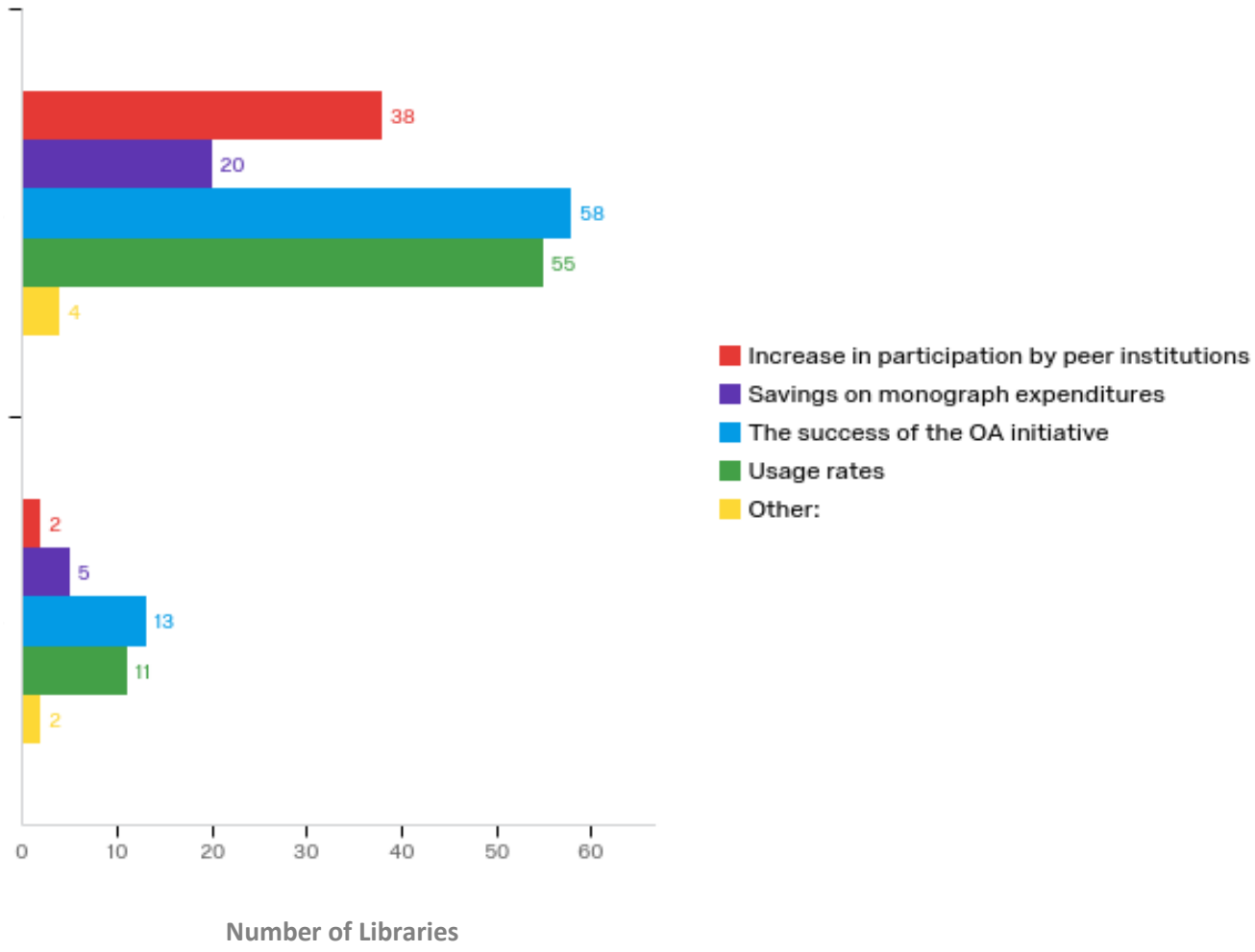


Table 4.6 Participants & Non-participants

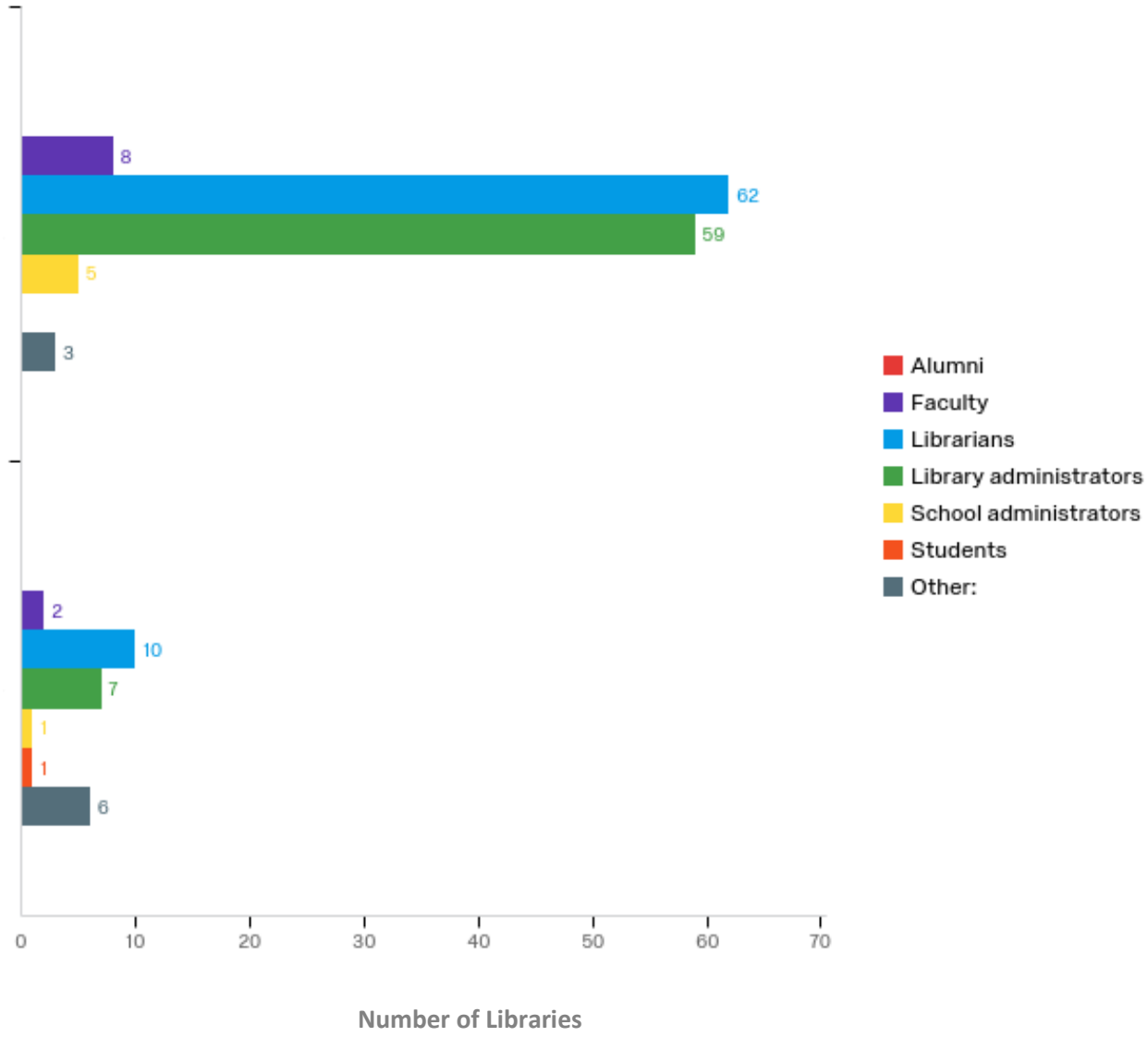
#	Choices	Participants		Non-participants		Total
1	Increase in participation by peer institutions	95.00%	38	5.00%	2	40
2	Savings on monograph expenditures	80.00%	20	20.00%	5	25
3	The success of the OA initiative	81.69%	58	18.31%	13	71
4	Usage rates	83.33%	55	16.67%	11	66
5	Other:	66.67%	4	33.33%	2	6

Other (Participants & Non-participants):

1. Quality and usefulness to curriculum and research of monographs published.
2. Better understanding of the finances of OA, scholarly monographic publishing, APCs and related topics.
3. They are mainstreamed and fully integrated
4. Reduced fees for faculty who want to publish with OA initiative
5. Savings for students if OA books are assigned as a replacement for traditional textbooks.
6. Again, this depends a lot, and it is not really possible to generalize.

Q4.7 - Advocacy for OA books: which of the following groups supplied major support for participating? (select all that apply)[11]

Figure 4.7 Participants & Non-participants



[11] This question appears twice in Section 4 because each was intended to be displayed to a different group of respondents. Due to the coding error described in footnote 9 on page 46, this question was also shown to all respondents.

Table 4.7 Participants & Non-participants

#	Choices	Participants		Non-participants		Total
1	Increase in participation by peer institutions	95.00%	38	5.00%	2	40
2	Savings on monograph expenditures	80.00%	20	20.00%	5	25
3	The success of the OA initiative	81.69%	58	18.31%	13	71
4	Usage rates	83.33%	55	16.67%	11	66
5	Other:	66.67%	4	33.33%	2	6

Other (Participants and Non-participants):

1. LOUIS (statewide library consortium) and Louisiana Board of Regents
2. This was primarily driven by the collections librarian and the director, limited support from librarians.
3. Provost and Collections
4. Students want OA textbooks, but they are not in the packages we've been offered
5. Librarians would support but no movement or initiative on the campus
6. No one
7. None
8. No support for non-reference OA books in the humanities.
9. I think the appearance of this question reflects a coding error. My response to the previous question was "There is no discernible support for OA books on campus."

Section 5: Discovery Questions

Q5.1 - Are records for scholarly OA ebooks in the Humanities and Social Sciences listed in your library's catalog?

Figure 5.1

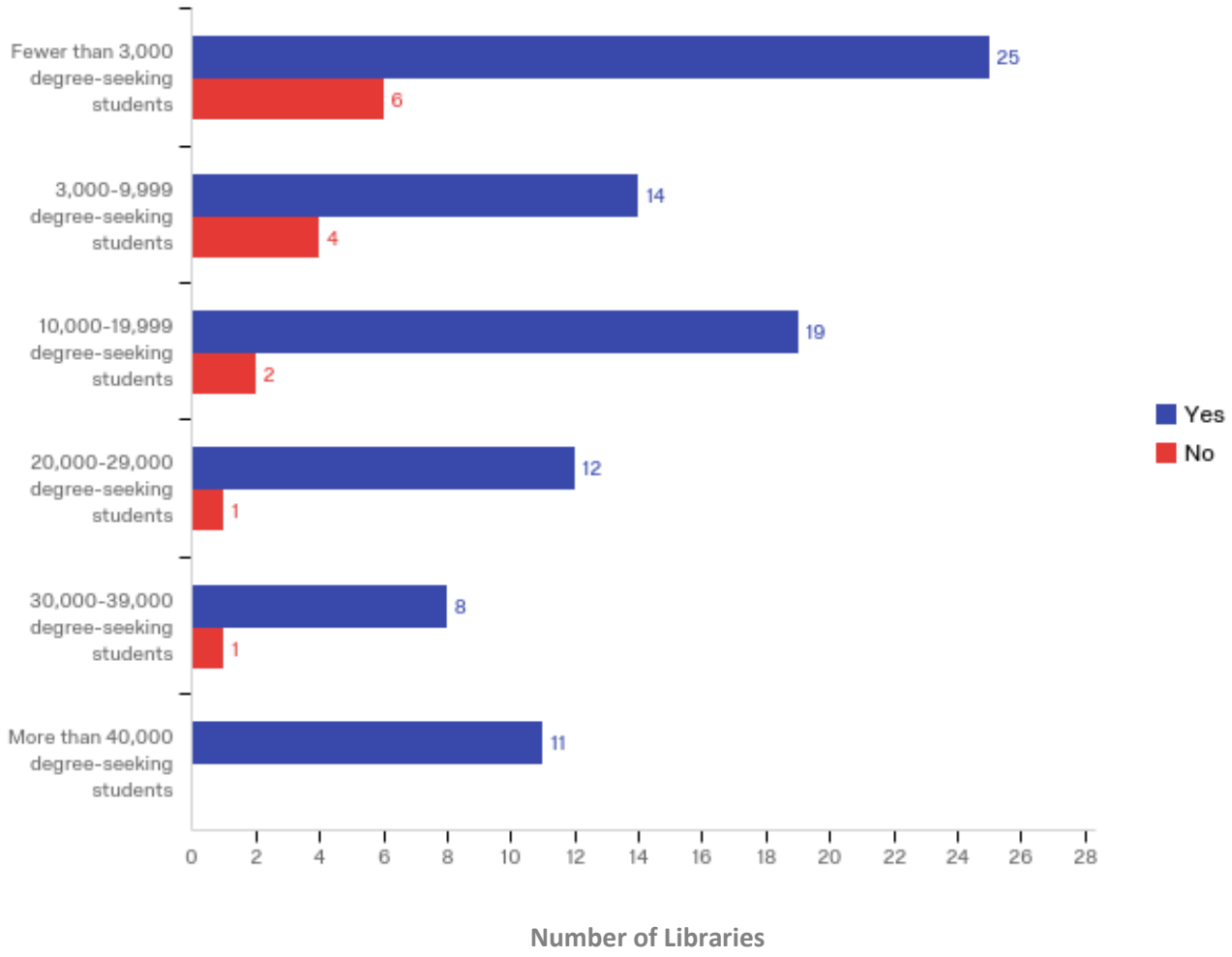


Table 5.1

#	Choices	%	Count
1	Yes	86.41%	89
2	No	13.59%	14
	Total	100%	103

Q5.2 - Who decides which OA ebooks appear in your library's catalog? (select all that apply)

Figure 5.2

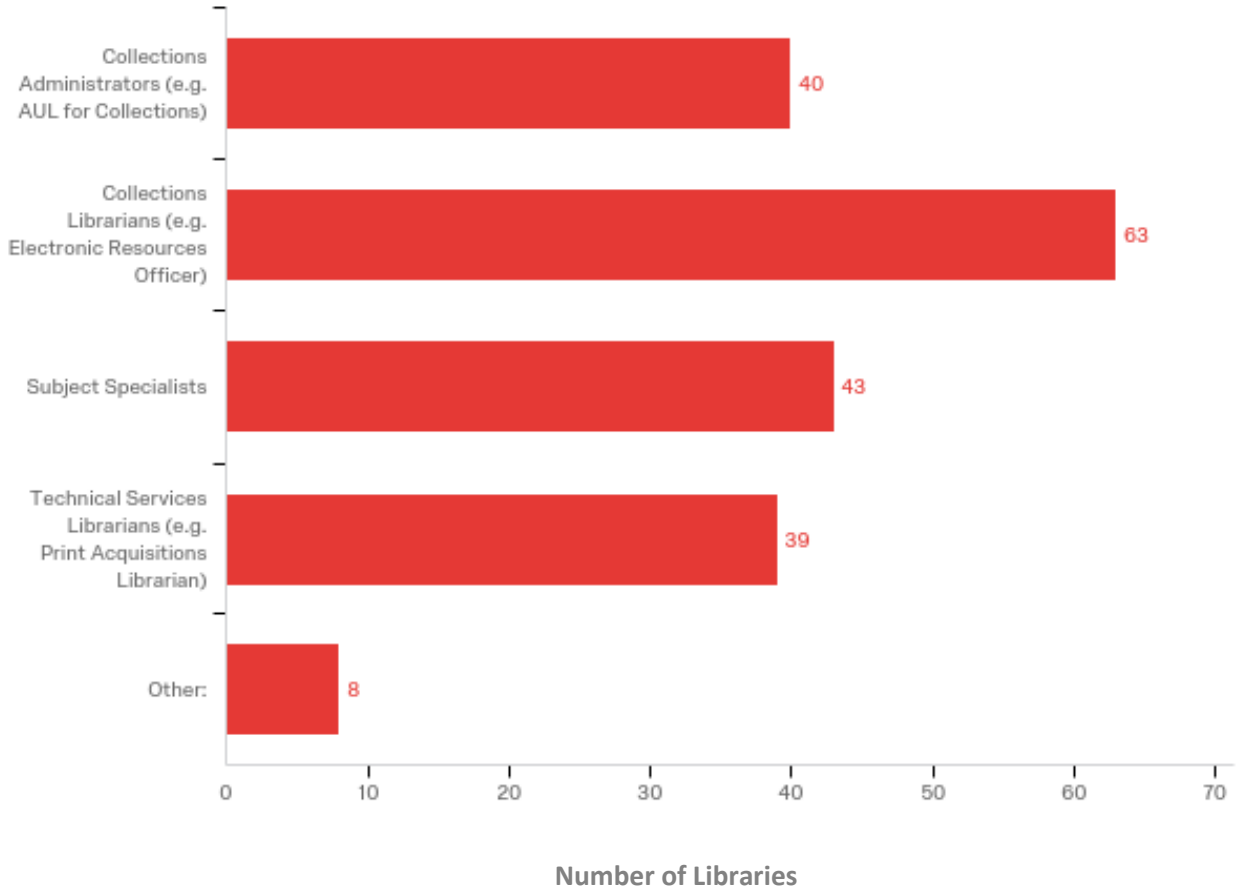


Table 5.2

#	Choices	%	Count
1	Collections Administrators (e.g. AUL for Collections)	44.94%	40
2	Collections Librarians (e.g. Electronic Resources Officer)	70.79%	63
3	Subject Specialists	48.31%	43
4	Technical Services Librarians (e.g. Print Acquisitions Librarian)	43.82%	39
5	Other:	8.99%	8
	Total	100%	89

Other:

1. Head of Collection management
2. Technical Services & Systems Librarian's ability to track OA content and incorporate into workflow
3. The projects covered in this survey are processed. Many foreign born digital that are open are not processed
4. Our library is small enough that the director and the technical services librarian make the decision together.
5. Dean and Librarians
6. Library director
7. Specifically me- the strategic collections librarian, but I am in the Collection Development Department
8. Technical Services Librarian (e.g. Digital Acquisitions Librarian who also collects print books)

Q5.3 - How do they determine which OA books to display in your catalog? (select all that apply)

Figure 5.3



Table 5.3

#	Choices	%	Count
1	By inclusion in an Aggregator (e.g. JSTOR, HathiTrust)	82.02%	73
2	By OA Initiative (e.g. Knowledge Unlatched)	82.02%	73
3	By Publisher	28.09%	25
4	By Subject	16.85%	15
5	By Title (case-by-case)	48.31%	43
6	Other:	16.85%	15
	Total	100%	89

Other:

1. If we have made a commitment, we include records.
2. We do not load all Hathi records into the catalog, but we have a record for Hathi.
3. by how easy it is to get into the catalog
4. By ability to work with our OPAC searches so that ebook results don't overwhelm searches unproductively.
5. OA content from vetted sources that enable discovery and support the integration of records into the workflow
6. We rely heavily on the OCLC WMS KB to help us provide access to OA books in our discovery layer.
7. Ability to flag sets of records in Serials Solutions for record loads.
8. Receive OA book feed via discovery service
9. Quality of records, and amount of work required to include them
10. Most of our OA ebooks are profiled for discovery through a knowledge base collection.
11. Primarily by aggregator, but with exceptions (both exclusions and inclusions)
12. Ease of inclusion using OCLC Worldshare Discovery
13. Inclusion in discovery knowledge base
14. We use 360MARC, and prefer a collection that can be activated within that workflow.

Q5.4 - Which of the following best describes the overall integration of OA scholarly books in the Humanities and Social Sciences within your library's discovery platforms and pathways (e.g. LibGuides)?

Figure 5.4

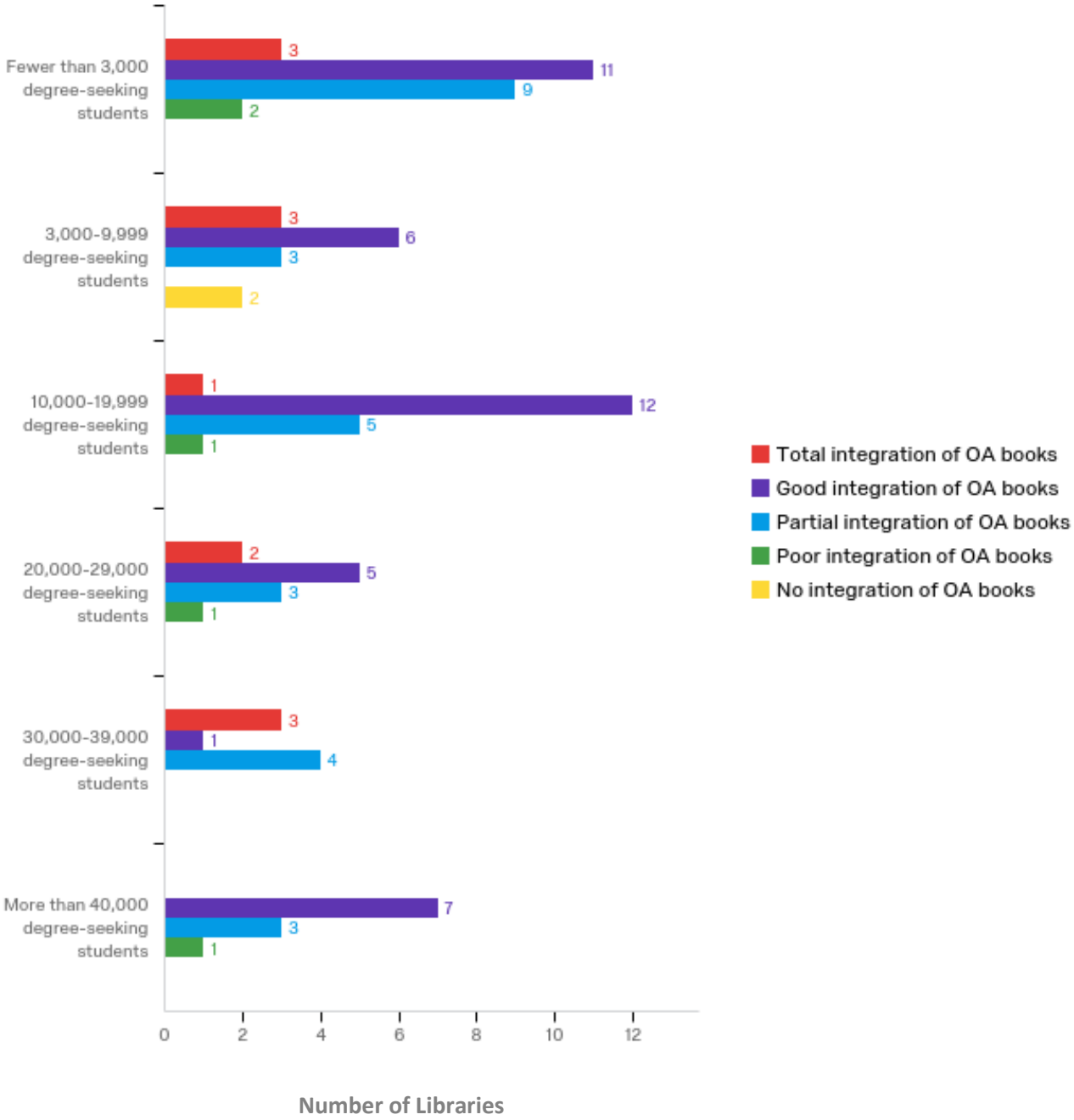


Table 5.4

#	Choices	%	Count
1	Total integration of OA books	13.64%	12
2	Good integration of OA books	47.73%	42
3	Partial integration of OA books	30.68%	27
4	Poor integration of OA books	5.68%	5
5	No integration of OA books	2.27%	2
	Total	100%	88

Section 6: Closing Questions

Q6.1 - What other information should we have? What key topics or important questions are missing?

1. First copy costs must be addressed in any OA effort
2. OERs, open textbooks
3. Our budget does not permit us to allocate a set amount each year to support OA initiatives. As such, we can potentially spend more when asked to pledge support near the end of the fiscal year (June-July for us).
4. I think there's a lot of nuance about which OA models are worth supporting. We try to support ones that provide openness immediately to all (KU) as opposed to openness after embargo (Reveal Digital) for example.
5. Accessibility - OA books in formats usable by visually impaired patrons.
6. Question 5.4 explanation. We do not have a discovery platform so there was no place to explain this. Each subject specialist may include any pertinent resource on their LibGuides there are no requirements as to type or format of the source
7. The ability to identify OA content relevant to our users and the workflow involved in their integration. The promotion of OA content and initiatives on campus.
8. Discoverability of OA books in our discovery layer is a top priority for us. Our Director is in contact with OCLC about ways to more clearly identify OA titles in WorldCat.
9. We have not had sufficient experience with OA monographs to be able to answer some of your questions
10. As a public university that receives a much greater than usual share of our budget from state funds, we cannot responsibly or legally commit public funds as essentially donations to initiatives, no matter how much we may wish to support them, so our potential pool for contributing to OA is quite limited. We have a strong interest in building access to data sets for content mining, so we would be especially interested in OA initiatives that allowed for clear user access (e.g., via API) to acquire complete content and metadata for such computational research. It would have been helpful to know whether you mean that social sciences includes applied areas such as Education or Public Health. Those areas have differing interest in OA for being able to reach practitioners.
11. Vendor involvement in selecting and processing OA titles for a fee. More attention paid to foreign OA Books
12. Right now buying in to OA initiatives mentioned means there has to be a little "extra" funding floating

around. We and probably others don't have it

13. OA publishing; marketing of OA
14. Availability of MARC records has been slow, and at times quality of records is quite poor.
15. The answers provided here are specific to OA scholarly monographs. We are also participating in OER initiatives including open textbooks. Our answers to some of the questions on this survey would be different if we included OERs.
16. I really want to participate in KU because I believe it's a great idea in principle. Unfortunately, I can't because the pricing models do not scale down to very small institutions (I work at a small theological school with 100 students). I simply can't justify dropping half of my collection budget on open access book support for titles far outside my collection development policy. Please make a plan for reasonable levels of support for OA monographs from very small specialized institutions.
17. We evaluate our OA initiatives and resources much like we evaluate our other paid-for resources. We expect prompt and appropriate communications. We expect transparency in the pricing.
18. Our college is so small. I do not know how to even begin finding out how to be a part of this initiative.
19. OA is vital for certain subject areas and formats (e.g., science journals), but for humanities books, neither cost nor accessibility is a problem under the traditional print-purchase model. Humanities books are not a problem that needs to be solved, except to the extent that too many substandard books are published to meet authors' requirements for tenure and promotion.
20. Addressing consortia support for OA publishing
21. The problems with integrating access and delivery from publisher through vendor and to the library are substantial.
22. Our small size and low budget prohibit supporting OA collections, but we do appreciate being able to include them in our discovery service (WorldCat).
23. Standardization from project to project (process, MARC records access, invoicing, etc.) does hamper the growing success in this area.
24. We support the Open Library of Humanities through a librarian's service as a section editor, rather than with funding. We support the Open Textbook Library with a link from our OER page, not with funding.

V. Follow-up Questions & Responses

The survey closed by asking respondents to provide their email address if they would be willing to answer a few follow-up questions. After reviewing the survey results, seven questions were crafted with the goal of illuminating some of the more surprising, confusing, or significant findings. After determining which respondents should get which topics, the following questions were emailed to the appropriate librarian.

Q1a. Business Model

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?

1. "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 fees on authors."

2. "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."

3. "The pricing of an open access monograph initiative needs to accommodate a wide range of institution sizes and collection interests as well as consortial partnerships. We have been unable to enter some OA monograph initiatives because the smallest pricing tier included schools 10 times our size and the content was too general for our special collection interests. I am also unsure at times whether the amounts quoted are truly the costs of bringing a book to publication, or whether they are about padding profits for a publisher (especially since they can still sell print at a markup). I would like to see some more documentation as to how the pricing is determined and what percentage goes to the author versus the publishing house."

4. "Cost, amount of content, and who the organization behind the OA effort is affiliated with or in partnership with. In other words, a cost level that recognizes the size of our institution, a generous amount of content for that cost, and recognizable and stable partners in the effort."

5. "First, I should mention that we participated in Knowledge Unlatched's first round, but did not continue in rounds 2 & 3. I serve as our head of collections and work with 13 departmental librarians on selection. Our decision to participate was primarily guided by a business model where those that could afford to contribute to the publication of scholarly content made it accessible for those who might benefit and contribute to the

scholarly research community. Not all of our librarians were behind the initiative, but I had strong support from our director.

Questions that were considered:

Business model - Was the model sound in its ability to "unlock" the content? Was the cost-benefit ratio within reason? Was the proposed model sustainable? Was the content being "unlocked" of sufficient breadth and interest to the wider scholarly community? Were plans in place to keep participants well informed and for obtaining input regarding the results of the project? Was potential interest expressed by our peer institutions and others? Was the sponsoring organization open and professional in the development and implementation of the pilot?

Access model - How would content be made accessible to those who could not participate? Would access to the "unlocked" content be widely publicized? Was tease of access considered for a wider audience that may/may not have the technical expertise to support the content?

Reporting - We did not consider this carefully enough and were unaware that usage stats would not be available at the institutional level during the first round. This made it difficult to sell participation to our librarians and administration in subsequent rounds."

6. "The first criterion I look for is one that I think of (awkwardly) as "reality-basedness." By which I mean that I ask myself questions like "Does this model rely for its sustainability on people doing things that experience suggests they don't usually do?" and "Does this model require potential participants to redirect already-scarce funding away from other campus priorities? (And if so, how much?)" and "What concrete benefit will participants realize from participation in this OA initiative?" That being said, I wouldn't necessarily reject an initiative strictly because I have reservations about its business model. These decisions are complex and can't be reduced to a single criterion."

7. "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. And remember that we have to explain how a given initiative works to our admin, and they have even less time - if I don't think I'm going to be able to talk my director through an initiative in a few short minutes, I'm tempted to walk away."

8. “If it seems well-thought-out and scalable, that would give confidence. If it is vague or seems impractical, then not.”

9. “My concern is that the funding model is sustainable and supported by two or more sources. For example: library subscription (whether on-going or one-time) and grant funding (and reasonable authors’ subvention fee, or simultaneous sale of print copies, and the list can go on). My concern is that a business model which is exclusively based on grant funding will not be sustainable, and for the reputation of OA publications at my institution, I prefer not to support a one-time initiative unless it is clearly labeled as a one-time (i.e., what you see is what you get).”

Q1b. Double Dipping

Also, as regards the problem of **“double dipping,”** did you take any steps to prevent paying again for books you had already purchased via an approval plan or firm order?

1. “No, primarily because there are benefits to offering print and electronic formats of the same book.”

2. “We catalog OA ebooks, so hopefully someone ordering a print version would see the OA version and take that into consideration. We don't have an approval plan. In general, I'm not worried about buying books twice as long as it is not on a large scale. For two reasons: 1) A lot of people still want print books, so having a print copy is just fine. 2) I have a fantasy that sometime, if I had more time, I might be able to compile a list of books we have both print and e-book versions of and compare the usage. That could be interesting and informative. Though I'll probably never get to it.”

3. “No, we have not taken any steps like this. There are cases in which a print book is valuable even when the online book is available.”

4. “We haven’t run into a double dipping problem with the books or other resources that we have supported through OA efforts so far. The organization doing the OA effort has either provided a way to avoid duplication, or we have done that internally through order records and when loading MARC records. Indeed, double dipping has been more of a challenge for us with non-OA packages.”

5. “Yes! We first became aware of this when these titles appeared in our demand driven acquisitions (DDA) program with eBook library (EBL.). We also became aware that they were available for purchase in GOBI, the YBP interface. We immediately suppressed these titles from our DDA program and notified our peers of the situation and our librarians. It was more difficult to avoid duplication for firm orders of these titles since our librarians place these orders directly in the system with only minimal intervention. We fortunate in not having any duplication. Perhaps we were not sufficiently careful in our initial decision making, but we truly thought that these titles were being "unlocked" and that publishers would not be taking advantage of additional revenue streams for these titles. This struck me as somewhat unethical….”

6. “At this point, for the most part, no. I hope it won't be long before GOBI pulls OA into their system in a usable way. If an initiative has a firm title frontlist, like the KU 2016 list, we do use that list, via record loads to our ILS, to avoid duplicate orders.”

7. “We haven’t participated directly in any OA book initiatives yet, so this issue hasn’t really come up. If we were to do so, we would certainly investigate cost-effective measures for preventing this kind of double-payment. (Though I wouldn’t use the term “double-dipping” this context.)”

8. “No. We've decided the cost of monitoring would not be worth the minimal savings.”

9. “Yes, we have taken steps to double-check our orders, and as a policy we load records for all OA books that we wish to include into our catalog. Of course, books to be purchased (approval or firm order) are already in the catalog (or soon coming into it). The only problem that we have encountered is when we declined to include an OA book (or small collection) in a field that we felt was to particularly germane to our curriculum and purchasing decisions, and then a faculty member requested purchase of a printed copy. We quickly figured out that the book was also available OA and online, and the faculty member withdrew her request so that she could substitute another purchase.”

Q2. Content Quality

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?

1. “Publisher standing & reputation. Not perfect, but it's all we've got.”

2. “We prefer to wait for reviews before making purchase decisions.”

3. “Gut feeling based on publisher, mostly, and trust of the selection process, for example Knowledge Unlatched has a board that evaluates books to unlatch.”

4. “How sound and vetted the particular OA project seems to be. Publisher / publisher reputation. Not a perfect measure, but challenging to evaluate content quality for non OA materials too.”

5. “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.”

6. “We need to see a sample if it’s a digitized primary source project plus a detailed description/proposal that gives us a firm idea of the amount and kind of content that will be included. For OA book initiatives, we need to know the titles and publishers involved before we will contribute.”

7. “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.”

8. “Our judgment of quality is based on reputational factors (such as: a known OA source, a recognized academic press), some knowledge of the author, and relevance to our collecting policies and profiles. We are willing to trust editors’ judgments as regards on-going monographic collections or series, so long as we know their previous record. (But the financial note, “Past performance is not a predictor of future results.”) This decision does not really differ from a decision to trust the editors of a series or press, so we reserve that trust for well-known cases, such as a known university press.”

Q3. Accessibility

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?

1. “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.”

2. “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.”

3. “Are MARC records provided, and will our users have to jump through any hoops to get to the content once we've loaded it in our ILS/discovery systems? If answers are "yes" and "no" then we're good.”

Q4. MARC Records

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?

1. “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. Not sure there is necessarily a preferred delivery method, just needs to be clear what it is.”

2. “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.”

3. “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.”

Q5. Discoverability

You indicated that **discoverability** issues are a large obstacle to an expansion of your library’s participation in these kinds of OA initiatives. Could you elaborate and discuss your specific concerns?

1. “All works should be fully crawled by Google and Google scholar, and thoroughly catalogued in OCLC.

2. “This might not be much help to you: I believe I was referring to local discoverability issues, insofar as we have used Innovative Interface’s Encore Duet discovery service. (This means, the Encore front-end with

Ebsco data.) We are dropping this subscription in favor of EDS (Ebsco Discovery Service) on its own. We are removing that significant obstacle, so this will no longer be relevant (I hope)."

Q6. Free Riders

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

1. "I don't have time to worry about another institution who *can* afford it "freeriding" (besides, it's kind of their "bad karma" right?); and for the rest of the world -- individuals as well as institutions in the U.S. and globally that *don't* have many resources - it's all good!"

2. "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."

3. "Free riders 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. In the bigger sense, free riding is a concern, because if there aren't enough contributors, then the whole OA exercise doesn't get anywhere. I think there is potential good in OA, but I'm still not sure how much of my limited budget I should divert to the experiment."

4. "We contribute to quality OA initiatives because we see the resource as valuable and because we want to help make them open access—not primarily because we may get exclusive access to that resource for some set period of time. So, the goal is value and open access; free riders are okay. We have been free riders ourselves for some resources."

5. "I define free riders as individuals or institutions that have the financial capability of contributing to the greater good, but choose not to with the intent of accessing this content for free. We chose to participate because we felt that we would be contributing to the greater good and wanted to contribute to the development of a successful model. There will always be free riders... these individuals/institutions should not be allowed to deter good things from happening within the scholarly process."

6. "Obviously, free riders are libraries that could have supported the OA initiative but did not because they knew the content would be available to them in the end anyway. I think as more librarians turn their attention and dollars to OA initiatives, especially the larger libraries that are trying to take initiative and set

an example in this area, it is not that big a deal. The end goal is to make the content open. I am proud to support that, and glad that I have the flexibility to do so at this time. Just doing what is right. What other people do is their problem."

7. "Free riders are a problem created by a known, direct service-for-fee payment system that can't be enforced. OA operates under a "gift-exchange" model that behaves quite differently from service-for-fee. We already use a lot of kinds of resources that, strictly speaking, we don't pay for: inter-library loan requests, news & media resources via the internet. No one discusses "free riders" because the term simply is not relevant. Faculty contribute a good deal of writing and research for which they receive modest financial rewards if any at all. So I think "free-rider" is a term that owes a very heavy intellectual debt to neo-liberal models of market economies –models not necessarily invalid, but nevertheless incomplete.

   The issue arises, of course, when OA publications have genuine expenses: reviewing, editing, and the work involved with placing a publication on line in a stable environment, and then preserving it in the future. OA is never really "free" to a library or organization, but is "free" to a user in that a fee is not charged directly for that service. I believe that my library, although small and comparatively less-well funded than our peers, has a real responsibility to step up and contribute modest funds towards OA publication models. The economics of all this is still in the process of sorting itself out, and that won't conclude for a long time."

Q7. Usage Rates

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?

1. "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."

2. "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."

3. “For everything that we acquire—whether OA or not—we want to acquire resources for which we know ahead of time that there will be users on campus. It could be a single faculty member who will use a resource in a class; it could be multiple faculty for use in multiple classes; it could be that the resource provides information that students will be looking for based on current faculty and curriculum. If the OA resource has no user(s) among current faculty and students, we will likely not contribute no matter how attractive the project may be. Current local use is a major factor in making the decision to contribute.”