DOAB User Needs Analysis

– Final Report –

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About DOAB

The Directory of Open Access Books (DOAB) is a discovery service for Open Access monographs and a metadata dissemination service. DOAB provides a searchable index to peer-reviewed monographs and edited volumes published under an Open Access business model, with links to the full texts of the publications at the publisher's website or repository. DOAB allows aggregators, libraries and other service providers to harvest metadata on Open Access monographs in order to integrate these in their catalogues and services.

About this report

This final evaluation and recommendation report is based on the user experiences, needs, and expectations as they emerged from the qualitative components (survey, workshop and online discussion platform) that were used to conduct the DOAB User Needs Analysis. This final public report, intended for the wider academic and publishing community, aims to advise in the establishment of procedures, criteria and standards concerning the set-up and functioning of the DOAB platform and service and to devise guidelines and recommendations for admissions to DOAB and for its further development, sustainability and implementation.

Summary

This final evaluation and recommendation report is based on the user experiences, needs, and expectations as they emerged from the data collected as part of the DOAB User Needs Analysis. This report aims to advise in the establishment of procedures, criteria and standards concerning the set-up and functioning of the DOAB platform and service and to devise guidelines and recommendations for admissions to DOAB and for its further development, sustainability and implementation.
The report gives an overview of the main aims and objectives of the user needs analysis, which are summarised in two main research questions:

What are the functional requirements, or needs, which different users have with respect to the platform, the protocols and the procedures that DOAB wants to establish?

What kind of recommendations can we extract from the users' experiences with the beta-platform and their expectations of a future DOAB service?

The research design has been structured around defining user (librarians, academics, publishers and funders) needs, experiences and expectations with respect to the DOAB platform and system as it is currently set up, paying special attention to users perceptions and needs with respect to Open Access, Open Access books, and a directory of Open Access books; quality and peer review procedures; copyright policies; platform usability; and potential business and funding models both for Open Access books and for DOAB. This study has used a variety of qualitative data collection tools (surveys, online discussion platform and panel discussion) to capture these needs, experiences and expectations.

The findings are divided into 5 themes:

1. *Perceptions concerning Open Access and Books*.

The awareness of Open Access amongst the participants of our survey is high. Users are on average positive about the influence Open Access has on the values underlying scholarly communication, which is important especially because communication with one's peers and releasing information to the wider society are seen as the most important motivations for publishing research findings amongst academics.

2. *Quality and peer review*.

A majority of the users declared the importance of quality control and peer review for Open Access book publishing, to ensure the quality and trustworthiness of Open Access books. Requirements and standards concerning quality control are warmly welcomed, as is more transparency about procedures used, as long as these standards remain flexible and open to a variety of quality control mechanisms, from editorial control to open peer review and post publication review.

3. *Copyright.*

There is a big disparity in opinions with respect to which Open Access license should be used and promoted. Nonetheless, it seems that most people are satisfied with the current requirements defined by DOAB. The availability of a wide array of open access

licenses must be preferred to enable experiments with different business models and in anticipation of academic insecurities with respect to reuse. To enable experimentation and reuse of content and data and to stay open for future change, DOAB should strive to promote the use of CC-BY licenses as much as possible and should remain open for new forms of licensing.

4. *Platform Usability*.

DOAB seems to be on the right track with its platform. The feedback is positive and the user needs seem to concur with services that are already available in the DOAB Beta version, except for full-content search and information about the peer review procedures, which would be useful future services for DOAB to explore.

5. *Business models*.

Although many experiments with Open Access publishing are taking place there is a lot of concern with respect to sustainable funding from reliable, 'non-controlling' sources. It remains unclear who should fund Open Access books, and, related to that, who should fund a directory of Open Access books. However, there are possibilities for DOAB to attain funding from publishers, librarians or funders, as there was some willingness amongst these stakeholders to pay a fee either to take part in or to support DOAB.

Based on these findings a number of recommendations have been devised, focussing amongst others on DOAB's role in establishing standards for peer review and licensing, standards and requirements that should both ensure trust and quality but at the same time should remain flexible and open to change. It was recommended that DOAB:

- Consult regularly with stakeholders to monitor needs and developments in these areas.
- Use a variety of Open Access licenses, although the CC-BY license should be promoted as much as possible.
- Make quality, which is seen as essential, more transparent by using for instance an icon system.
- Remain open to other forms of quality control such as open and post peer review and editorial control, where the focus should be on the outcome, not on the procedure used.
- Improve the information available on the DOAB website.
- Explore the future development of services for which a clear need was felt: full-content search and information about the peer review procedures.
- Try out asking a (voluntary) fee for its services in order to ensure its sustainability and future development.

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Introduction

Background: DOAB

Purpose

The primary aim of DOAB is to increase discoverability of Open Access books. Academic publishers are invited to provide metadata of their Open Access books to DOAB. Metadata will be harvestable in order to maximize dissemination, visibility and impact. Aggregators can integrate the records in their commercial services and libraries can integrate the directory into their online catalogues, helping scholars and students to discover the books. The directory will be open to all publishers who publish academic, peer reviewed books in Open Access and should contain as many books as possible, provided that these publications are in Open Access and meet academic standards.

The Directory of Open Access Books is a service of OAPEN Foundation. OAPEN Foundation is an international initiative dedicated to Open Access monograph publishing, based at the National Library in The Hague. DOAB is being developed in close cooperation with Lars Bjørnshauge and Salam Baker Shanawa (director of SemperTool), who were also responsible for the development of the Directory of Open Access Journals (DOAJ). SemperTool develops and maintains the DOAB system.

Requirements

OAPEN Foundation has specified the current requirements of the DOAB Beta version in consultation with OASPA. The current requirements to take part in DOAB are twofold:

- Academic books in DOAB shall be available under an Open Access license (such as a Creative Commons license)
- Academic books in DOAB shall be subjected to independent and external peer review prior to publication

Publishers who wish to take part in DOAB must fill in an application form, describing their license policy (or policies) and their peer review procedures. This information is reviewed by DOAB. After approval publishers get access to the DOAB admin tool where they can upload their books.

Background: User Needs Analysis

DOAB is launched in a Beta version to enable feedback from users and to further develop the service. To evaluate the users' experiences of DOAB and to identify needs and expectations with respect to (a directory of) Open Access books a number of qualitative data collection tools have been used:

- a survey
- a panel discussion
- an online discussion platform.

This report will be publicly available, and is intended for the wider academic and publishing community. It aims to advise in the establishment of procedures, criteria and standards concerning the set-up and functioning of DOAB and to devise guidelines and recommendations for admissions to DOAB and for its further development, sustainability and implementation.

This report gives an overview of the main aims and objectives of the user needs analysis. It describes both the research design and methodology that have been used to

structure the research and to collect the necessary data. In the conclusion to this report, recommendations and guidelines will be devised for the further development of DOAB The various data collected as part of this user needs analysis have been made available via appendices to this report.

Aims and Objectives

Aims

The aim of the DOAB user needs analysis is to evaluate the users' experiences of DOAB, and to collect data on user needs and expectations with respect to a directory of Open Access books. This will provide up-to-date knowledge on the experiences of users, what they expect and need from the service, as well as delivering advise on the establishment of procedures, criteria and standards concerning the set-up and functioning of the platform. This knowledge will be used to devise guidelines and recommendations for admissions to DOAB and for its further development, sustainability and implementation.

Objectives

The key objectives of the user needs analysis will be to:

- Measure user needs, expectations and experiences with respect to DOAB
- Measure user needs, expectations and experiences with respect to Open Access, Open Access Books, quality and peer review procedures, copyright policies, platform usability, and potential business and funding models both for Open Access books and for DOAB
- Gather and evaluate these user needs by means of qualitative data collection tools (i.e. survey, workshop, online discussion platform)
- Map and explain the different perspectives of the different parties involved
- Develop recommendations and guidelines for admissions to the DOAB and for its further development, sustainability and implementation.
- Advise on the establishment of procedures, criteria and standards concerning the set-up and functioning of the DOAB platform
- Share the results of the DOAB user needs analysis and disseminate the findings at an international level via amongst others a public research blog, the DOAB mailing list, the final recommendation report and via conference presentations and papers.

Research design and methodology

Design

The user needs analysis examines both the experiences of users and their expectations and requirements with respect to the DOAB platform, and of a directory of Open Access books more in general. Consultation of the users has been organized in a number of ways (see also methodology). With respect to the research design we have focused on:

Users: for this specific study users have been defined as consisting of both the (Open Access) academic book publishers and funders/sponsors that will be using or supporting the service at the front-end (suppliers), and the service's end-users, consisting of academics (including students), libraries and aggregators, and the general public.

Experiences: to organize feedback and evaluation of the service in all its aspects (system, workflow, procedures, policies) part of the user needs analysis has focused on the experiences of users with respect to the platform. This involved an examination of the users' experiences related to factors such as usability, search functions, quality control, copyright policies, metadata harvesting etc., and with respect to the provision of information, the workflow, procedures and policies, and the extent to which these correspond to the 'normal' practice, experience and needs of users.

Expectations: this part of the user needs analysis focused on the expectations and perception of users with regards firstly to the platform and service itself and secondly with regards to the publication, distribution and consumption of (Open Access) digital books. An examination has been made of user needs, expectations and requirements with respect to Open Access, Open Access Books, quality and peer review procedures, copyright policies, platform usability, and potential business and funding models both for Open Access books and for DOAB.

The user needs analysis will try to answer the following general research questions:

What are the functional requirements, or needs, which different users have with respect to the platform, the protocols and the procedures that DOAB wants to establish?

What kind of recommendations can we extract from the users' experiences with the beta-platform and their expectations with respect to a full-blown DOAB service?

Methodology

A methodology has been applied that has been previously developed for the OAPEN user needs studies.[1] These studies applied a conceptual framework which represented the key characteristics of the formal academic communication system, based on a list of the most important values guaranteed within this system (quality, access and dissemination, effectiveness and efficiency, reputation and reward, economic feasibility and trust). A component of the current study (as part of the online survey) has also

[1]See: Janneke Adema and Paul Rutten, Digital Monographs in the Humanities and Social Sciences: Report on User Needs (OAPEN Project Report) (Amsterdam 2010).

focused on investigating the position of users with regard to these values and the extent to which they expect the publication of academic books in Open Access to have an effect on these values.

For the remainder of this study we have looked at users' needs, expectations and experiences with DOAB. We were particularly interested in those cases and instances where user needs and experiences differed from the requirements and protocols as currently defined within the DOAB Beta version.

During the research project, the following tools and methodologies were used to consult users and collect data:

Online Discussion Platform

The online discussion on Open Access books, set up and hosted by DOAB took place from the 9th until the 22nd of July, with publishers, academics, librarians, and participants from the wider Open Access and publishing community. The mailing list was set up at https://listserv.gwdg.de/mailman/listinfo/doab. To post a message to all list members, members could send an email to doab@gwdg.de. To see the prior postings to the list, members could visit the DOAB Archives, which also operates to preserve the discussion as a whole and make it publicly accessible for those who could not take part in the discussion.

The goal was to start a discussion with the wider Open Access and publishing community on what they perceive Open Access book publishing and Open Access books to be and to gain an overview of the variety of attitudes that exist at this particular moment on these topics.

The goal of this discussion was not to decide on a definition of what constitutes an Open Access book or on what *the* proper way to publish an OA book is. It predominantly focused on getting an overview of the disparity of opinions and views that exist on Open Access, books, quality control, peer review and Open Access publishing. The idea was more to establish a set of 'lowest common denominators', requirements for entry that are flexible and can change, following the processual nature of both books and the discourse on Open Access books. The criteria and procedures to determine which books can be uploaded in DOAB must be supported by the scholarly community, especially the academic publishers that provide their Open Access publications. This discussion was thus meant to gain an overview of the views and opinions of the scholarly community.

The main questions which we set out to lead the discussion were:

1. What is an Open Access book?
2. What is an Open Access book publisher?
3. What kind of copyright licenses are suitable to use with an Open Access book?
4. What kind of quality control do we need for Open Access books?
5. What kinds of peer review are seen as authorative?

However, as we were flexible with respect to which issues could be discussed, in the end the discussion boiled down to the following questions:

1. What is an Open Access Book?
2. What are suitable (requirements for) funding schemes/business models for Open Access books?

3. How do we establish the quality of Open Access Books?

Digests of the discussion were uploaded to the website/blog at http://doabooks.wordpress.com/ (where users had the opportunity to post additional comments), and was promoted via Twitter and the publishers' networks. The website/blog also functioned as the online outlet of the research project, where it commented on and provided updates on the research in progress.

We gathered discussants by actively inviting both the publishers currently taking part in DOAB and by inviting a set of publishers, academics and librarians who are active within the Open Access book publishing community, based amongst others on the networks of those publishers already involved in the DOAB beta-version. Further promotion of the discussion was carried out via various social media (i.e. Twitter), newsletters and a variety of mailing lists. In the end more than 150 people subscribed to the mailing list of whom about 25 actively took part in the discussion.

Survey

An online survey was developed using the online Survey Monkey platform. This survey focused on providing feedback with respect to DOAB and on collecting data related to user expectations with respect to the services, workflows and protocols that are provided and developed by DOAB, its sustainability and (the future of) Open Access book production, distribution and consumption more in general. The survey was divided into six parts with questions related to

1. The user's profile
2. Open Access books and Open Access book publishing
3. Copyright
4. Quality control and peer review
5. Platform usability
6. Funding/business models for DOAB

The survey consisted of both closed and open questions and included a small introduction about the goals of the DOAB project and of the survey itself and it provided a short introduction on Open Access. The survey was routed according to the role of the participant (academic, librarian, publisher etc.). It contained approximately 15 questions and took about 10 minutes to complete. The collected data was anonymised.

To measure the development of stakeholder/user attitudes with respect to (the values underlying) Open Access, ebooks, scholarly communication and Open Access book publishing, we used a selection of questions that have been previously used in the OAPEN user needs research as well as in the OAPEN-NL and the OAPEN-UK studies. The collected data will also be compared to the data previously collected as part of these studies.

The survey ran for a month from mid August until mid September 2012. 202 people, from all over the world, filled out the survey. 91 defined themselves as librarians, 55 as academics, 47 as publishers (which we subdivided in 23 DOAB publishers and 24 non-DOAB publishers) and 9 as funders and university representatives.

Workshop/Panel Discussion

During the 4th Conference on Open Access Scholarly Publishing in Budapest (COASP)—organised by the Open Access Scholarly Publishers Association, OASPA—the afternoon

of Wednesday the 19th was entirely dedicated to a series of sessions on Open Access Book publishing, consisting of both presentations and a panel discussion. A first preview was given of the data collected through the DOAB surveys and the discussion platform. This preliminary overview of findings, supplemented by various presentations on different Open Access book business and funding models, and a presentation on the first findings of the OAPEN-UK project, was an introduction to a further discussion on these findings and on the requirements for Open Access books. This final panel discussion was open to both invited speakers and the conference public. The panel speakers included Caren Milloy (JISC), Frances Pinter (Knowledge Unlatched), Jeroen Sondervan (AUP), Marin Dacos (Cléo/OpenEdition), Kathy Killoh (Athabasca University Press), and Margo Bargheer (Göttingen University Press).
During the final panel discussion a set of questions was addressed to the panellists focussing on the desired requirements for Open Access books. They were asked to give a small presentation based on the following questions:

1. Should there be a specific format for Open Access books (such as html, xml, PDF)?
2. Should users be able to download Open Access books or is it sufficient if you can read them online (i.e. Google Books)?
3. What sort of license is required in the case of Open Access books?
4. What sort of quality control would be required for Open Access books?
5. Are there minimum requirements in any of these areas?

The discussion also focused on the potential role of OASPA in establishing standards for Open Access book publishing, and on whether in the future the book will converge with articles in an Open Access world.

Findings

The findings presented here in this section are based on an analysis of the data on user needs, experiences and expectations with respect to DOAB and Open Access book publishing more in general, as collected through the qualitative data collection methods (survey, online discussion platform, panel discussion) as described as part of the research methodology in the previous section.
The data analysis particularly paid attention to data that show a divergence of user needs and perceptions from the DOAB service and platform and from the protocols and standards related to quality control and licensing as they are currently defined by DOAB.
To structure and analyse the data, this section will be divided into 5 separate (in some cases overlapping) themes. These themes are:

1. Perceptions concerning Open Access and Books
2. Quality and peer review
3. Copyright
4. Platform usability
5. Business models

Perceptions concerning Open Access and Books

In this section we will primarily focus on data collected via the survey via a selection of questions that have been previously used within the OAPEN, OAPEN-NL and OAPEN-UK studies. The perceptions of the users that took part in the DOAB user survey will be compared, where both possible and useful, with the results from these previous studies.

To start with some statistics on the survey participants: 202 people filled out the survey, from all over the world, of which 91 defined themselves as librarians, 55 as academics, 47 as publishers (which we subdivided in 23 DOAB publishers and 24 non-DOAB publishers), and 9 as funders and university representatives (see figure 1). Partly because of the participation of publishers who are already taking part in DOAB (and who were thus specifically targeted to give their feedback by means of this survey), a large part of the participants where employed in Northern European countries and in North America (see figures 2-7). Most of the publishers taking part in the survey were small publishers: more than 50% published between 1 and 25 books on a yearly basis (see figures 8-10). Of the non-DOAB publishers the vast majority has an electronic publishing program, which in most cases also includes books (see figure 11). Most of these publishers also have experience with Open Access publishing, which in almost 60% of the cases also involves experience with Open Access book publishing (see figure 12).

The academics that filled out the survey show a good distribution of both early and later career researchers. A substantial number of professors as well as PhD students and Postdoctoral researchers took part in the survey, from a large variety of fields (see figures 13 and 14).

The familiarity with Open Access publishing is very high amongst the survey participants; in more than 90% of the cases users are either familiar with or aware of Open Access. This figure even remains high when we remove the DOAB-publishers (see figures 27-31). Where the OAPEN user needs survey showed that almost 30% of the survey participants were still unaware of Open Access, our figures correspond more with the recent OAPEN-UK survey amongst (mostly UK-based) HSS scholars, in which

only 7.2% of the respondents were unaware of Open Access.[2] However, in this case, most respondents argued they were aware of Open Access, rather than familiar with OA. This is the opposite in our survey data. Although these data might confirm that the awareness of Open Access has been growing, it is more likely that the collected data show a slight bias, as mostly people who were already familiar with Open Access filled out the survey.[3]

We asked all users about their views regarding the various goals and values underlying scholarly communication. Availability and dissemination of scholarly materials score highest here, followed closely by quality. Reputation and reward are deemed least important by the participants, followed by the efficiency and effectiveness of the system as a whole (see figure 15). These figures concur with those of the OAPEN and OAPEN-UK studies.[4] Asked what the influence of Open Access is on these values, all stakeholders respond that it significantly promotes availability and dissemination and that it promotes efficiency and effectiveness, quality and trust. Most importantly users do not think Open Access hinders any of these values. This again seems mostly in agreement with the earlier studies.[5]

We asked the academics taking part in our study what their motivations for publishing are. Communication with peers is seen as the most important, followed by releasing information to society at large, where financial compensation is agreed to be the least important (see figure 33). This data is slightly different from the OAPEN survey, where career advancement comes second and releasing information only takes a 4th position. In the OAPEN-UK survey releasing information comes first, followed by communication with one's peers. In both surveys however financial compensation is also deemed least important.[6]

With respect to their reading preferences, it is surprising that only 3.9% of the participating academics state that they never read or consult ebooks and more than 60% state they read their books directly from the screen (without printing bits out).[7] These figures show an enormous increase in direct screen reading from the 38.5 % in the OAPEN report.[8]

Concluding we can say that, according to these data, the awareness of Open Access amongst stakeholders is high, and has grown. Users are generally positive about the influence Open Access has on the values underlying scholarly communication, which is especially important as communication with one's peers and releasing information to the wider society are seen as the most important motivations for publishing one's

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[2] See Janneke Adema and Paul Rutten, *Digital Monographs in the Humanities and Social Sciences: Report on User Needs* (OAPEN Project Report) (Amsterdam 2010) 134 and OAPEN-UK HSS Researcher Survey Results (JISC Collections 2012) 6.

[3] This might have to do with the fact that the survey was promoted amongst others via DOAB-publisher networks and via de DOAB newsletters, blog, mailing list and Twitter account, which are mostly followed by those who are already interested in Open Access.

[4] See OAPEN report, page 135 and OAPEN-UK results page 48-49.

[5] See OAPEN report, page 53 and OAPEN-UK results page 50. The OAPEN-UK study is less positive where it comes to quality and reputation and reward, where their participants deem the influence of Open Access on these values as neutral (neither positive nor negative).

[6] See OAPEN report, page 135 and OAPEN-UK results page 23.

[7] This question was copied from the original OAPEN survey, conducted in beginning 2009. E-readers were not as common then as they are now, hence they were not added as a separate category. For sake of comparison we have decided to keep the original question intact.

[8] See OAPEN report, page 133.

research findings amongst academics.

Quality

At the moment, in its Beta version, the DOAB requirements concerning peer review and quality control are formulated as follows:

Academic books in DOAB shall be subjected to independent and external peer review prior to publication.

The peer review procedure itself is not described in this requirement, the only current requirement is that some form of peer review is taking place, which is both independent and external (i.e. no internal review by (series) editors or editorial boards (solely)) and is executed prior to publication (i.e. no forms of post-publication review (solely)).

The issue of quality was one of the main topic points during the online discussion. It was suggested that it would be valuable to have the evaluation procedure available/visible within the book as well as in the books metadata and in digital repositories, making the review practices visible and clear, for instance using some sort of icon system for peer review like Creative Commons uses. Although this kind of transparency is not very common in printed books, it was felt that Open Access books would profit from this, as they are often perceived of being of less quality. Next there is the issue of vanity publishing and the rise of predatory publishers, which also tend to influence the quality perception with respect to Open Access books. A need was also professed for an evaluation of new Open Access publishers, via a set of criteria or a seal of approval. This will help new publishers to gain trust and authority. It was suggested that there are several routes to follow here:

- force strict peer reviews on all procedures
- identify a number of adequate forms of quality control
- aim to make peer review procedures transparent.

On the other hand it was remarked that it might vary by discipline what constitutes as appropriate quality control. Being too prescriptive might exclude some good new Open Access publishers. This is why the system needs to remain sufficiently open to account for new forms of quality control, such as open peer review. Too much restriction might lead to control by vested interests and could stifle innovation and entry. Standards should be established and run independently from the producers and should be flexible and open to new initiatives. Grant giving bodies could play an important role in this as they could be able to force researchers and academics to accept new practices, which they may be reluctant to adopt voluntarily. From a scholarly perspective it was remarked that peer review should not so much be about quality control as it should be about quality enhancement. A peer review policy will not say much about a specific peer review culture in this respect, and about how quality enhancement is achieved.

In the panel discussion with Open Access book publishers, quality was seen as being of the utmost importance. We asked the panel what sort of quality control would be required for Open Access books. Open Access is all about quality and quality control it was argued. We need to assure this to get researchers along. It was again professed that 100% transparency is important to show that Open Access books are indeed quality controlled, for instance via a badge system for the Open Access peer review process. On the other hand it was remarked that there should be some freedom left for publishers

too. The question remains however, who decides on quality control? Should it be based on what the academy wants and what it can afford in terms of time and money? Should it be an issue of funding bodies or organizations like OASPA, should they set standards? And what is the publishers' role in all this? Again it was remarked that the way peer review is organized is no indication of the quality (not of the review, nor of the book itself). There is not sufficient assessment of the review itself and peer review really has to change in this respect.

We used the survey to gather some more structured data on peer review and quality control preferences and on what users think about the review requirements as currently defined by OAPEN. We used both closed and open questions to gather our data on this topic. We asked the users about their opinion with respect to a variety of quality control mechanisms including closed peer review by experts (double-blind peer review), semi-open peer review by experts (single-blind peer review), open peer review (public, peer-2-peer review), editorial control (reviews by series editors, editorial boards) and post publication review (user comments, reviews). When we look at the responses of all users combined, double blind peer review comes out on top followed by editorial control. Open peer review comes in third, before single-blind and most importantly, although it comes in last, forms of post-publication review are not seen as unsuitable for Open Access books (except in the case of the funders that filled out our survey, who are less positive) (see figures 46 and 51). Post publication review even takes in a second place with the academics, directly under double blind peer review (see figure 48). Editorial control scores highest amongst the publishers and the DOAB publishers, which might partly be explained by the fact that publishers value their own services in this respect very highly (see figures 47 and 49).

We also asked our survey respondents about their thoughts on the requirements as currently defined by DOAB. As this was an open question it got a large amount of responses (see figure 45). A majority was positive or agreed with the requirements as defined by DOAB. Quality control is seen as important or even essential by many respondents, as it helps reassure those sceptical about Open Access. It ensures trust, credibility and quality, and it avoids predatory publishers. However some respondents were more sceptical about the requirements. First of all it was remarked that we need more than just a requirement, where we need to be strict on the quality of the actual peer review. Quality control should for instance take into account varying cultures in different fields or differences in what peer review means per publishing house, series or even title. Peer review also very much depends on who the peers are and how we define peers. How will DOAB evaluate these requirements per title, or will it engage experts to do so? As many respondents argued: double blind peer review is important but it is not always the case when we publish books. It is idealistic and hard to realise as in practice hardly any publisher fulfils this claim properly. It was mentioned that traditionally there was no peer review with books, as peer review in the humanities is more about cooperation than about quality assessment. Peer review is not necessarily different from other appropriate quality control mechanisms such as academic editing, which is seen as very important in academic book publishing by many users. Peer review without the oversight of a good editor is not worth much. Internal peer review should thus be sufficient, a librarian argues, when in German speaking countries for instance books are rarely reviewed like articles. We need to keep on focusing on the ends (quality content) not on the means that it took to produce these.

Some of the respondents argued that peer review is not the ideal method of evaluating a work. It does not guarantee quality and it adds to the burden of academics.

In the end peer review is just a process and may not produce quality and it slows down the publication process, others remarked. DOAB should be open to new models of review as well. A flexible definition of peer review should thus be maintained, including forms of open peer review where post peer review should be allowed too. It was also suggested that DOAB requires books to include metadata identifying that they have been evaluated by independent and external peer-review.

Concluding we might say that the majority of the users expressed the importance of quality control and peer review for Open Access book publishing, to ensure and make clear that Open Access books are just as qualitative and trustworthy as print publications. Requirements and standards concerning peer review and quality control are warmly welcomed, as well as more transparency in peer review procedures. As long as these standards remain flexible to a variety of quality control mechanisms, both to more traditional ones like forms of editorial control, as well as newer ones such as open review and post publication review. The requirements as set by DOAB seem to be adequate at the moment, although, taking into account the importance of editorial control in book publishing, DOAB might consider being more flexible with respect to the 'external' requirement, as long as the internal review is for instance done properly. DOAB can play an important role in setting standards with respect to quality control for Open Access book publishing and might think about, as has been suggested, adding some icon system or adding more information about the peer review procedure with each title, thus making it more transparent.

Copyright

At the moment, in the Beta version, the DOAB requirements concerning copyright are formulated as follows:

Academic books in DOAB shall be available under an Open Access license (such as a Creative Commons license)

This requirement does not specifically define what an Open Access license exactly is (next to a CC-license). There is also no specific preference for a certain CC-license and at the moment books with a variety of CC-licenses are listed within DOAB. The basic requirement at the moment is that the books should be available to share (and you can thus do more with them than only read them online, i.e. download them and copy/paste their contents).

To start with the online discussion, where this issue was discussed in-depth, under the header of 'What is an Open Access book' it was made clear that the license issue is a difficult one, as many different issues (free to read, free to share, free to reuse, free to reuse on a commercial basis etc.) get entangled. However, in the end the discussion boiled down to whether Open Access means access to the content only (free to read), or whether it also implies access to the source to facilitate modification (re-use).

Proponents of a more restrictive license argued that researchers might feel uncomfortable with a more open license, which allows changes to the integrity of the content (which was confirmed by the results from the OAPEN-UK survey[9]). Furthermore

[9]See OAPEN-UK results page 13.

it was argued that the primary goal should first of all be increased accessibility. Re-use rights can distort this goal and are seen here as a secondary goal. Further problems with a more liberal license that were mentioned were the problem with the rights of images in books and the fact that one liberal CC-license might exclude a lot of material from books. Finally one of the Open Access publishers stipulated that CC-BY might be detrimental to their business model where a non-commercial license was seen as crucial to their funding scheme. On the other hand proponents of a more liberal license argued that reuse rights (Libre Open Access) are an essential part of the Open Access definition and lie at the basis of (new forms of) collaborative (scholarly and) cultural production. CC-licenses themselves were also criticised, as in that they reserve rights of copyright owners rather than granting them to users. In this respect Open Access and copyright licenses need to remain open for and enable experimenting. They should encourage intellectual opportunities to do something conceptually and politically significant within the realm of institutional practices, closing these kinds of efforts down too early by technicist discussions about licensing and copyright. Finally it was remarked that a more restrictive vision towards Open Access books might alienate other communities, such as the free software and open education movement, but perhaps more importantly funders, who are increasingly pushing for data mining and more liberal CC-BY licenses.

The panel discussion, which focused also on what kind of license should be required concerning Open Access books, showed an equal proliferation of opinions. On the one hand it was mentioned that CC-BY should be the standard by default, on the other hand that although CC-BY is ideal, and should be preferred, it shouldn't dictate the other licenses, the market should decide. Especially for publishers the non-commercial license can pose a difficult issue for their business models. We should not be too dogmatic in this respect, but pragmatic some said. And the main goal in this respect is access and no more barriers such as DRM.

Where both the online and the panel discussion show a proliferation of opinions on the issue of licensing, we used the survey to gather some more structured data on license preferences and on what users think about the license requirements as currently defined by DOAB. We asked what kind of copyright license would you prefer to use in Open Access books? To this question 1/3 of the stakeholders, and this includes all users, answered they would prefer the most restrictive Creative Commons license, CC-BY-NC-ND. However, this is much lower than the figures mentioned in the OAPEN-UK survey, which show an overwhelming preference.[10] Also derivatives seem to be less of an issue here; in total more than 46 % of the respondents opt for a license that allows derivatives (see figure 34).

However, and this is where it gets interesting, there is a big difference in license preferences between the different stakeholders:the academics that filled out our survey had a strong preference for a CC-BY license at 34%, followed by CC-BY-NC at 20% where CC-BY-NC-ND only comes third with 18 % (see figure 36). A majority of the academics that filled out our survey (56%) thus would not mind if derivatives were created from their work. If we then look at the publishers that are currently taking part in DOAB, 60% prefers the most restrictive license, and only 5% would opt for a CC-BY license (see figure 35). This puts an interesting perspective on the discussion, as it seems, from these figure at least, that scholars are much more 'progressive' in their licensing preferences than publishers. The preference of Open Access publishers for the most restrictive license might have to do with the fact that they presume that scholars prefer the most

[10] See OAPEN-UK results page 13.

restrictive version (although as these data suggest, this is not necessarily the case) or they opt for this reason, as was remarked in the discussion, because of fears of financial loss if the non-commercial license is let go of.

When we asked the survey respondents about their thoughts on the DOAB requirements concerning copyright as currently defined, a majority of almost 60% are satisfied with these requirements. 26.3% Feels the license should be more restrictive, where 14.1% finds it should be less restrictive (see figure 39). These figures do not fundamentally differ when we break them up per stakeholder (see figures 40-44) except for the DOAB publishers, who would rather not see a more restrictive license at all (see figure 40) which concurs with the above figures.

We might conclude that, although there is a big disparity in opinions with respect to which Open Access license should be used and promoted, it seems that most people are satisfied with the requirements as currently defined in the DOAB Beta version. To enable experiments with different business models and in anticipation of academic insecurities that might exist with respect to reuse, the availability of a wide array of Open Access licenses must be preferred at the moment. However, to enable experimenting and reuse of content and data and to stay open for future change, DOAB should strive to promote the use of CC-BY licenses as much as possible and should remain open to new forms of Open licensing that might be developed in the future.

Platform usability

This section addresses 2 topics:

- The needs of the users (particularly librarians) with respect to the DOAB platform and service
- The feedback on the DOAB platform and service received from the publishers already taking part in DOAB.

For both subjects we draw predominantly on the data gathered through the survey.

We asked publishers already taking part in DOAB to provide us with some feedback on the protocols, policies and workflows as used in DOAB. On average it seems that these publishers are overall content with the DOAB service. Direct support from DOAB members rank highest as being most satisfactory, followed by the application and upload procedures. Although on average most publishers were satisfied, looking at their reaction choices we see some publishers were not pleased with the peer review and licensing requirements as they are currently defined, as well as with the information available on the website (see figure 64). The first two might be explained by the highly debatable nature of peer review and licensing requirements, where these respondents might have opted for either stricter or more lenient requirements. The information on the website however is less debatable and can thus be seen as something which DOAB might improve or pay more attention to. As we did not collect any further data on what exactly should be improved with respect to the information provision, it might be useful to further consult with stakeholders on how the information on the website can be improved.

We asked all stakeholders which services they would expect from the DOAB platform. As expected, search functions rank highest here, especially full-content (which is not available in DOAB as it does not host the full-text of the books, but only a description of the books) and metadata search. Multilingual search is deemed less

important. Information about the license conditions (currently available) also scores high, followed closely by information about the peer review procedures used (currently unavailable). Finally, users think it is important to have an abstract of the book available (which is currently also available). Less high scores are, next to multilingual search, for citation metrics (which might be due to the fact that these are deemed less important in the HSS than in the STM fields) and for reviews, tags and user comments (see figure 58). Finally, as might be expected, metadata exports and export options to reference systems score higher than average amongst librarians, for whom these might be a more urgent professional need (see figure 62).

To continue with the librarians (who made up the largest group of respondents), we asked them some questions related to their specific needs as end-users of the DOAB service and platform. First of all, 43% of the librarians is already harvesting Open Access books. Of the remainder 27.9% is interested in harvesting Open Access books in the future (see figure 52). When it comes to metadata standards needed to integrate DOAB in their collection, both MARC XML and Dublin Core format score very high. Both are currently available as metadata formats to download directly from the DOAB platform using OAI harvesting. Other standards that were mentioned where: RDA[11], CERIF, MARC2, XMetaDissPlus 2, OAI PMH[12], MARC 21 SIBUR, and MODS (see figure 53). When we asked librarians whether they would prefer to link out to DOAB or whether they would like to integrate it into their own system, the answer was almost 50/50 (see figure 54). When asked which data feeds where needed to integrate DOAB, OAI-PMH seems to be the most important with almost 70% of the responses. RSS feeds are also important, followed by downloading CSV files, which are only important for a minority of the respondents (see figure 55). All three forms of data feeds are currently available as part of the DOAB service. When asked whether they would like to integrate the data directly or via a data aggregator, a small majority 58.1% would prefer to do this directly (see figure 56). Summon (SerialSolutions) is the preferred aggregator with 1/3rd of the responses. Primo Central (ExLibris) and EBSCO were also mentioned, next to OCLC WorldCat, III Synergy and SWORD[13] (see figure 57).

These figures show that when it comes to platform usability, DOAB seems to be on the right track. The feedback is overall on average positive and the user needs seem to concur for a large part with services that are already available in the DOAB Beta version, except for full-content search and information about the peer review procedures, which would be useful services in the future for DOAB to explore (although this might be difficult with respect to the first due to the specific structure of DOAB, i.e., as a directory it hosts only the descriptions of books, not their full-text).

Business models

This section will look at the data collected with respect to a possible business model for DOAB as well as at possible business models with respect to Open Access book publishing more in general.

We asked the publishers, librarians and funders that filled out our survey whether they would be willing to pay a voluntary fee to either have their books included

[11] RDA is not a metadata scheme, but a protocol to remotely access databases. See: http://www.itl.nist.gov/div897/ctg/dm/rda_info.html

[12] OAI PMH is not a metadata scheme, but a protocol to harvest metadata from repositories. See: http://www.openarchives.org/OAI/openarchivesprotocol.html

[13] SWORD is not an aggregator, but a protocol to exchange data. See: http://swordapp.org/about/

in the service, or to support the service. Of both the publishers and the DOAB publishers about half of the respondents answered that they would be willing to pay a voluntary fee (see figure 65-67). We also asked them what they thought would be a reasonable fee. Some publishers responded with what they thought was a reasonable yearly fee, some with what they thought would be a reasonable fee per title. On a per title basis, suggestions were made in the range of 5 to 10 Euros (with a high of 25 Euros). When it comes to a yearly fee, figures ranging from 200 to 400 Euros where mentioned. Remarks were made that the height of the fee should depend on the usage of DOAB and the traffic it generates. It was also mentioned that financial resources are already low in book publishing, hence the fee should also be kept low, keeping in the spirit of Open Access. We also asked funders whether they would be willing to financially support DOAB. Of the funders that responded, 1/3 stated that they would be interested in doing this on a yearly basis, another third on an on-off basis and a final third stated that they were not interested in supporting DOAB (see figure 68). Finally we asked the participating librarians whether they would be willing to become a member of DOAB for a reasonable fee. A majority of 62.5% responded that they would be interested in this option (see figure 69).

Business and funding models for Open Access book publishing where also highly debated topics during the online discussion and as part of the Open Access book sessions and panel discussion at the OASPA conference. A variety of business and funding models was presented and discussed. New collaborative models for instance, arguing that sustainable models for Open Access should not focus on the resale of artefacts but on collaborative production processes in the online world. It was mentioned that many Open Access projects have been and are being developed with little to no funding – based on voluntary work from people all over the world. Concerns were professed about relying on receiving publication grants through research funding bodies as the only revenue source or business model, as this might allow commercial publishers to maintain institutional control over the academic process. Furthermore, in the humanities and social sciences many authors do not have access to research grants to support publication in the same way many scientists do, which makes this not an attractive option. Nonetheless, there is increased experimenting taking place with various forms of government funding of Open Access book publishing. The Austrian Science Fund for example started an initiative for the funding of Open Access books. The FWF has two different funding programs for supporting the publication of scientific outcomes; it offers funds for peer reviewed scientific publications, and for stand-alone (book) publications, i.e. for scientific publications of all scientific areas.

Other business models focused on the sale of premium formats (EPUB, enhanced editions as well as print books) for small sums, where the online html version is available for free. This is also known as the Freemium model, which is being experimented on at the moment by OpenEdition, a funding model for publishing, with free basic services (i.e. basic access to books), and advanced premium subscription services (i.e. Freemium = free + premium) financing their platform.

Libraries can also play an important role in Open Access publishing and funding. Knowledge Unlatched, a not for profit, Community Interest Company will establish an international library consortium to pay for origination costs of monographs in the form of a title fee – in return for open access, which might work as a potentially viable business model. Other models focus on library-publishing collaboratives such as Göttingen University Press, where GUP's overhead is covered by the library and the university. Each publication is subsidised for 50% by the university and revenues come

from book sales and author fees. This model has cost-saving potentials, and the press is a form of branding for the institution. The drawbacks of this model are however that every setback the university faces affects the press directly, running the risk of vanity publishing, there are unknown real publishing costs and it might decrease innovation.

Other models where mentioned in which the university partly funds the press such as Athabasca University Press which builds on Athabasca University's 1% solution: the university reserves 1% of its budget for publishing, which is seen as a core activity of the university. Here it is argued that funding and support for Open Access book publishing needs to come from institutions. This requires a change in thinking, as scholarly publishing needs to be valued more by institutions. Finally, some models are based on Article Processing Charges (APC's) for books. SpringerOpen books' business model works via an APC model based on average book costs of 15.000 Euro. The APCS are needed to balance electronic revenues (the ebook is not sold) and to balance part of the print sales (where the print books of the Open Access titles are lower priced). An Open Access membership programme covers SpringerOpen Books, which entitles member authors to a 15% loyalty discount.

These data make clear that many experiments with Open Access book publishing are going on and that there is considerable concern about sustainable funding from reliable, 'non-controlling' sources. It remains unclear who should fund Open Access books, and, related to that, who should fund a directory of Open Access books. However, as our data show, there are possibilities for DOAB to attain funding from publishers, librarians or funders; at least half of our survey participants showed they were interested in paying a fee either to take part in or to support DOAB.

Conclusions and Recommendations

This study has collected the necessary qualitative data to answer the following general research questions:

What are the functional requirements, or needs, which different users have with respect to the platform, the protocols and the procedures that the DOAB wants to establish?

What kind of recommendations can we extract from the users' experiences with the beta-platform and what are their expectations with respect to a full-blown DOAB service?

To answer these questions, a division has been made in 5 themes or topics which together cover aspects related to the DOAB service, platform and protocols and procedures, as they are currently being developed. These 5 themes were:

1. Perceptions concerning Open Access and Books
2. Quality and peer review
3. Copyright
4. Platform usability
5. Business models

The user needs or functional requirements with respect to these themes have been discussed in depth in the previous findings chapter, in which we have analysed the data collected via the various qualitative data collection tools (survey, online discussion, panel discussion). In these conclusions we try to formulate some recommendations based on these needs and requirements for the further development of the DOAB platform and services. Based on the data gathered we have formulated the following recommendations:

1. DOAB can play an important role in setting standards for quality control and licensing policies for Open Access books. DOAB should take this role very serious and keep itself informed about the latest developments with respect to these issues by regularly consulting with academics, publishers, funders and librarians, as well as institutions such as OASPA and the DOAJ, on what would be the preferred or recommended route in quality control and licensing.

2. The standards, requirements and protocols DOAB develops for quality control and licensing should be flexible enough to incorporate change and innovation. At the same time they should be strict enough to ensure quality and trust within the system.

3. The requirements for licensing as they are currently defined in the DOAB beta version should be upheld. To enable experimenting with different business models and in anticipation of academic insecurities that might exist with respect to reuse, the availability of a wide array of open access licenses is being preferred at the moment. However, to enable experimentation and reuse of content and data and to stay open for future change, DOAB should strive to promote the use of CC-BY licenses as much as possible and should remain open for new forms of open licensing that might be developed in the future.

4. The requirements concerning quality control as they are currently defined in the DOAB beta version, should be upheld, as there is a professed need for clearly defined and transparent quality control measurements for Open Access books. However, these requirements should remain flexible to a variety of quality control mechanisms, both to more traditional ones like forms of editorial control, as well as newer ones such as open review and post publication review. Taking into account the importance of editorial control in book publishing, DOAB might consider being more flexible with respect to the 'external' requirement.

5. As transparency in quality control mechanisms was considered very important in Open Access books, DOAB might consider adding information about the specific peer review or quality control procedure used to specific book titles. This could be added either as part of the book's metadata or for instance via a badge or icon system such as used by Creative Commons.

6. The feedback received from the publishers already taking part in DOAB combined with the needs and expectations of the potential users of the DOAB platform and service, shows that when it comes to platform usability, DOAB seems to be on the right track. The feedback is overall positive and the user needs seem to concur for a large part with services that are already available in the DOAB Beta version. However a clear need was felt for a full-content search and for information about the peer review procedures, which would be useful services in the future for DOAB to explore.

7. With respect to the feedback received on the DOAB platform and service, it is recommended that the information currently available on the website might be improved or supplemented. We suggest that DOAB consults with stakeholders on how the information on the website can be improved.

8. DOAB should explore the possibilities of asking a (voluntary) fee for its services from publishers, funders or librarians, as a considerable number of these users stated that they were interested in supporting DOAB in such a way.

Appendix 1: Summary of the COASP Open Access books sessions

During the 4th Conference on Open Access Scholarly Publishing (COASP)—organised by the Open Access Scholarly Publishers Association, OASPA—the afternoon of Wednesday the 19th was entirely dedicated to Open Access books. In his introduction to the afternoon's sessions, OAPEN's Eelco Ferwerda highlighted that with this year's milestones—the launch of the Directory of Open Access Books (DOAB), PKP's Open Monograph Press, and Springer's announcement of SpringerOpen books—the time for Open Access monograph publishing has arrived, culminating in the 4th COASP, where Open Access books were made part of the program for the first time. Things are speeding up for books, Ferwerda remarked. However, there are still a lot of unknowns: What will be the main business model for Open Access books? Under what license should they be published? What do the stakeholders in scholarly communication—the authors, libraries, funders and publishers—think about Open Access monographs? The afternoon thus set out to explore emerging business and publishing models for Open Access books, and current research on user and stakeholder needs related to Open Access books. The afternoon concluded with a panel discussion on the requirements for Open Access books.

After the introduction, DOAJ's Lars Bjørnshauge chaired the first session on funding and publication Models for OA Books. First 3 funding models were presented. Marin Dacos presented OpenEdition Freemium, a funding model for publishing, in which the basic services are free (i.e. basic access to books), and advanced premium subscription services (i.e. freemium = free + premium) finance the entire platform. This offer, Dacos explains, guarantees maximum distribution of academic texts via free-access, while financing the publication activity through the premium services. The model has been recently proposed to libraries, which, according to Dacos, have been positive in their feedback. OpenEdition's books launch will be at the end of the year. More than 50% of the books on this platform will be available in Open Access with the remaining 50% available for different forms of unlocking (e.g. unglue.it or Knowledge Unlatched).

Frances Pinter presented Knowledge Unlatched, a not-for-profit company established to work with a new business model that uses international library consortium purchasing to enable sustainable Open Access publishing. Pinter outlined the pilot project due to start in 2013. Secure collective payments will be ensured for first digital publication, paying for the fixed costs. Pinter used an ice cream metaphore to describe the model: the scoop is the free content, the cone is print books and the premium bespoke version for libraries and ereaders, and then there is the sundae: enhanced ebooks that offer more than just text. Member libraries are eligible for discounts on premium versions, which will function as incentive to become a member. The costs to libraries will reduce as the project grows.

Finally Doris Haslinger talked about the FWF (Austrian Science Fund or Wissenschaftsfonds) initiative for funding Open Access books. Since it has signed the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities 2003, an active Open Access policy for FWF-funded projects has been established. Their reasoning behind supporting Open Access is based on the idea that you shouldn't require Open Access without funding it. The FWF has two different funding programs for supporting the publication of scientific outcomes; it offers funds for peer reviewed

scientific publications, and for stand-alone (book) publications, i.e. for scientific publications of all scientific areas. Haslinger also talked about the FWF e-book library, an open access repository for all stand-alone publications funded by the FWF, which has been online since august 2012 but is still a work in progress.

The second part of this session focused on publishing models for Open Access Book publishing. Kathy Killoh offered the perspective of a small university publisher: Athabasca University Press, the first Open Access press in Canada established in 2007. As a non-traditional scholarly press, AU Press has strived to preserve the process and character of a traditional press with the goal of maintaining high-quality peer-reviewed products, while embracing Open Access and the rapidly changing e-publishing world. What drives them is the desire to increase the dissemination of knowledge, a wish to avoid commoditisation, privatization and corporate control of knowledge, and the public right to access. Killoh argues that we need to get away from commercial revenue business models. AU press builds on Athabasca University's 1% solution, where the university reserves 1% of their budget for publishing, which is seen as a core activity of the university. As Killoh argues, funding and support for Open Access book publishing should come from institutions. We need a reallocation of funds. This requires a change in thinking, as scholarly publishing needs to be valued more by institutions.

Bettina Goerner talked about SpringerOpen, which started with journals in 2010 and has recently expanded with Open Access books. Springer already has a successful ebook programme; its ebook collection consists of more than 50.000 titles. This programme is driven by ebook sales and Springer depends for its revenue on these sales. However, they are also selling printed books, so for Springer the sales strategy is very important. SpringerOpen books covers all scientific disciplines and the establishment of quality follows the process of traditional books. Their business model works via an APC model (article processing charge), based on average book costs of 15000 Euros. The APCS are needed to balance electronic revenues (the ebook isn't sold) and to balance part of the print sales (the print books of the Open Access titles are priced lower). An Open Access membership programme covers SpringerOpen Books, whichentitles member authors to a 15% loyalty discount. To the argument that fees are not fair on authors with less financial backing, Goerner replied that authors could still choose to publish in the traditional model. She also emphasised the need to give waivers to certain poorer countries, to ensure that they are not turned away.

Finally Margo Bargheer talked about her experiences at Göttingen University Press. She explained how the publishing scene in Germany is made up of small and medium enterprises. There are about 20 University Presses in Germany, controlled by their mother institution. They are defined to be a public service, which means they don't pay income tax. In this scene Open Access is almost a must-do, Bargheer explains. At GUP, daily business blends into university services, they are very dependent on these for their over-all functioning. GUP's overhead is covered by the library and the university, where the library decided it would be good for the university to set up an Open Access press. Revenues come from book sales and author fees. Each publication is subsidised for 50% by the university, which they find reasonable. In this respect GUP executes embedded publishing: in the university for the university. This model has cost saving potentials, and the press is a form of branding for the institution. The Open Access infrastructure is embedded within the institution, which means that economics don't dictate their publishing programme. The drawbacks of this model are however that every setback in the university affects the press directly. There are dangers of vanity

publishing, and the true costs of publishing might be too high or remain unknown. Furthermore, innovation or change is difficult to establish due to the economy of scale and the specific context that determines the publishing process and model.

The second session of the afternoon, chaired by Eelco Ferwerda, focused on how stakeholders see Open Access books. Caren Milloy presented the first results of OAPEN-UK, a 4-year research project that is exploring an Open Access model for publishing HSS monographs in collaboration with publishers, research funders, researchers and institutions. Milloy reported the results of a survey of 700 academics undertaken in Spring 2012 with a focus on their attitudes towards and perceptions of creative commons licensing, the services their publishers provide, open access business models and the impacts of open access on the scholarly environment.

Janneke Adema presented the first outcomes of the Directory of Open Access books (DOAB) user needs research, zooming in on the main discussion points of the online discussion amongst stakeholders that DOAB organised in July, and on some preliminary results of the DOAB survey amongst stakeholders. Results showed a wide array of opinions related to quality, licensing of Open Access books and Open Access funding models.Standards and prescriptive models were on the one hand applauded to create trust and quality insurance, but on the other hand critiqued for their inflexibility and their potential stifling of innovation and critique.

During the final panel discussion a set of questions was addressed focussing on what the requirements for Open Access books should be.

- Should there be a specific format for Open Access books (such as html, xml, PDF)?
- Should users be able to download Open Access books or is it sufficient if you can read them online (i.e. Google Books)?
- What sort of license is required in the case of Open Access books?
- What sort of quality control would be required for Open Access books?
- Are there minimum requirements in any of these areas?

The discussion also focused on the potential role of OASPA in establishing standards for Open Access book publishing, and on whether in the future the book will converge with articles in an Open Access world.

Appendix 2: DOAB Online Discussion Summary

The discussion largely focused on 3 main topics:

1. What is an Open Access Book?
2. What are suitable (requirements for) funding schemes/business models for Open Access books?
3. How do we establish the quality of Open Access Books?

1. What is an Open Access Book?
For a large part the discussion boiled down to whether Open Access means: access to the content only (free to read), or whether it also implies: access to the source to facilitate modification (re-use). Proponents of free to read argued also that some authors might feel more comfortable with read-access only, while changes to the content itself are seen as something they might not be comfortable with. Access is already an improvement to keeping knowledge behind pay walls. As some argued, the flexibility of the Creative Commons licenses has been very important in convincing scholars to try out Open Access at all. Rupert Gatti from Open Book Publishers stated: 'Clearly, making works free to read already has a huge impact on the dissemination of knowledge.' We first need to show more clearly what substantial social benefits *free* to read has over *pay* to read. As one of the discussants said: 'The removal of constraints on the conduct of research by making research freely accessible, is the decisive practical argument for Open Access (together with the moral argument based on public accessibility).'

Also mentioned were the problems with rights for images in books and whether we perhaps need to have separate licenses for different segments of books. As librarian and scholar Heather Morrison stated: 'One consequence of the need for different rights for different materials, is that any rigid insistence on an open access book having the same rights applied to every bit of content within the book, will limit the content that can be included in the OA book.'

Discussants in favour of a more liberal license often made comparisons with free software: gratis, as free to use, would not have pushed the world of free software forward, and would not have enabled the collaborative production of for instance Linux, Apache and Firefox. As Rafael Morales said: 'I am worried by the possibility that by aiming too short we would reach even shorter.' Others referred to the main Open Access definitions and declarations, which define Open Access as including Libre Access, hence re-use is seen as an essential part of Open Access according to the larger Open Access community. Adam Hyde mentioned with respect to the integrity of a scholars work, that publishing has always been a collaborative effort, single authorship is a myth. Putting it online just makes it easier for the collaboration to occur. Hence for him write access is a must.

However, as scholar and librarian Heather Morrison argued, free to read / free to re-use is not just a simple dichotomy, and it is best to consider this question in a more nuanced way. With free to read online, there are rights for readers such as rights to print, download, save for personal use, and share with colleagues. Then there are re-use rights for the reader, such as rights to make changes to personal copies—write access (add notes, comments, etc.) and there are commercial re-use rights etc. Media theorist Gary Hall agreed: Open Access is not one thing. However, he noticed a reluctance amongst book publishers to use less restrictive Open Access licenses. An examination of

the licenses used on two of the largest open access book publishing platforms or directories—OAPEN and DOAB—shows that only a small minority of the licenses used are CC-BY or CC-BY-NC. Hall appealed for a critique of Creative Commons licenses, where its concern is with reserving rights of copyright owners rather than granting them to users, they offer a reform of Intellectual Property Right, not a critique.

Media Theorist Joanna Zylinska argued that for her Open Access is foremost an intellectual opportunity to do something conceptually and politically significant within the realm of institutional practices. It offers an opportunity to rethink our educational system; ideas of 'the university', 'the student', and 'the book'; as well as the publishing industry. She argued clearly that the intellectual underpinning behind Open Access needs to be clear to catch on with academics in critical arts and humanities disciplines. According to Zylinska this means Open Access has to speak about creative alternative modes of knowledge production, needs to provide space for experimenting and must not be closed down too early by technicist discussions about licensing and copyright, for academics might then feel that, quote: 'It's yet another technocratic managerealist solution imposed on them from above because the funding regimes for the traditional modes of publication have been found wanting.'

JISC's Caren Milloy argued that although most of us would love to see re-use as a part of the OA definition of books, in the current environment and phase it will limit our success and could be detrimental towards opening up access which is a key priority. She mentioned the results of JISC's survey amongst researchers which shows that the large majority of scholars prefer the most restrictive Creative Commons License, where derivatives are seen as their main concern.

Gary Hall on the other hand remarked that, although we might run the risk of alienating the researcher community with more open licenses, a more restrictive vision towards Open Access books might alienate other communities, such as the free software and open education movement, but more importantly 'There's been a recent shift in Open Access initiatives and funders mandates toward libre OA and with it CC-BY licenses that allow such re-use. To a large extent this turn toward libre OA can be seen as being motivated by a concern not just for open access to the research, but open access to the data too, including the right to mine texts and data.' Data mining can be blocked by permission barriers and even by CC-by attribution licenses. With cross-article analysis of patterns, it is effectively impossible to identify all relevant attributions. As Hall concluded, can we afford to alienate ourselves from these concerns and more importantly, will we be allowed to?

2. What are suitable (requirements for) funding schemes or what are suitable business models for Open Access books?

Should for instance simply providing access be the most important requirement, especially seen from a more international perspective? Adam Hyde argued with respect to business models that, to move forward in the online world, sustainable models for Open Access should not focus on the resale of artefacts but on collaborative production processes, new forms of production will be needed in the online world. Another discussant added that discarding the paper version should be a first market to be exploited by possible Open Access publishers as this might cut much direct and indirect costs. In addition to this some said a strategy could be to make an online html version available Open Access, while selling PDFs or e-book versions for small sums. Although digital transformations are not difficult or expensive, there might be a market for them as a service too. Another option mentioned was that consumers could be offered a

choice between an unenhanced and an enhanced version of a book. As Scholar Malcolm Heath wrote: I've been known to buy print copies of books that I've discovered in Open Access digital format. The distinction between research content (we've paid for that already) and added value (which people will be willing to pay for, if they are actually valuable) seems to me fundamental.

Scholar and publisher Rupert Gatti connected the funding question to the discussion on licenses. He described the business model of Open Book Publishers as based half on revenue in the form of grants raised by authors and half on the sales of print and digital editions. He states, 'To date we have been reluctant to publish a work CC BY without a significant proportion of overall publication costs being met pre-publication, worried that CC BY will reduce our ability to support post-publication revenue streams. We lack both the evidence to support those concerns, and the financial strength to risk experimenting to find out!'

He said that it was the availability of a range of CC licences that allowed Open Book publishers to develop and experiment with innovative revenue streams. Gatti is however concerned about relying on receiving publication grants through research funding bodies as the only revenue source or business model. He is concerned about the institutional control it may allow commercial publishers to maintain over the academic publishing process. Furthermore, in the humanities and social sciences many authors don't have access to research grants to support publication in the same way many scientists do.

Other business models were mentioned too. Joana Zylinska mentioned that all the Open Access projects she has been involved in have been developed with little to no funding coupled with lots of goodwill from people from all over the world. Frances Pinter from Bloomsbury Academic wrote about her pilot project with Knowledge Unlatched, a not for profit, Community Interest Company which will establish an international library consortium to pay for the origination costs of monographs in the form of a Title Fee – in return for open access, which might work as a potentially viable business model.

Finally Angela Holzer from the Deutsche Forschungsgemeinschaft stated that although they have the tendency to set a re-use license as the standard for funded pilot projects, she has begun to wonder if funders being prescriptive in this realm will not in fact be detrimental to their aim if they want to follow user needs. However, she also talked about the responsibility funders have for developing the OA infrastructure in a way that allows for text mining and other digital humanities methods and how it might be best to require and establish such standards, provided that the researchers who publish understand their legal situation. So for now she concluded she would be inclined to at least require re-use licenses as a common standard for funded projects.

3. How do we establish the quality of Open Access Books?

Suggestions were made that it would be very valuable if the evaluation procedure would be available/visible within the book as well as in the books metadata and in digital repositories, making the review practices visible and clear. Caren Milloy opted for using some sort of icon system for peer review like Creative Commons uses. But is it really necessary to change the way we communicate peer review with ebooks? With print books the peer review information is not disclosed and faith is often placed in the reputation of the publisher (although often misplaced). Isn't the issue of peer review independent from Open Access and ebooks? DOAB's Eelco Ferwerda replied negatively as he stated: 'The notion of vanity publishing and the emergence of so-called predatory

publishers are examples of how Open Access publishing and quality control get tied together.'

Heather Morrison made a plea for the importance of the publisher's reputation and suggested that we might need a rigorous evaluation of (new) publishers to ensure that they are following appropriate practices, perhaps regulated by senior scholars possibly in conjunction with established publishers or by institutions such as OASPA. Or perhaps an independent organisation should audit and review publishers against set criteria via the logic of a seal of approval. As Caren Milloy stated, we need to help new Open Access publishers be trusted by the academic community - especially as we know trust in Open Access is a critical factor. Audit criteria could for instance include peer review procedures, preservation and archiving policies, metadata requirements, and license policy. Eelco Ferwerda summarised that there are a few options that we might decide to follow:

- force strict peer reviews on all procedures
- identify a number of adequate forms of quality control
- aim to make peer review procedures transparent.

As some discussants remarked, there are differences in what constitutes appropriate quality control, which may vary by discipline from double-blind review to a combination of peer review and expert editorial control. Being prescriptive could exclude some good new OA publishers, therefore the system needs to be open enough, also to account for new methodologies such as open peer review. Malcolm Heath brought the discussion back to what peer review is actually about from the perspective of a scholar: to help publish something that is as good as it can be. For him as an author it is not about quality control so much as it is about quality enhancement. As he stated: 'A peer review *policy* won't necessarily reveal the peer review *culture*, which is much more important to me as an author.' Rupert Gatti professed his fear of having industry define standards for acceptable publishers, as they run the risk of being controlled by established vested interest and can be used to stifle innovation and entry. Standards can be beneficial provided that they are for instance run independent from the producers, and that they are flexible and open to including new initiatives in their assessment process. As both Ferwerda and Gatti proclaimed grant giving bodies are in the wonderful position of being able to force researchers and academics to accept new practices they may be reluctant to voluntarily adopt – and they shouldn't be afraid to exercise that power. But to allow innovation they need to be flexible in their requirements

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PART 1 – PROFILE QUESTIONS

Figure 1. All Stakeholders - Field of Occupation (N=202)

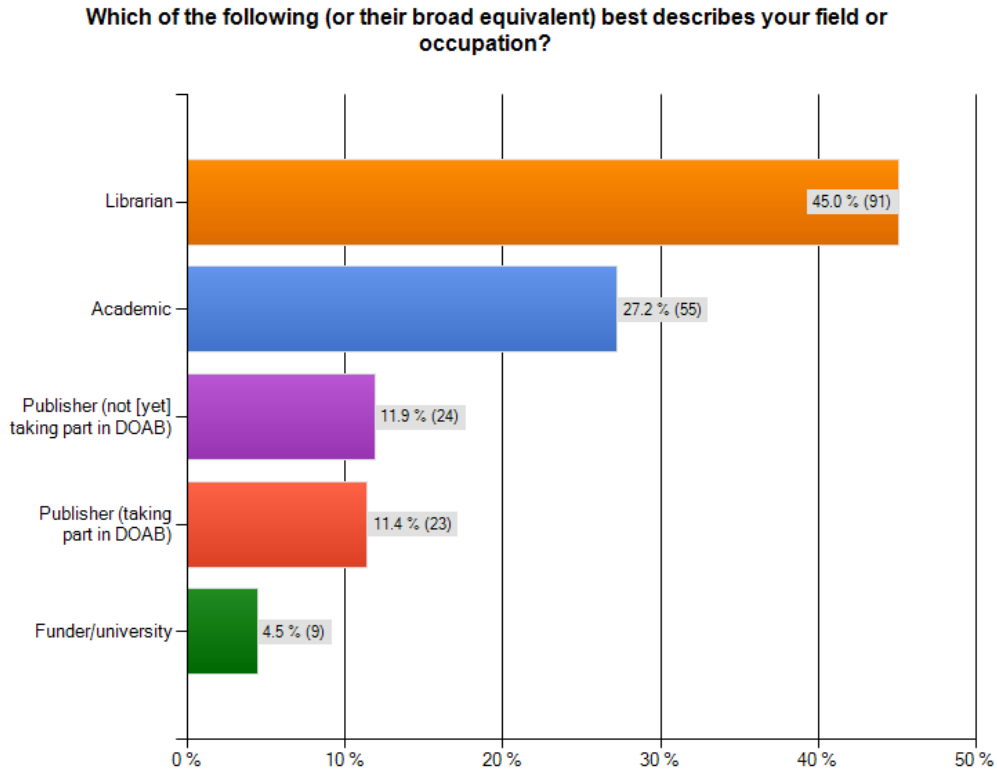
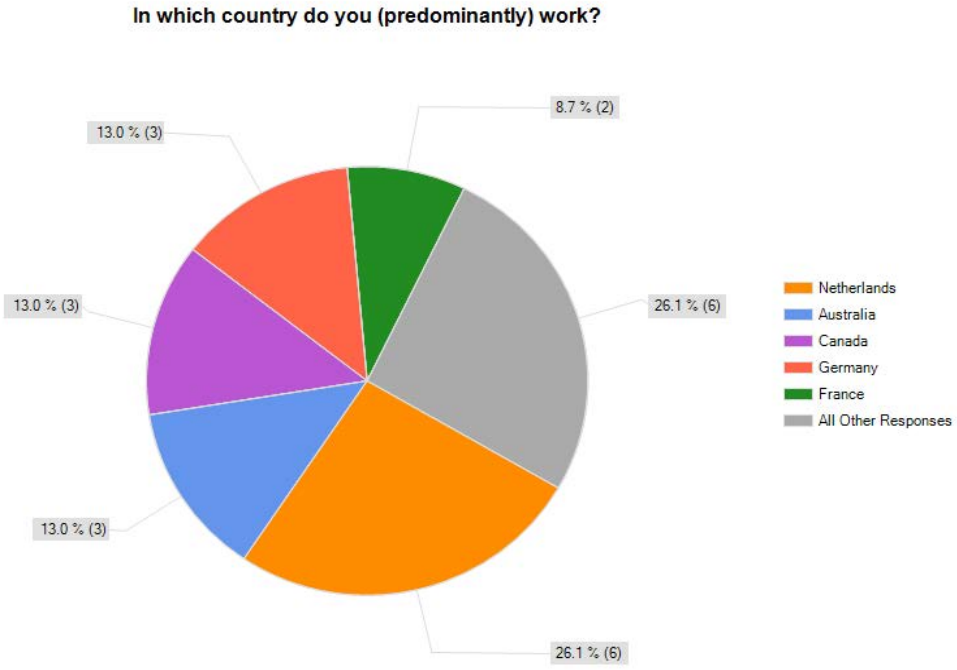


Figure 2. Publishers (DOAB) - Country of Employment (N=23)



PART 1 – PROFILE QUESTIONS

Figure 3. Academics - Country of Employment (N=54)

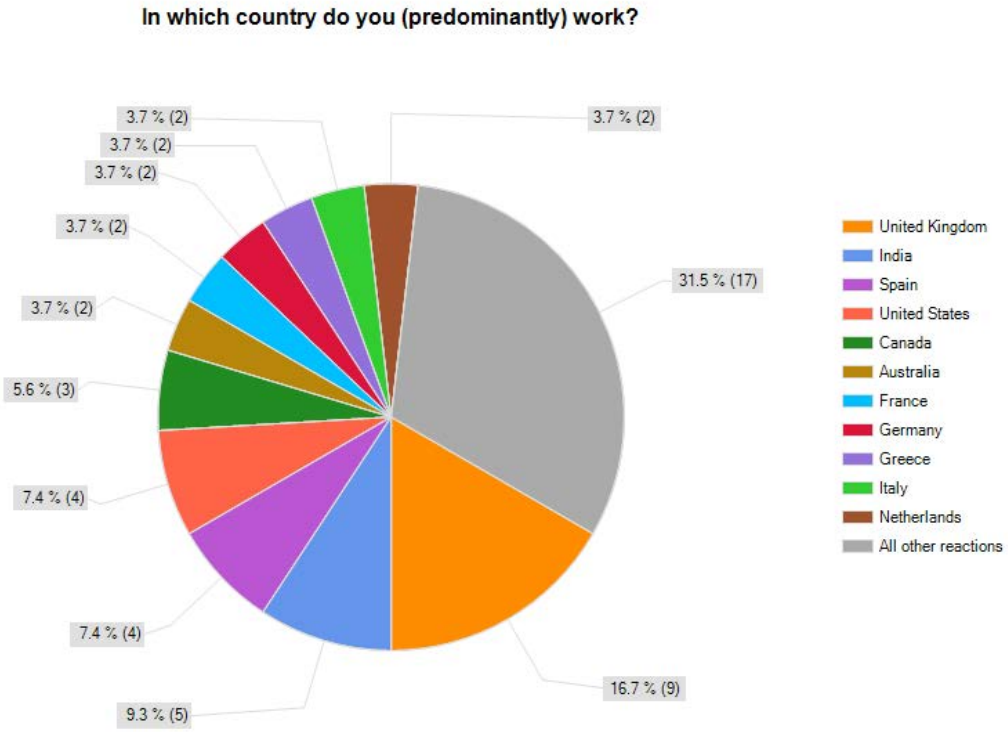
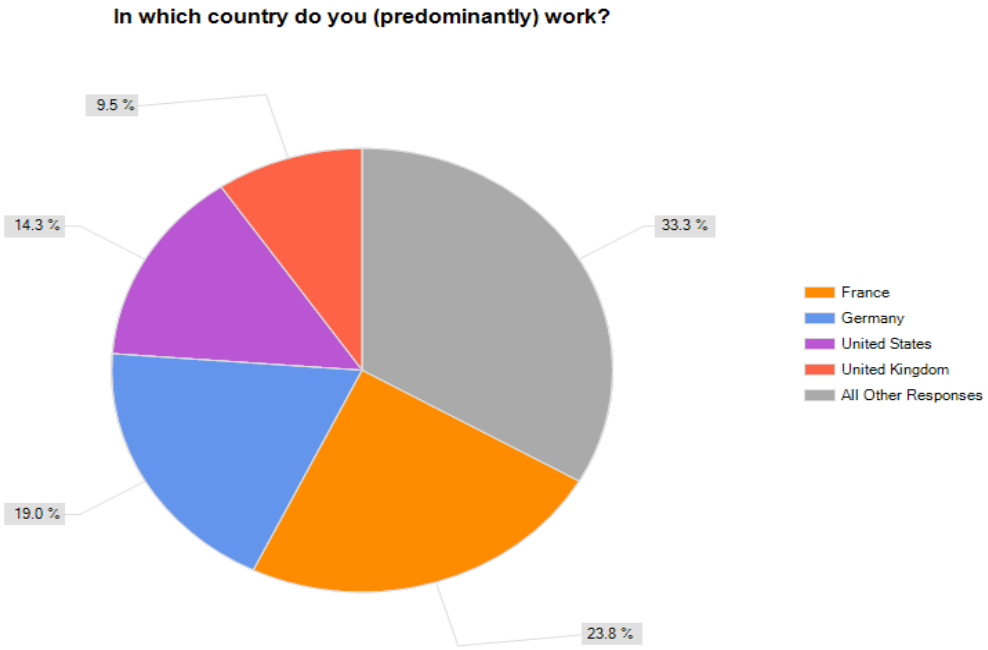


Figure 4. Publishers - Country of Employment (N=21)



PART 1 – PROFILE QUESTIONS

Figure 5. Librarians - Country of Employment (N=86)

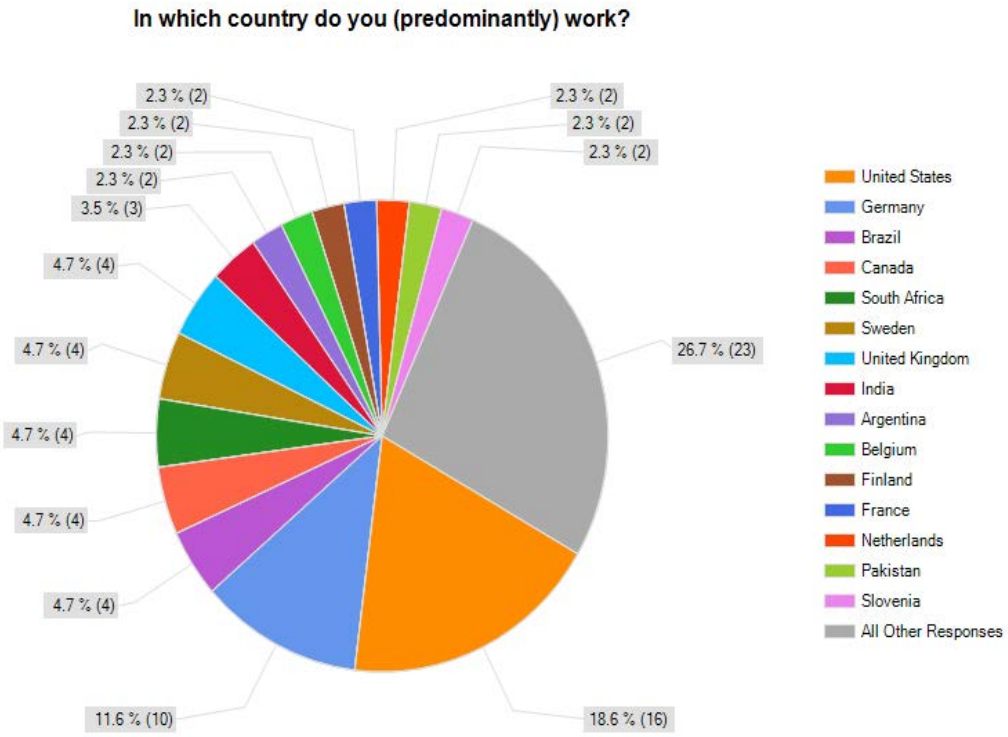
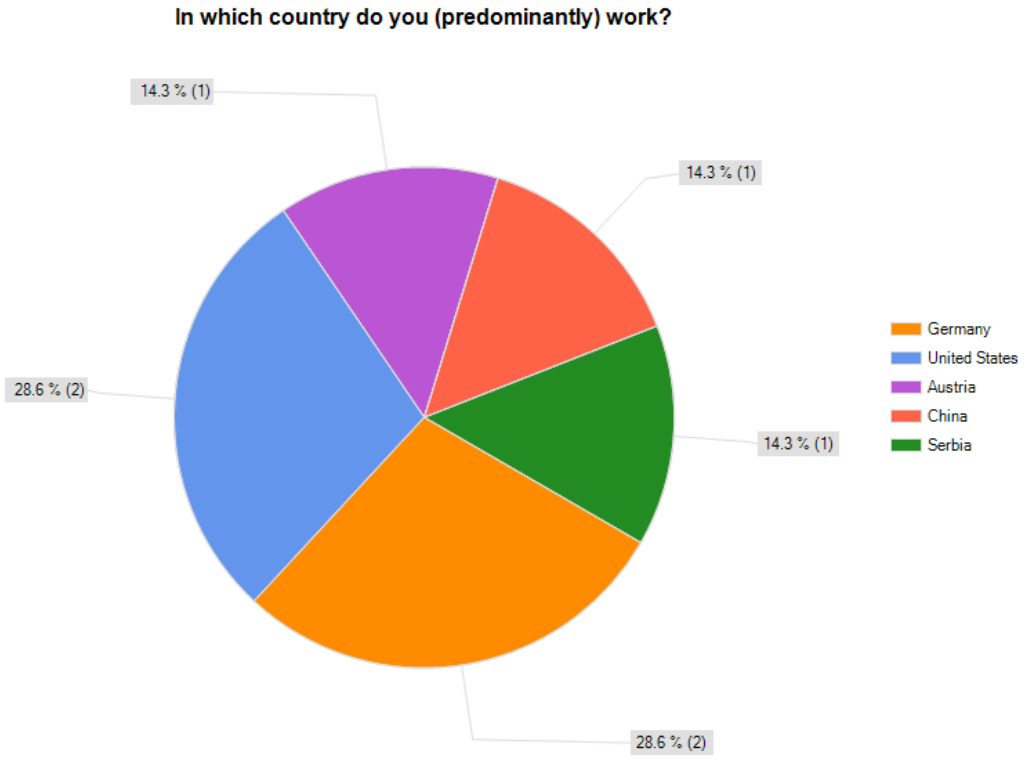


Figure 6. Funders - Country of Employment (N=7)



PART 1 – PROFILE QUESTIONS

Figure 7. All Stakeholders - Country of Employment (N=191)

Answer Options	Response Percent	Response Count
United States	13.6%	26
Germany	11.0%	21
United Kingdom	8.4%	16
Canada	5.8%	11
France	5.8%	11
Netherlands	5.8%	11
India	4.2%	8
Australia	3.1%	6
Belgium	2.6%	5
Brazil	2.6%	5
Spain	2.6%	5
Sweden	2.6%	5
South Africa	2.1%	4
Austria	1.6%	3
Italy	1.6%	3
Argentina	1.0%	2
Croatia	1.0%	2
Denmark	1.0%	2
Finland	1.0%	2
Greece	1.0%	2
Latvia	1.0%	2
Mexico	1.0%	2
Pakistan	1.0%	2
Portugal	1.0%	2
Slovenia	1.0%	2
Switzerland	1.0%	2
Uruguay	1.0%	2
Albania	0.5%	1
Armenia	0.5%	1
Bosnia Herzegovina	0.5%	1
Bulgaria	0.5%	1
China	0.5%	1
Costa Rica	0.5%	1
Czech Republic	0.5%	1

Egypt	0.5%	1
Ghana	0.5%	1
Guyana	0.5%	1
Indonesia	0.5%	1
Japan	0.5%	1
Kenya	0.5%	1
Lebanon	0.5%	1
Luxembourg	0.5%	1
Mozambique	0.5%	1
Nepal	0.5%	1
Nigeria	0.5%	1
Norway	0.5%	1
Philippines	0.5%	1
Poland	0.5%	1
Romania	0.5%	1
Saudi Arabia	0.5%	1
Serbia	0.5%	1
Thailand	0.5%	1
Turkey	0.5%	1
Zambia	0.5%	1

Figure 8. Publishers (DOAB) - Books Yearly (N=23)

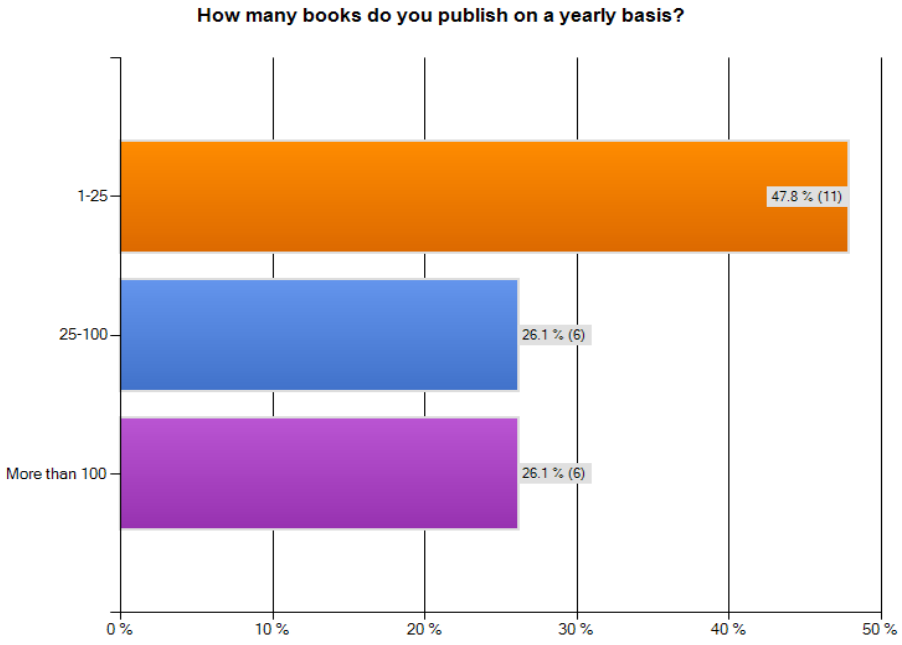


Figure 9. Publishers - Books Yearly (N=20)

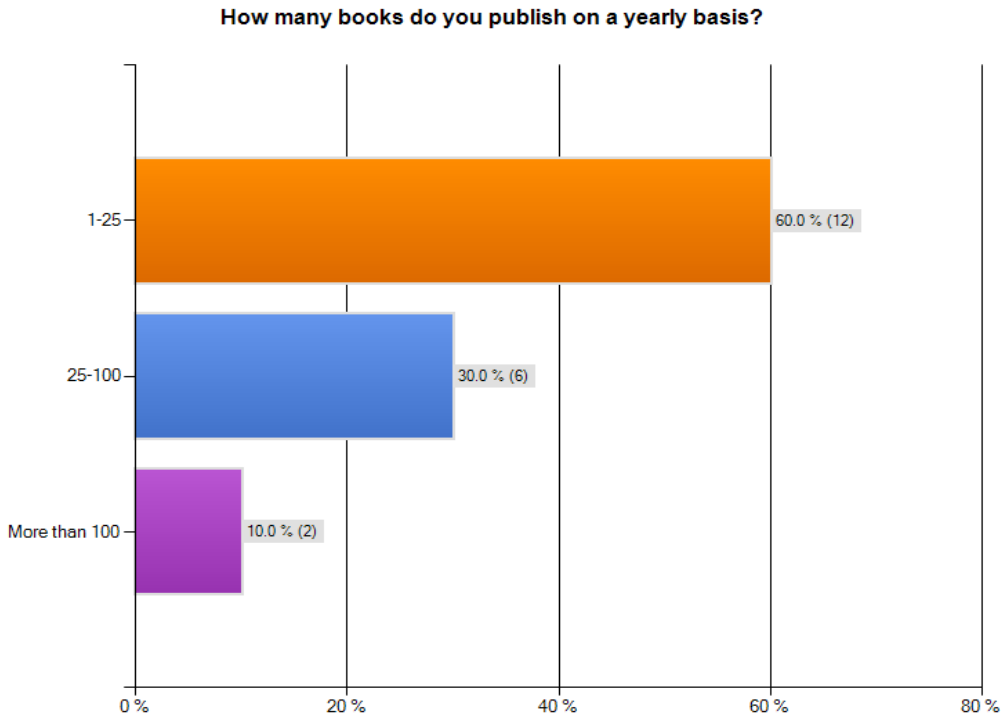


Figure 10. Publishers (All) - Books Yearly (N=43)

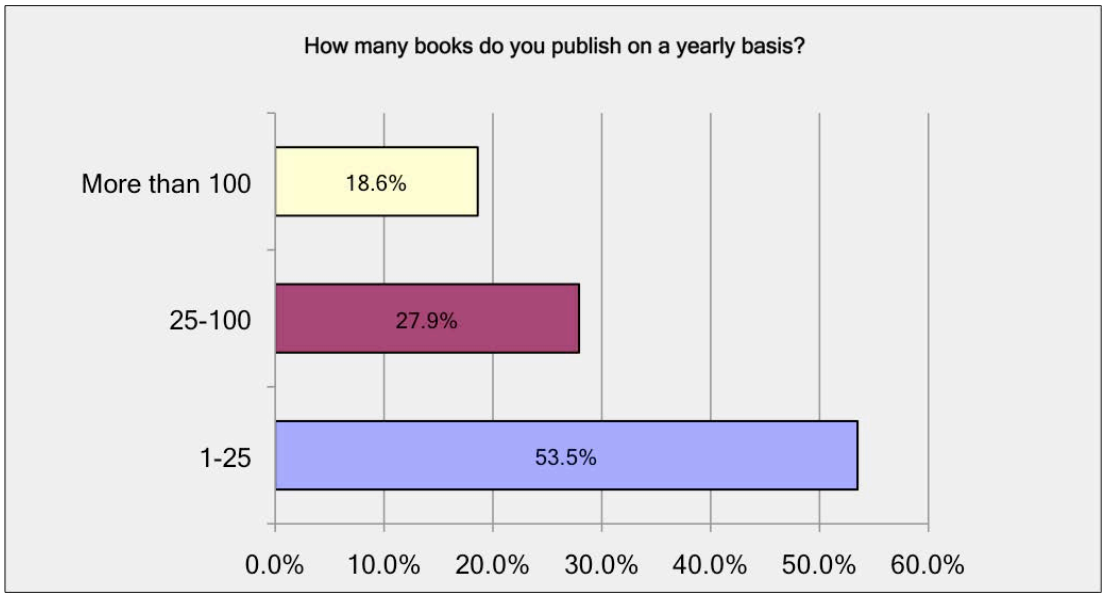


Figure 11. Publishers - Electronic Publishing Program (N=21)

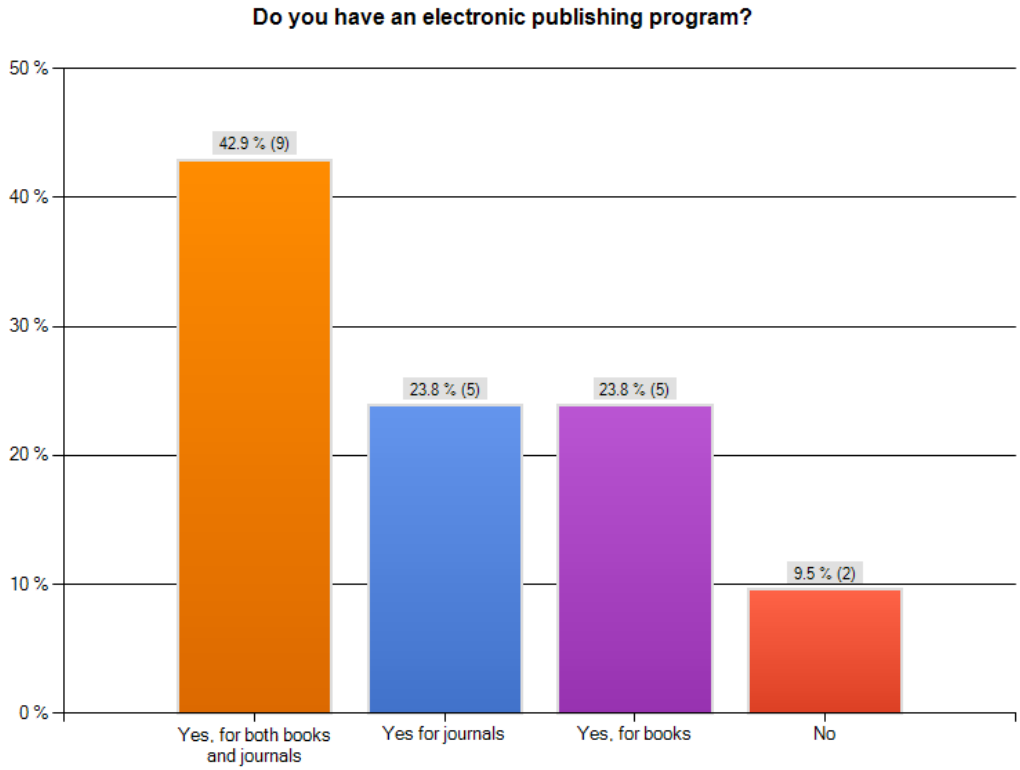


Figure 12. Publishers - Open Access Experience (N=21)

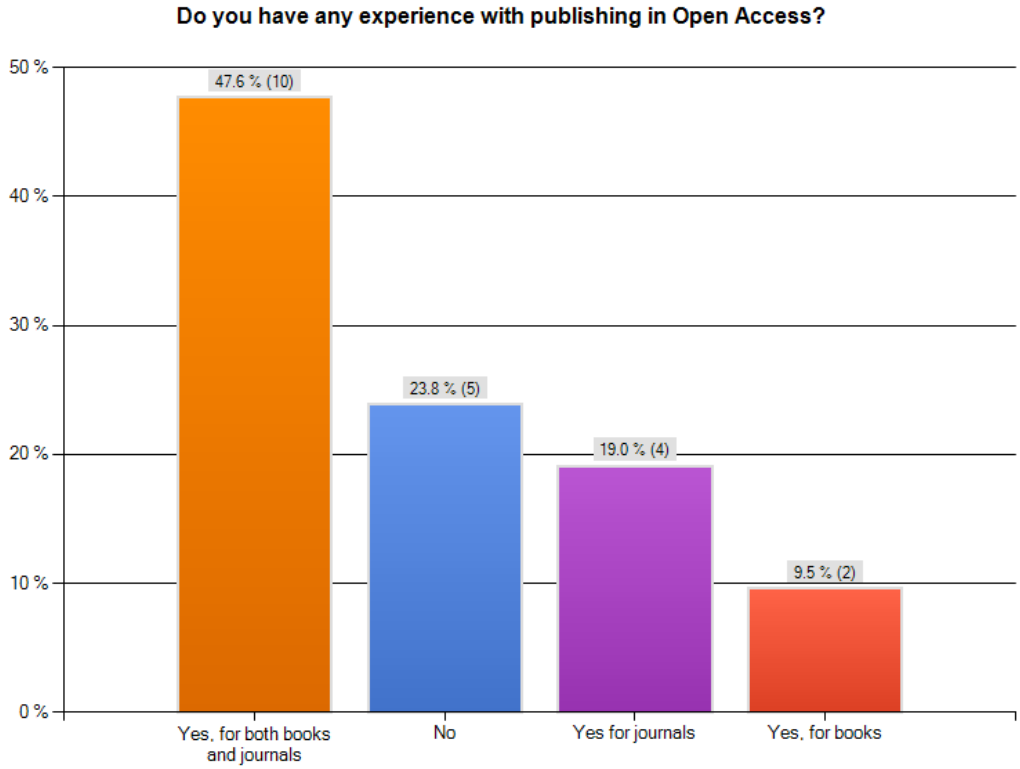


Figure 13. Academics - Scholarly Discipline (N=54)

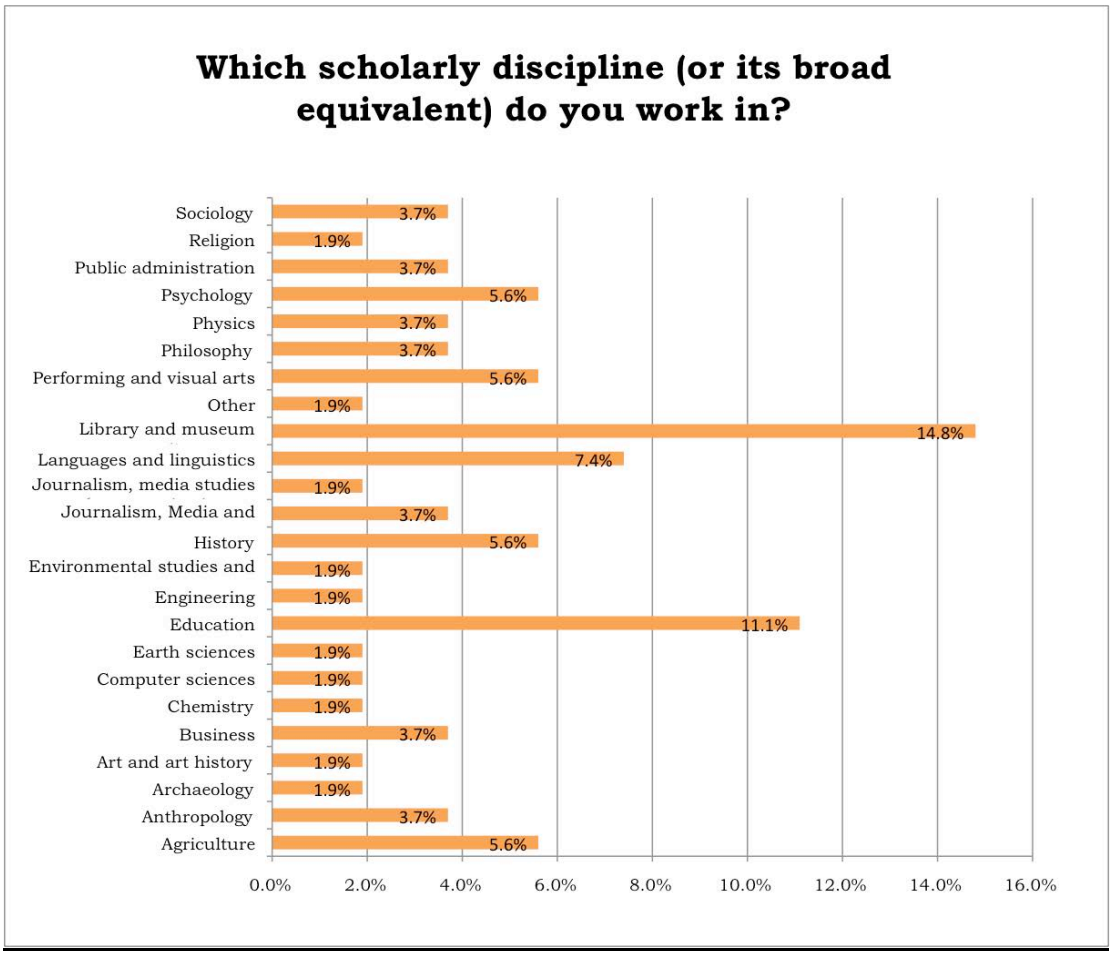
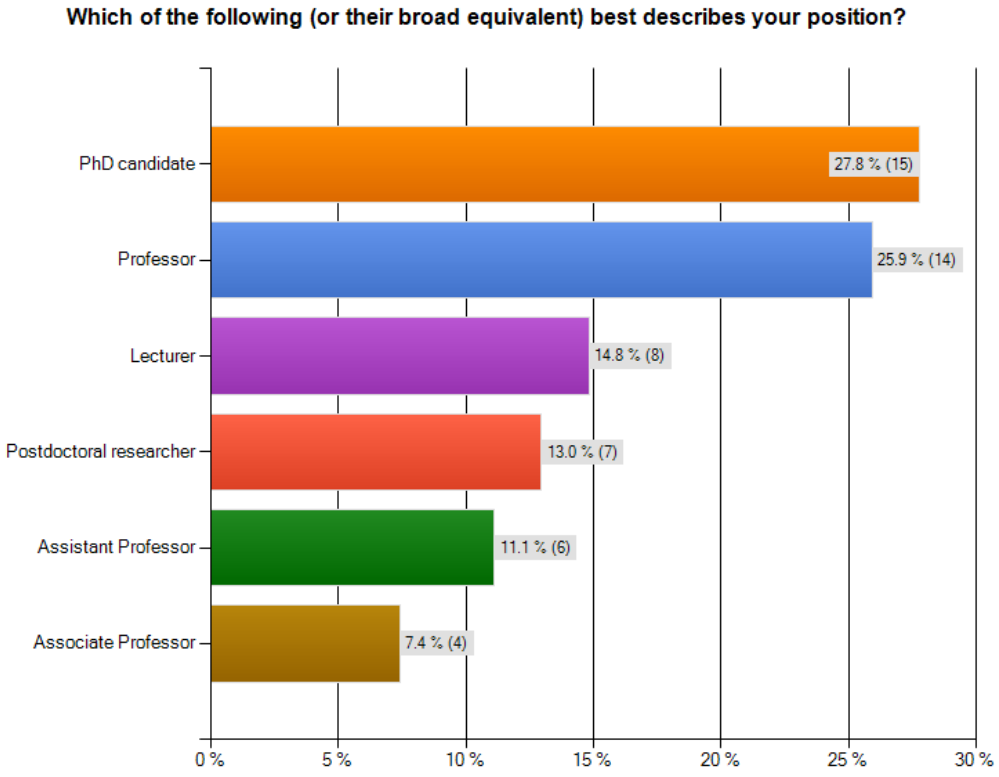


Figure 14. Academics - Position (N=54)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 15. All Stakeholders - Communication Values (N=161)

(3=Neutral, 4=Important, 5=Very Important)

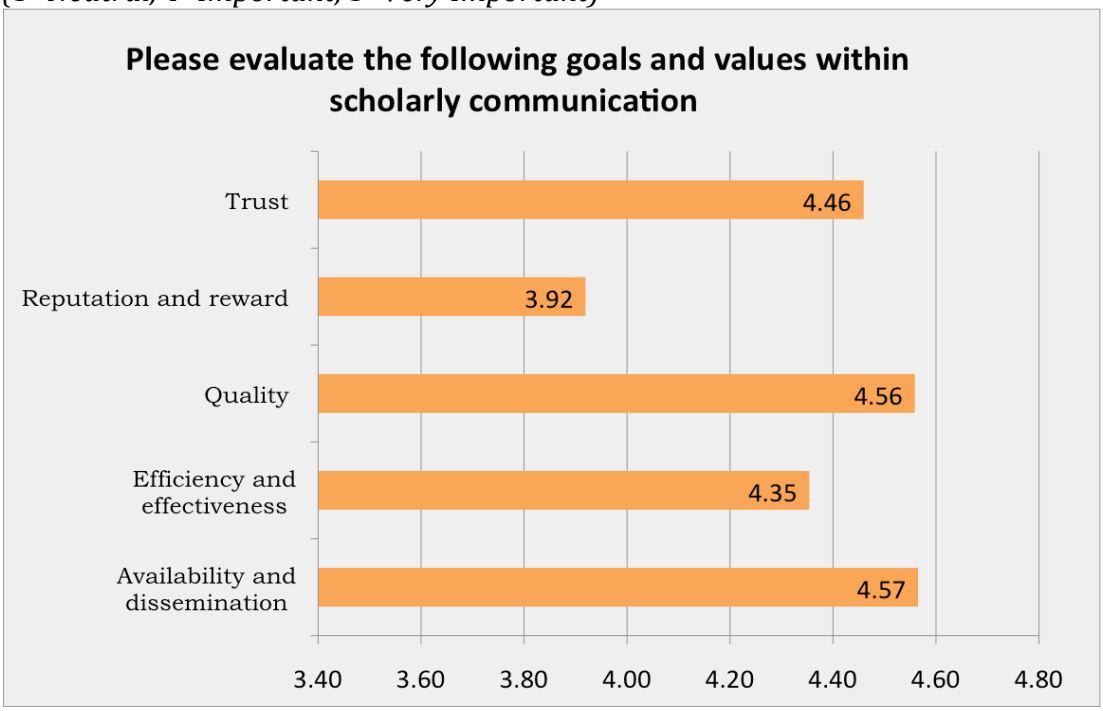
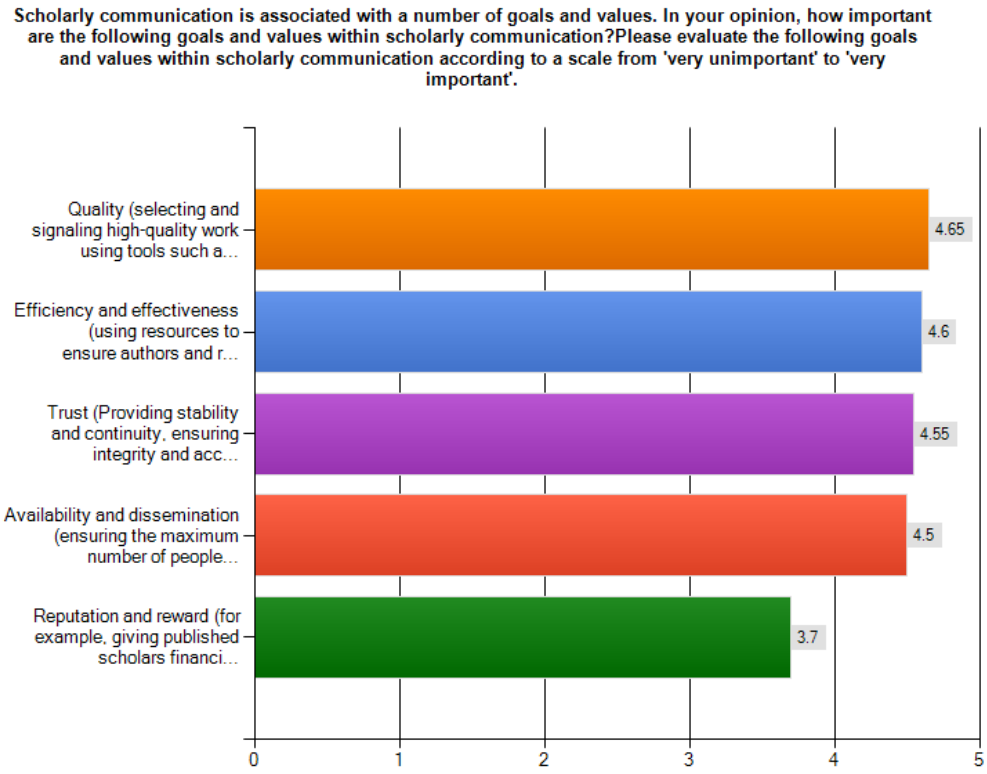


Figure 16. Publishers (DOAB) - Communication Values (N=20



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 17. Academics - Communication Values (N=51)

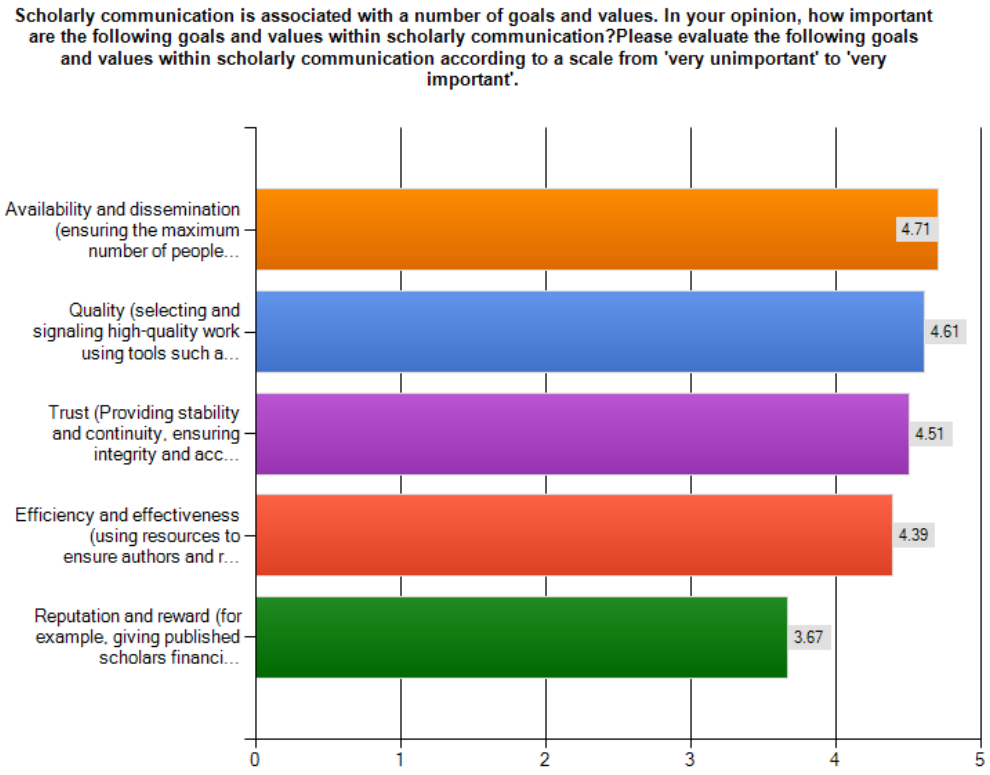
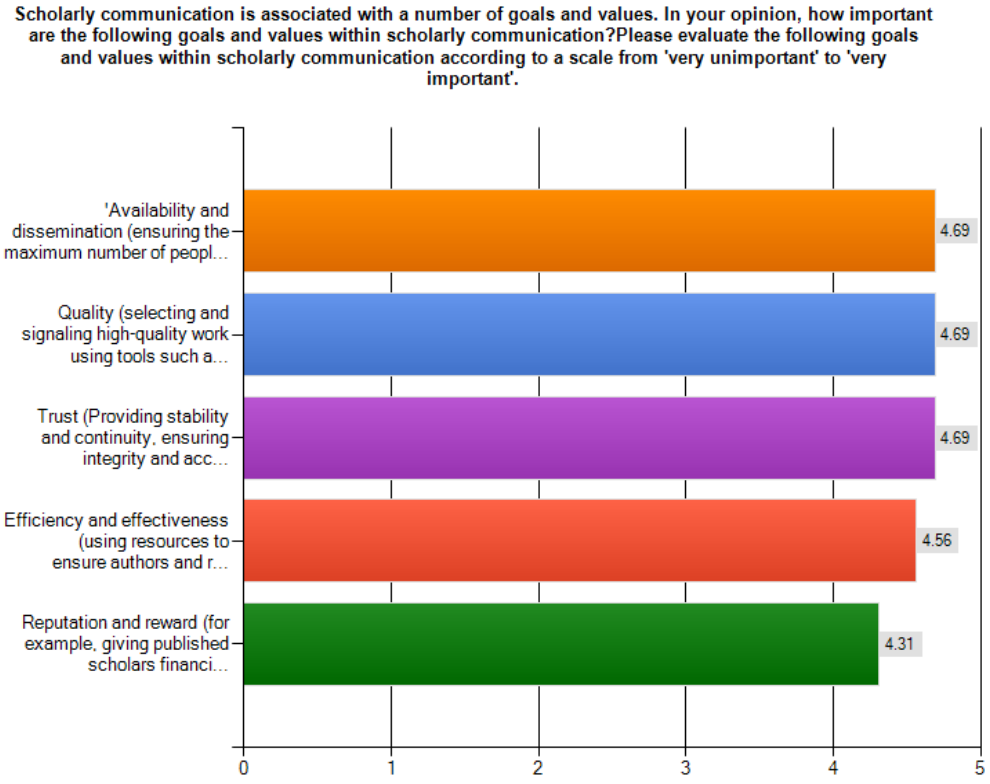


Figure 18. Publishers - Communication Values (N=16)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 19. Librarians - Communication Values (N=68)

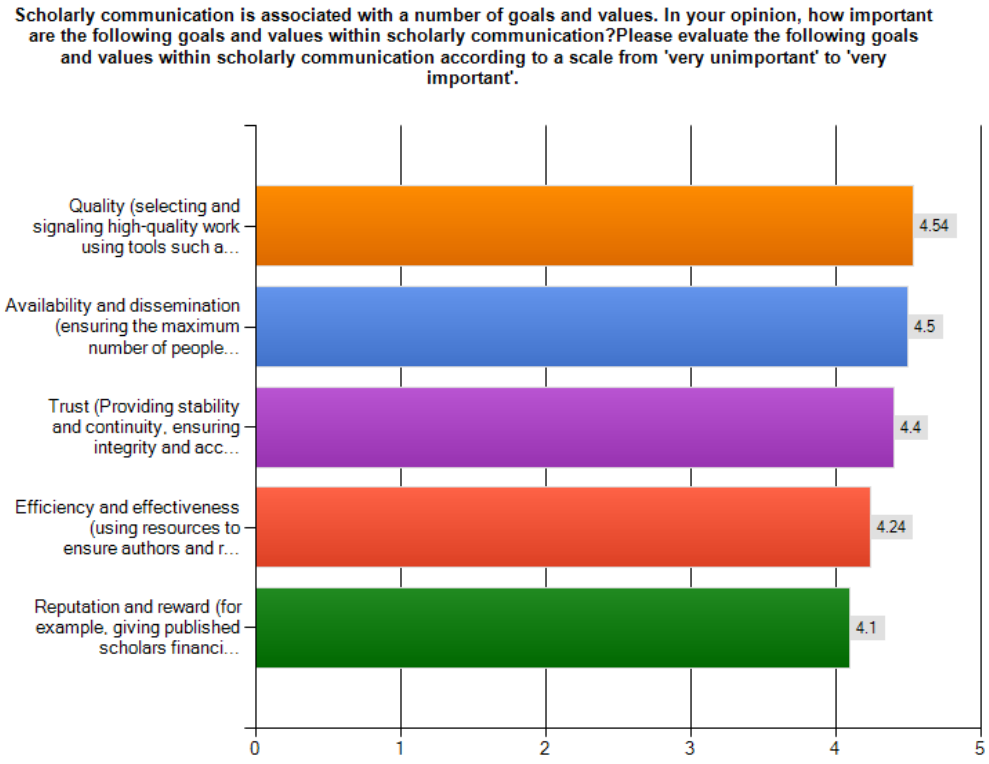
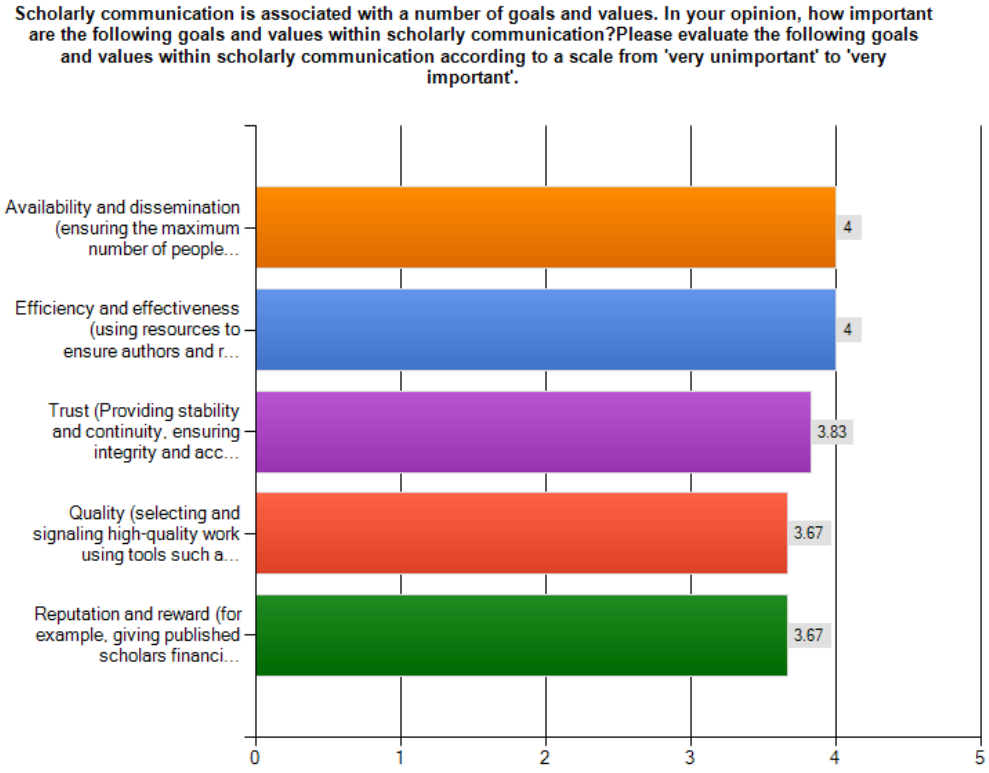


Figure 20. Funders - Communication Values (N=6)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 21. All Stakeholders - Influence OA on Communication Values (N=159)

(3=Neutral, 4=Promotes a bit, 5=Promotes significantly)

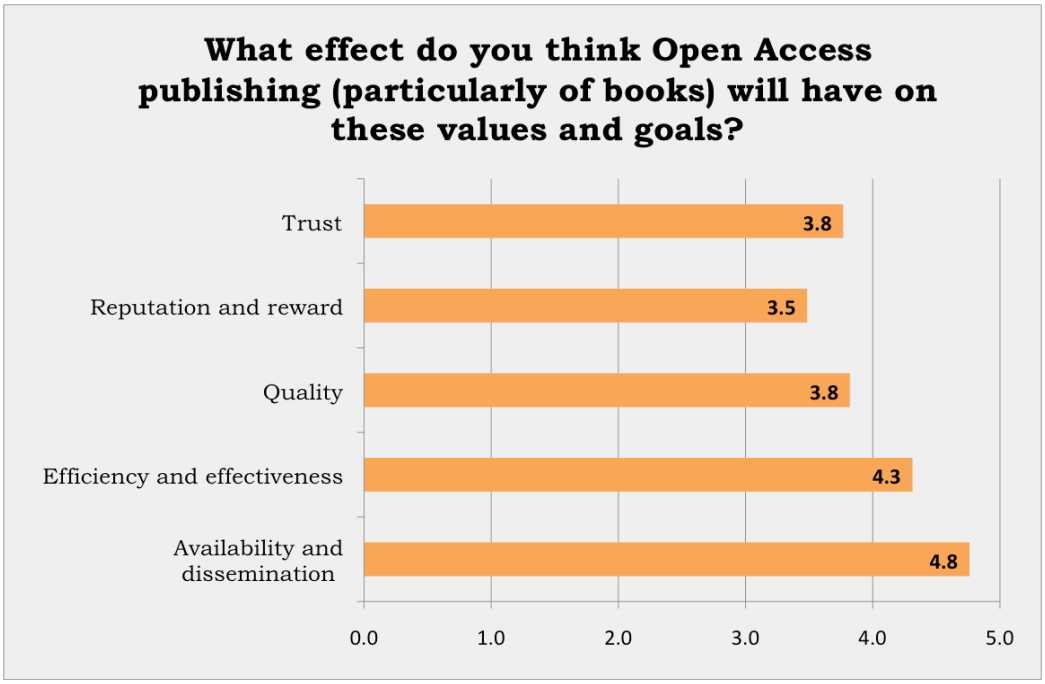
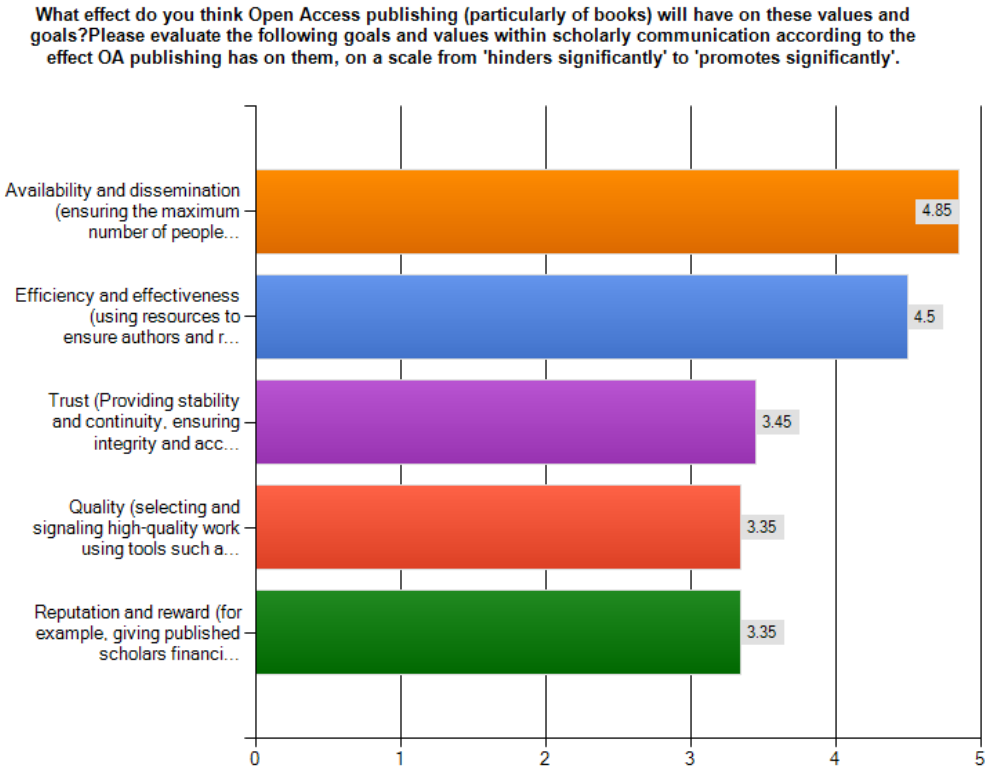


Figure 22. Publishers (DOAB) - Influence OA on Communication Values (N=20)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 23. Academics - Influence OA on Communication Values (N=51)

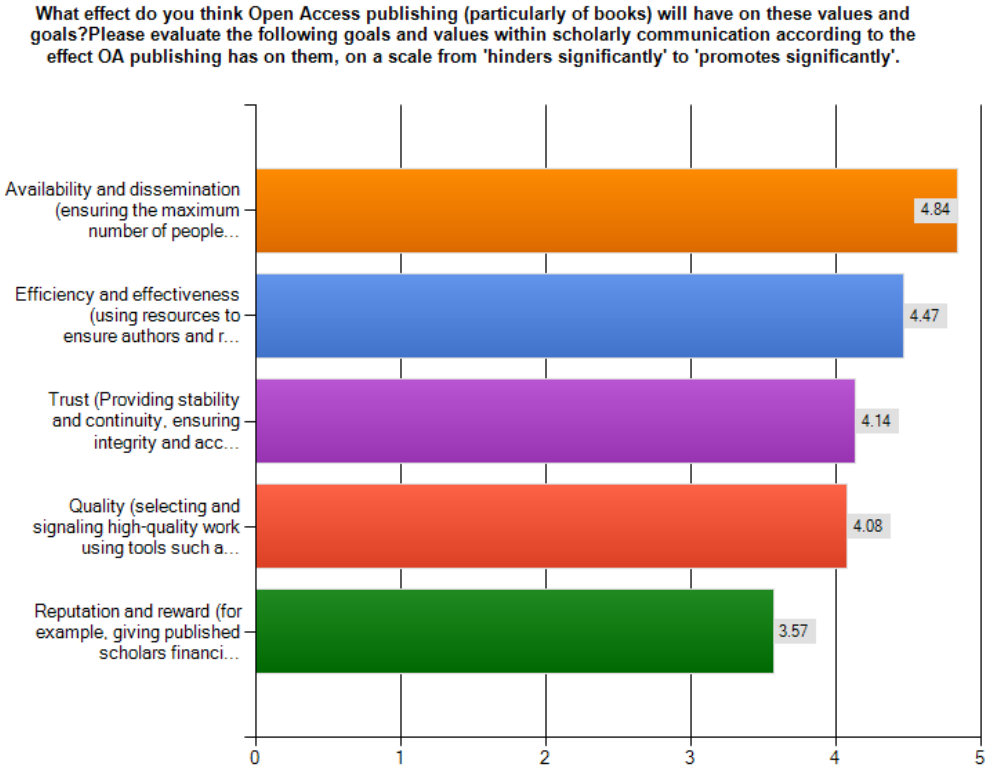
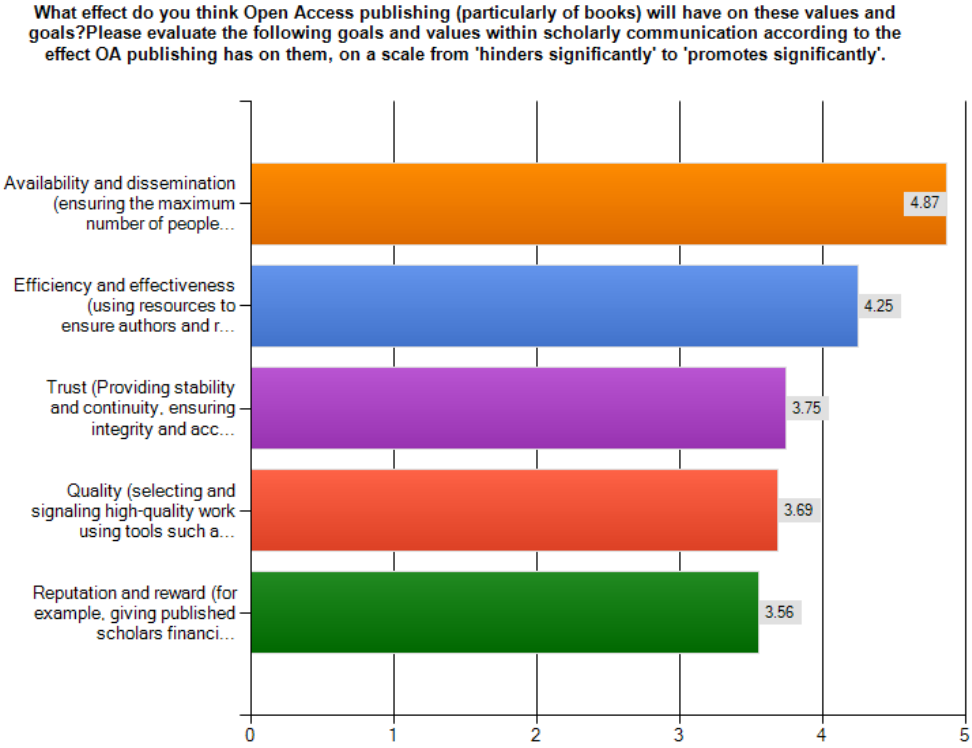


Figure 24. Publishers - Influence OA on Communication Values (N=15)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 25. Librarians – Influence OA on Communication Values (N=67)

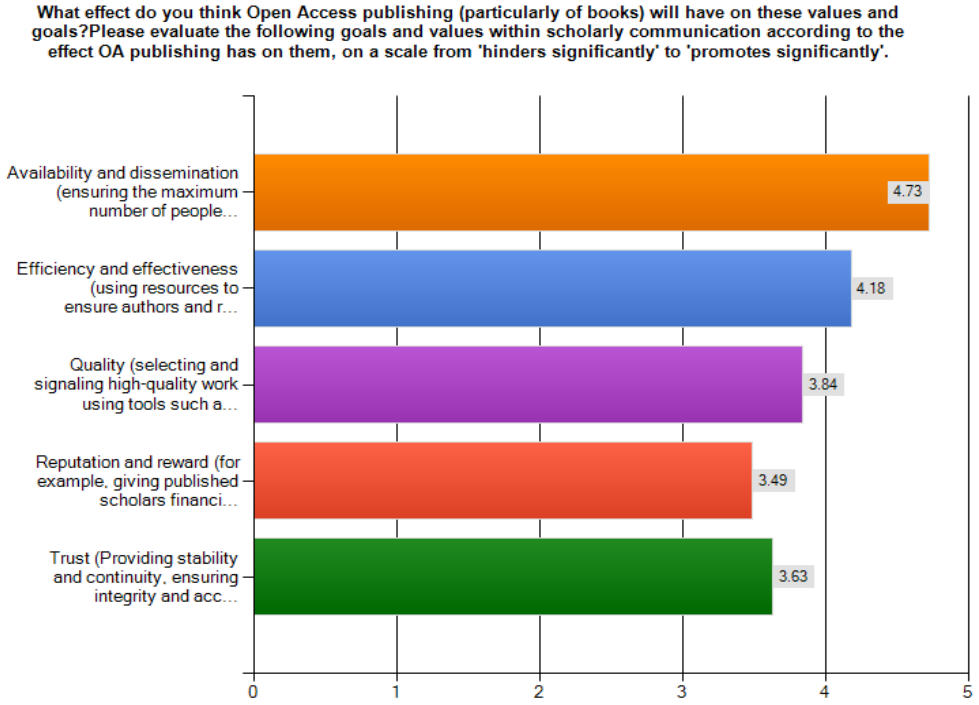
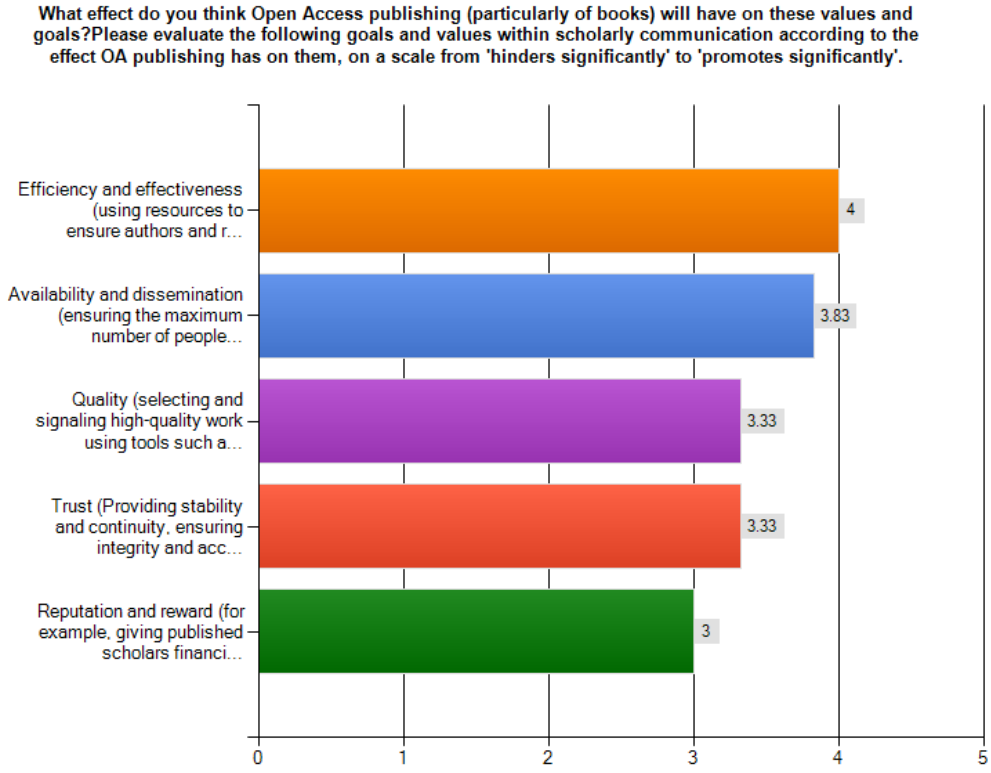


Figure 26. Funders - Influence OA on Communication Values (N=6)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 27. All Stakeholders (-Publishers DOAB) - Familiarity with Open Access (N=141)

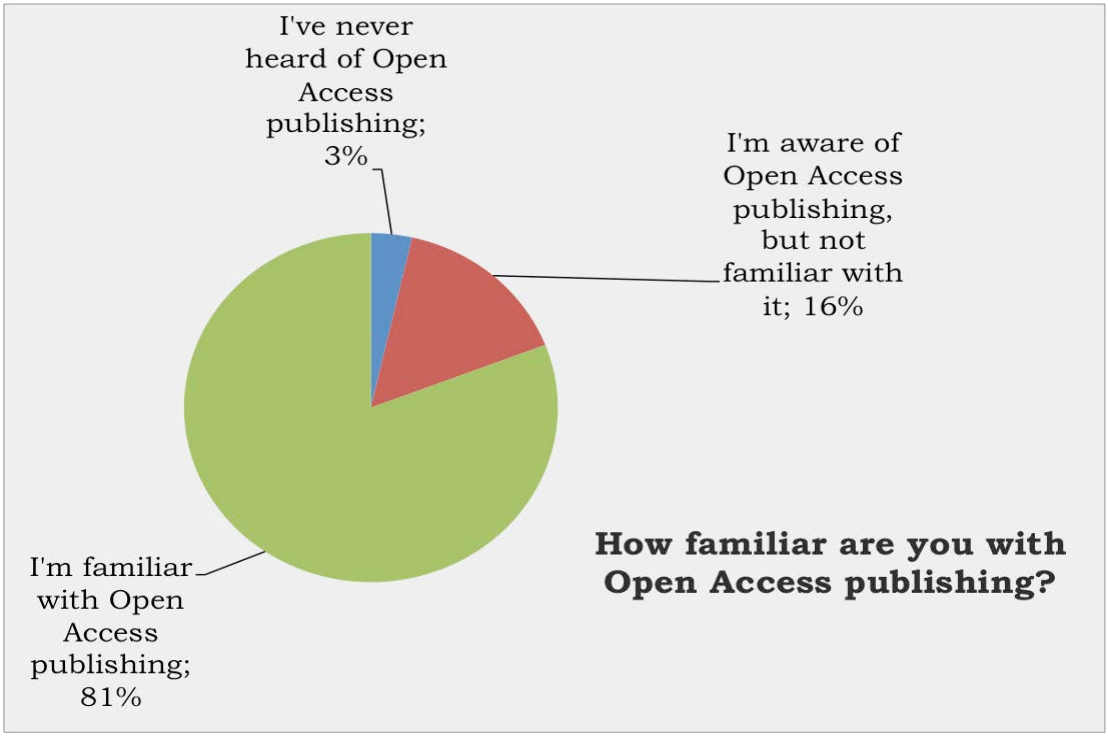
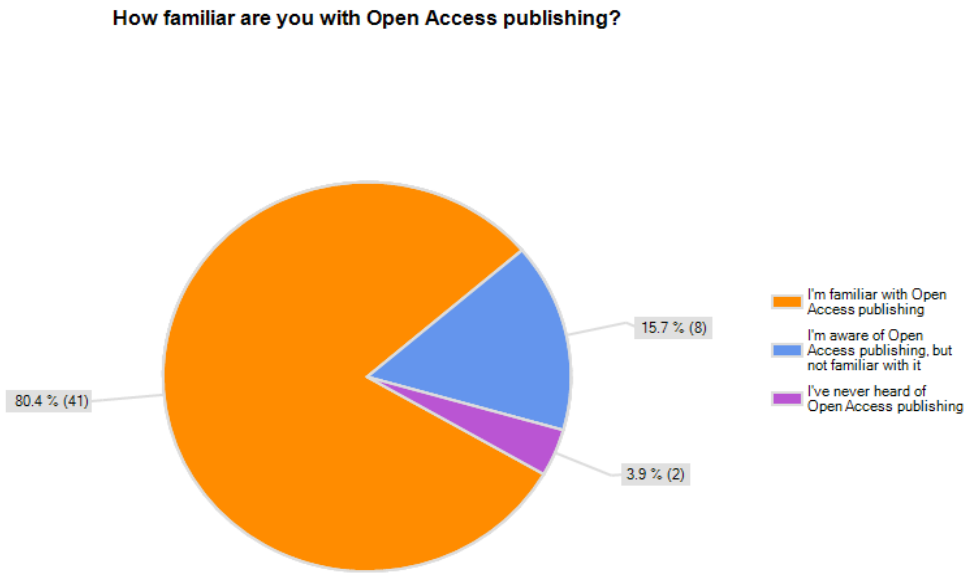


Figure 28. Academics - Familiarity with Open Access (N=51)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 29. Publishers - Familiarity with Open Access (N=16)

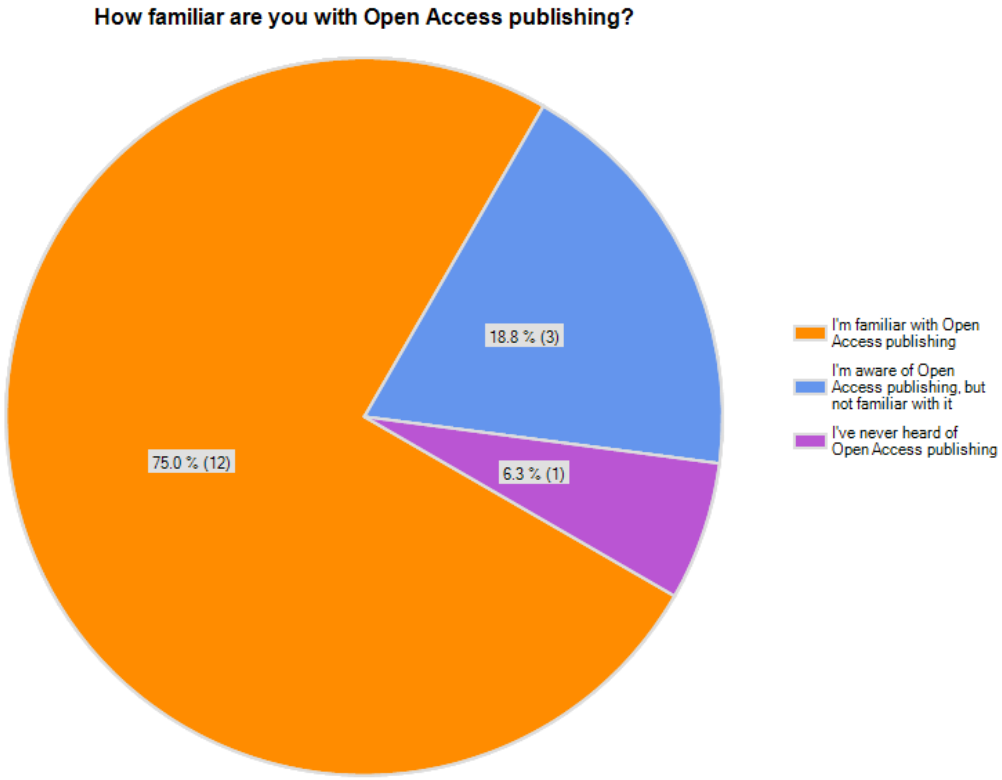
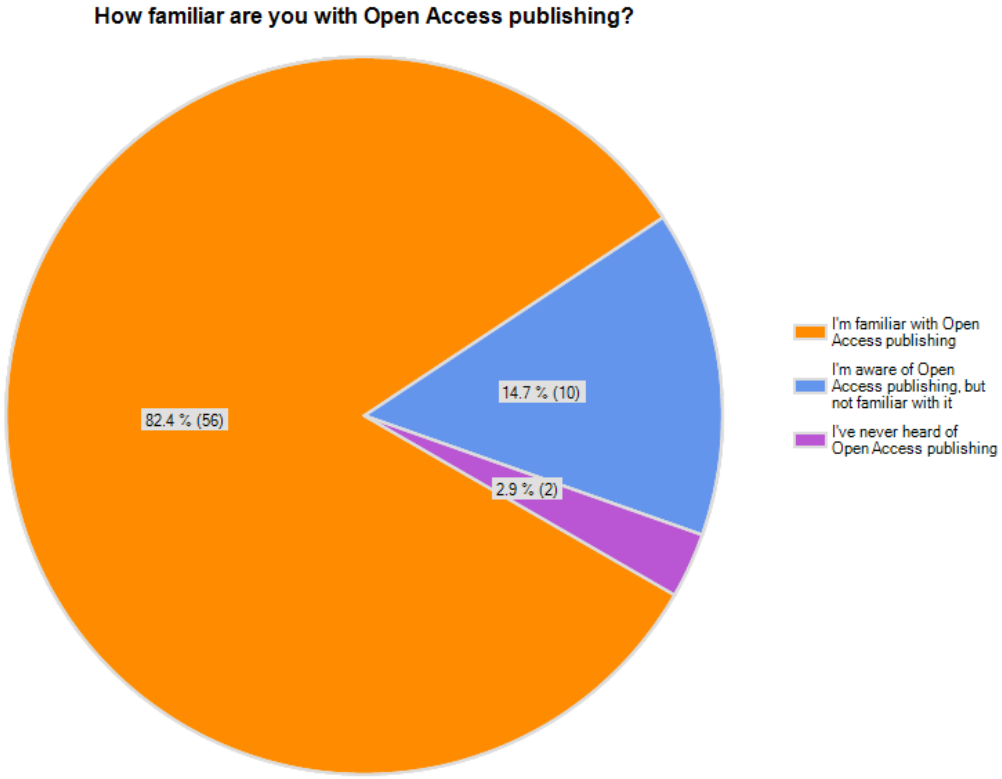


Figure 30. Librarians - Familiarity with Open Access (N=68)



PART 2 - QUESTIONS RELATED TO OPEN ACCESS BOOKS AND OPEN ACCESS BOOK PUBLISHING

Figure 31. Funders - Familiarity with Open Access (N=6)

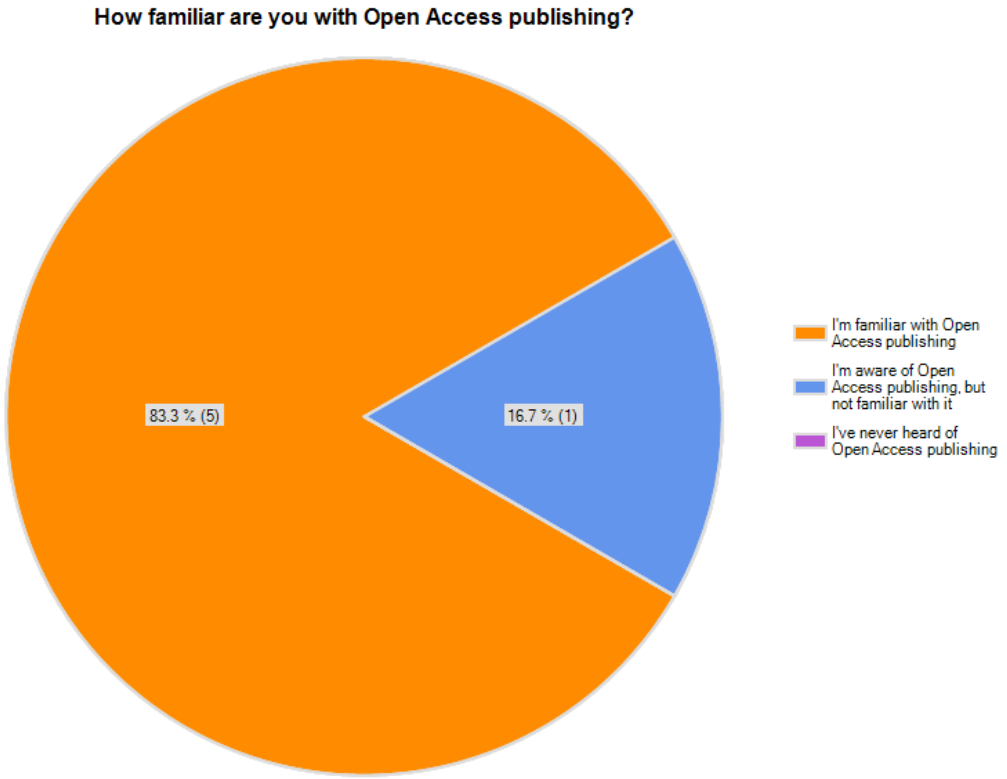


Figure 32. Academics - Ebook reading (N=51)

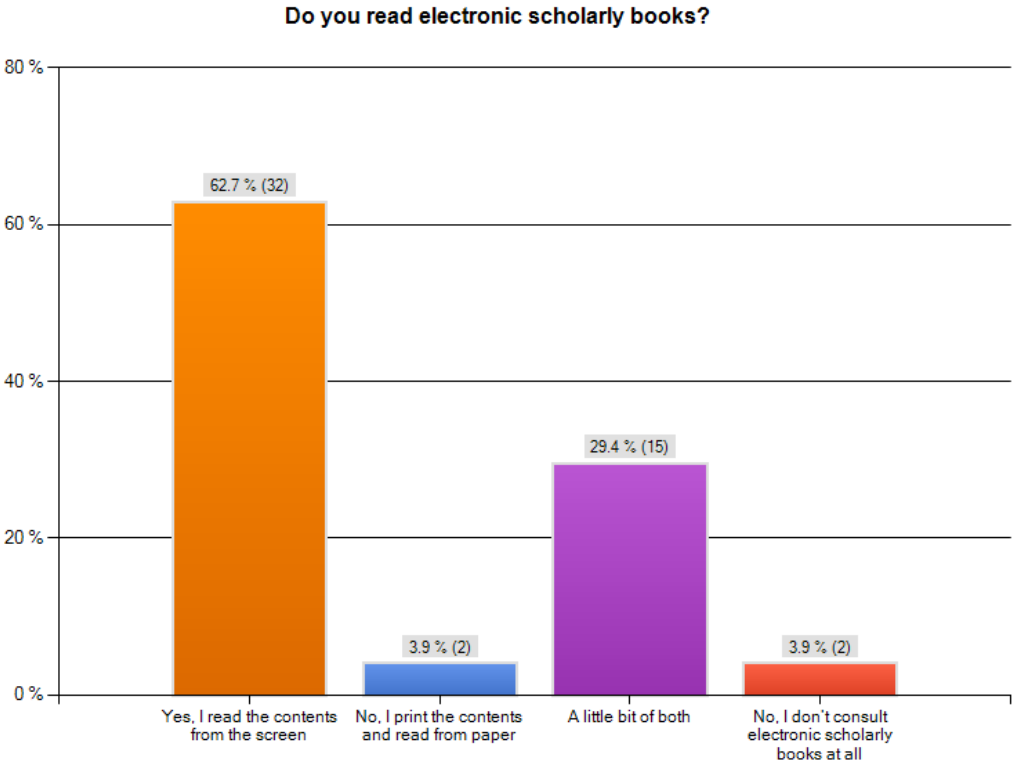


Figure 33. Academics - Motivations for publishing (N=49)

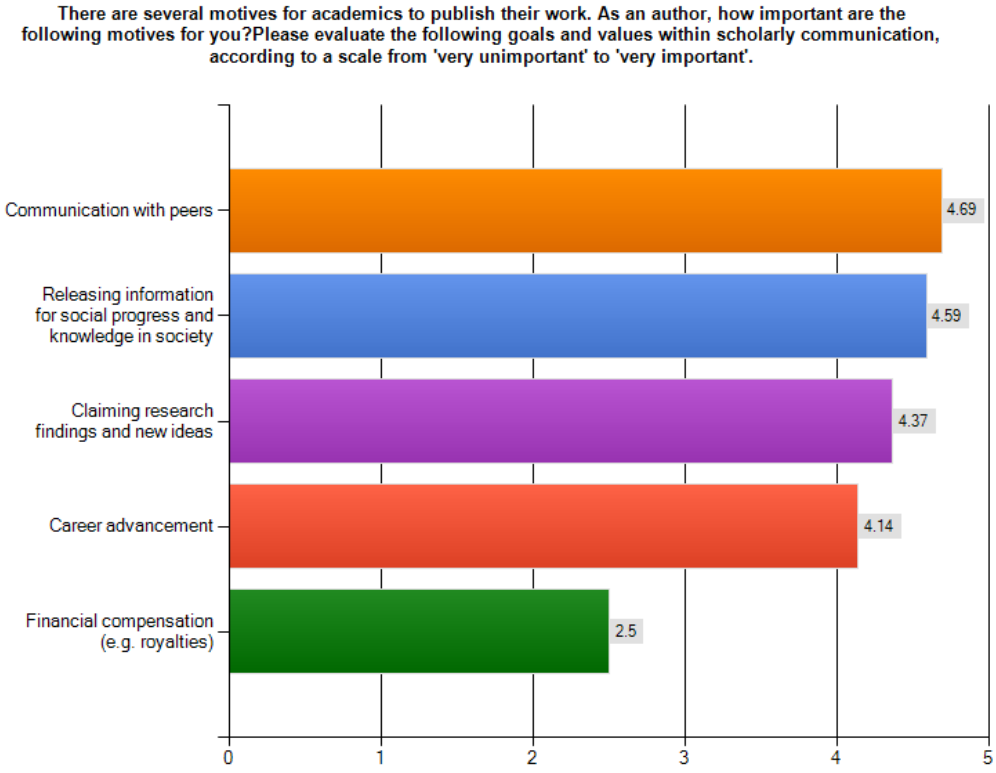


Figure 34. All Stakeholders - Copyright License Preference (N=156)

What kind of copyright license would you prefer to use when it comes to Open Access books?

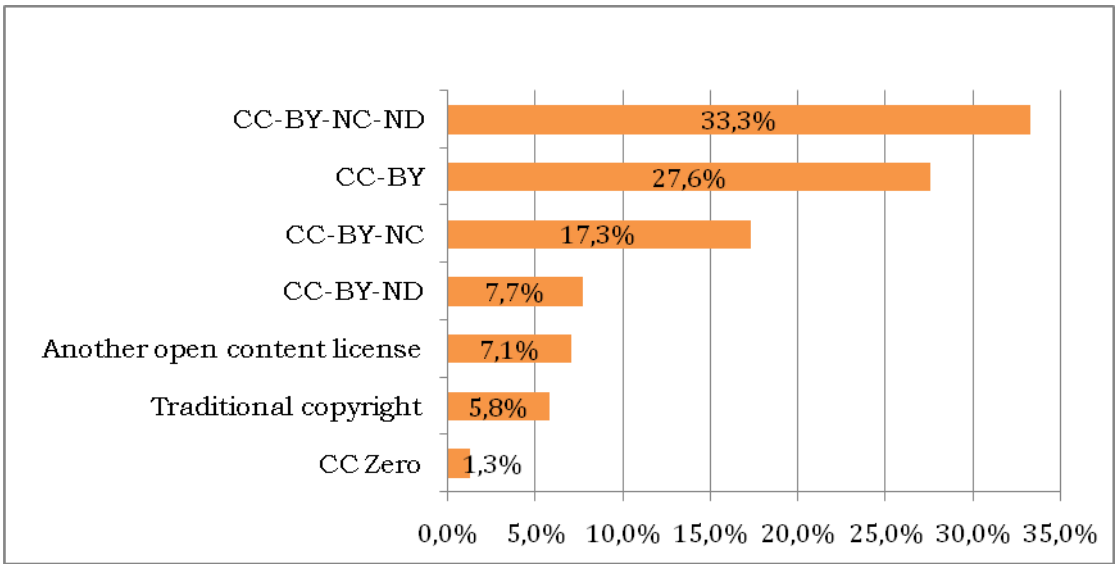


Figure 35. Publishers (DOAB) - Copyright License Preference (N=20)

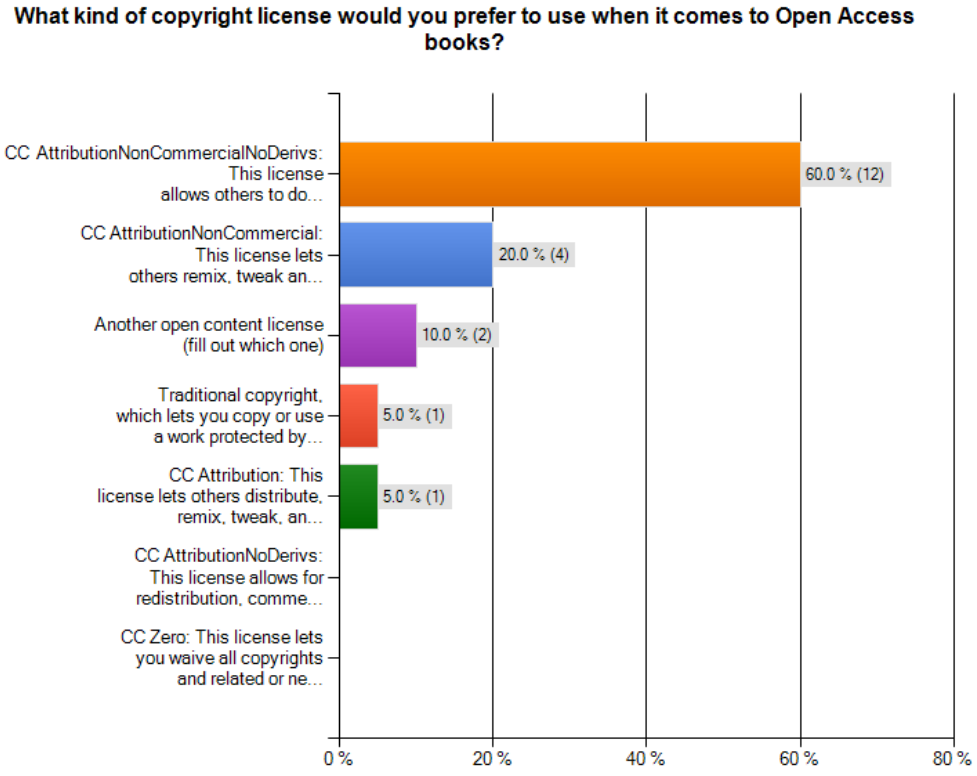


Figure 36. Academics - Copyright License Preference (N=50)

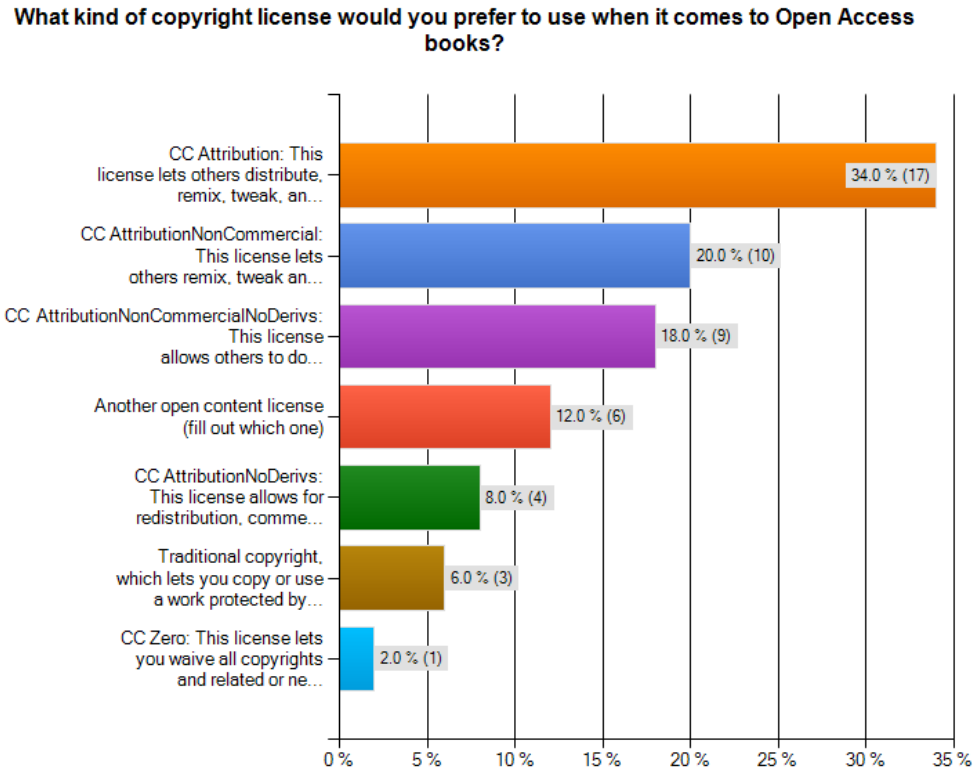


Figure 37. Librarians - Copyright License Preference (N=65)

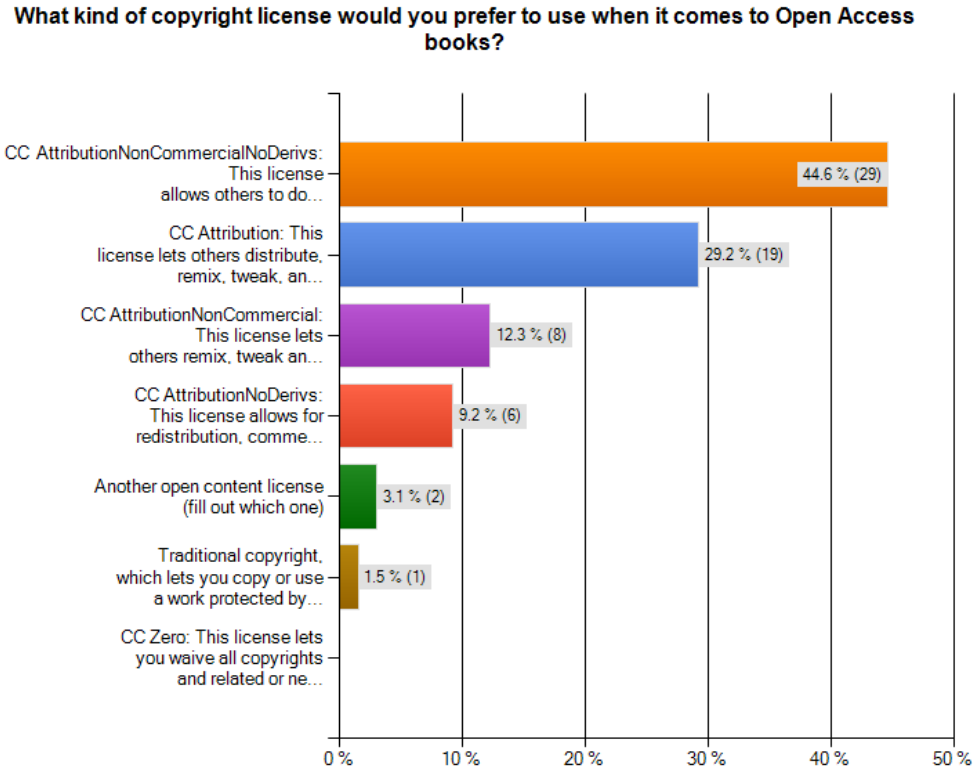


Figure 38. Funders - Copyright License Preference (N=6)

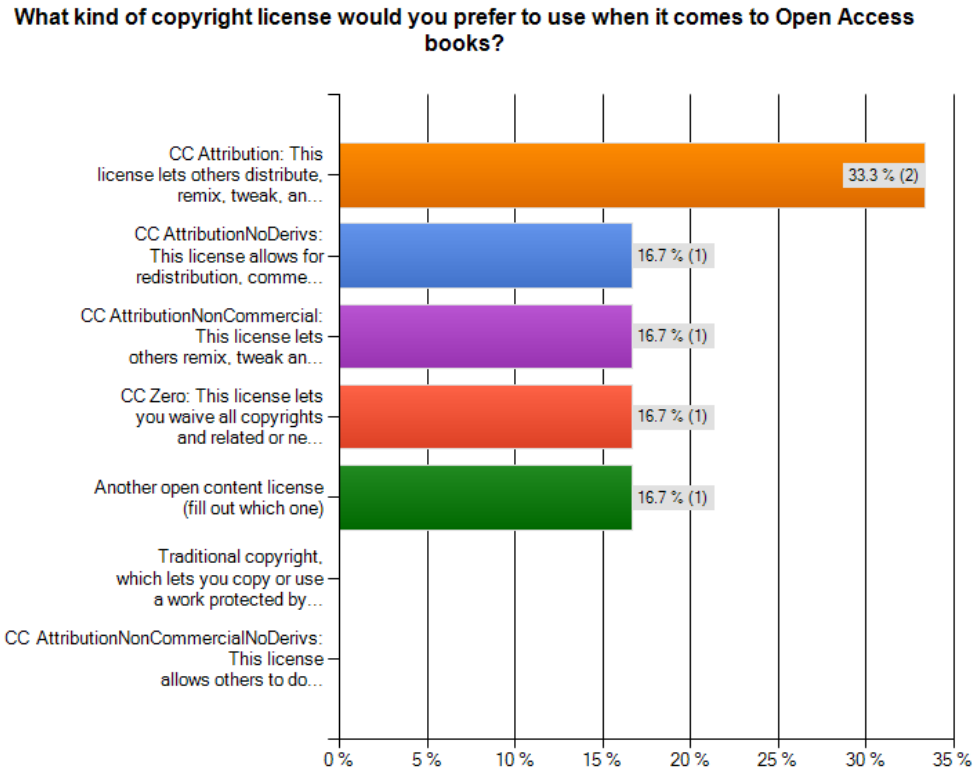


Figure 39. All Stakeholders - DOAB Copyright requirements (N=156)

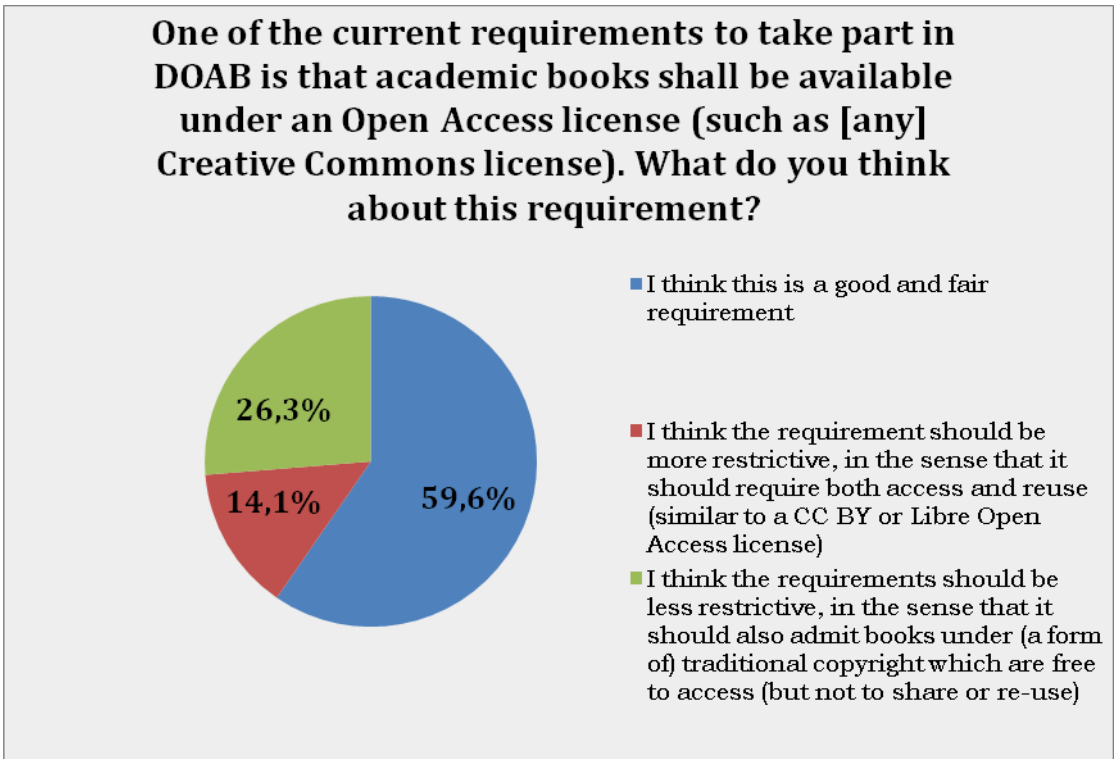


Figure 40. Publishers (DOAB) - DOAB Copyright requirements (N=20)

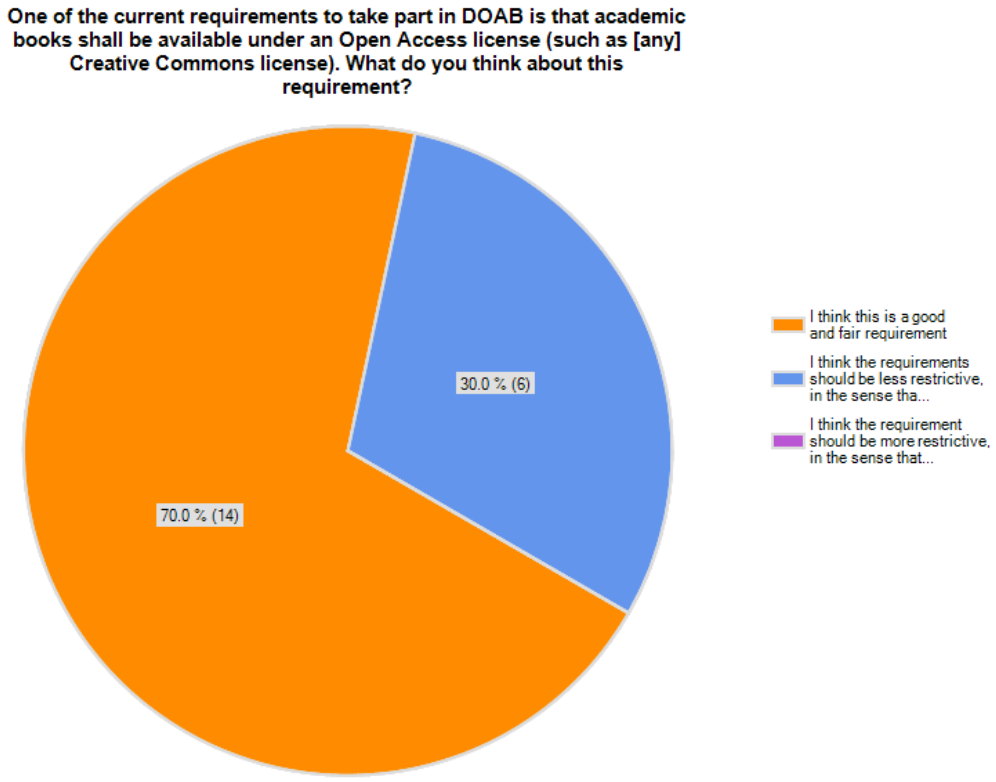


Figure 41. Academics - DOAB Copyright requirements (N=50)

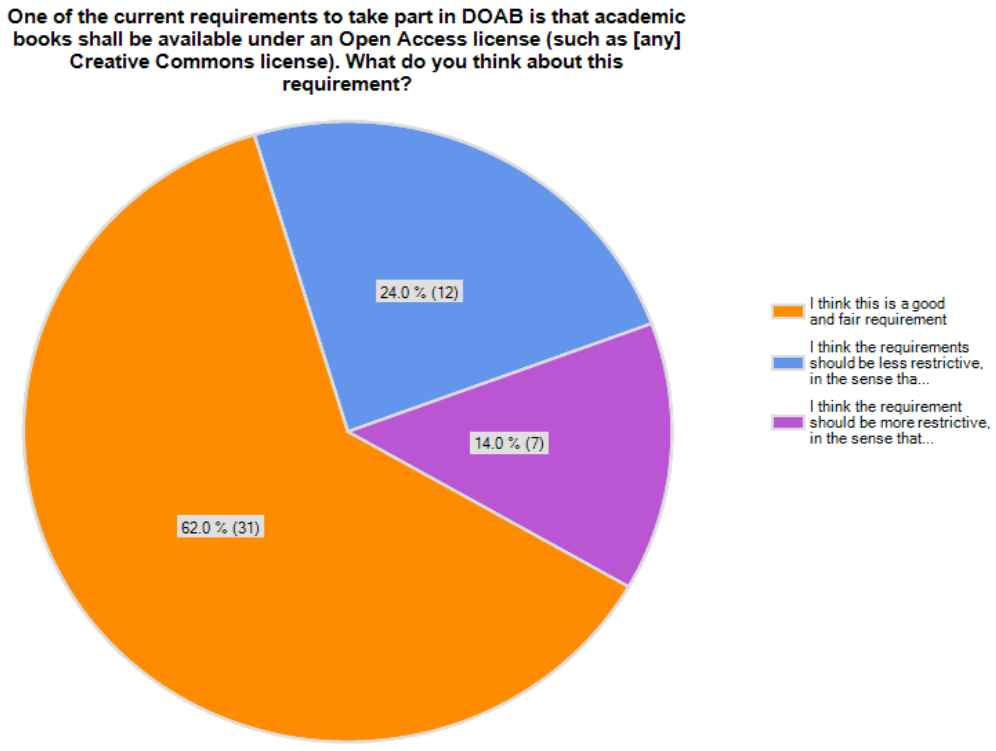


Figure 42. Publishers - DOAB Copyright requirements (N=15)

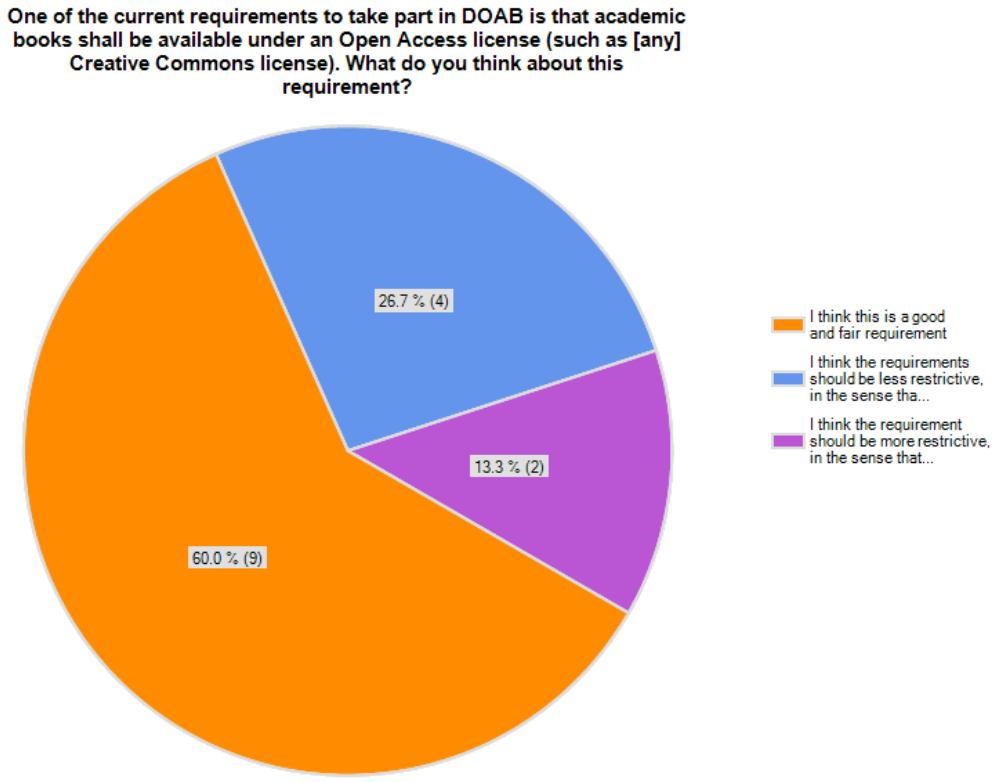


Figure 43. Librarians - DOAB Copyright requirements (N=65)

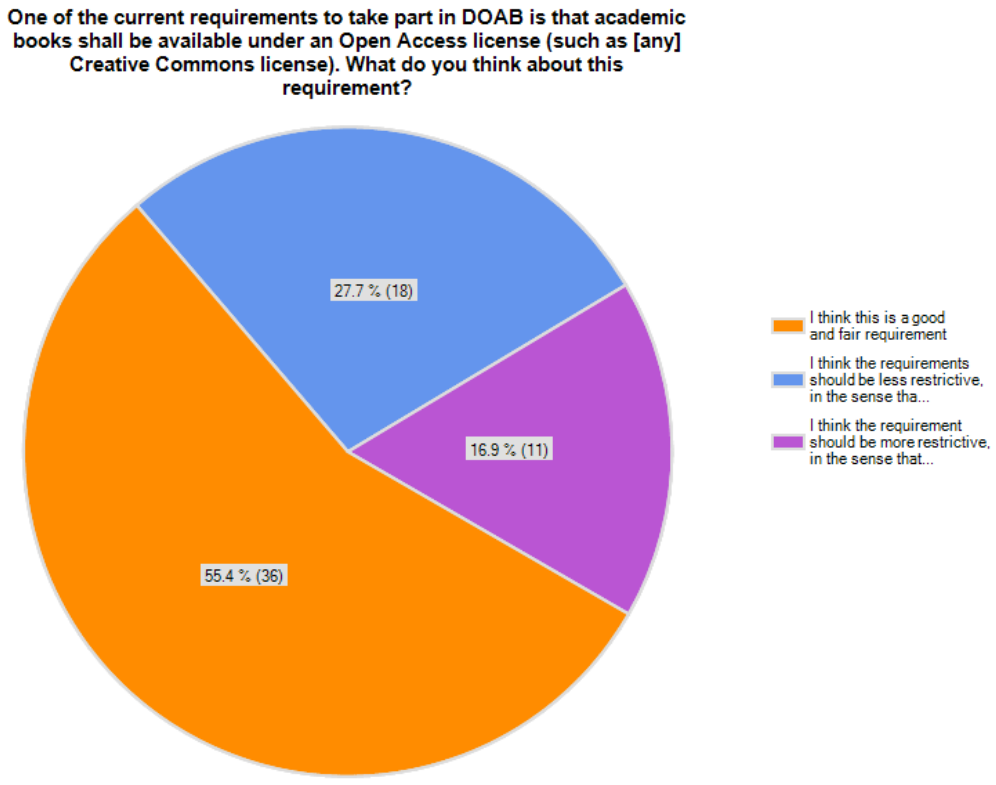
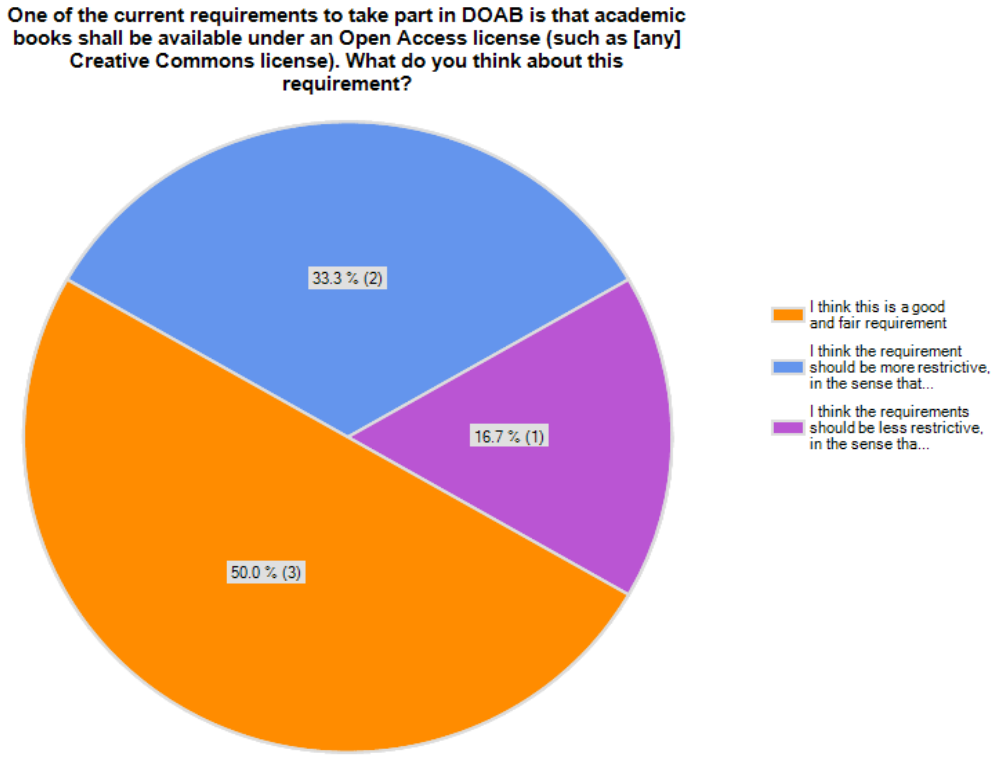


Figure 44. Funders - DOAB Copyright requirements (N=6)



PART 4 – QUESTIONS RELATED TO QUALITY CONTROL AND PEER REVIEW

Figure 45. All Stakeholders - DOAB peer review requirements (N=122)

One of the current requirements of DOAB is that academic books in DOAB shall be subjected to independent and external peer review prior to publication. What are your thoughts on this requirement?

Funders

- Quality assurance is important. Requirements concerning quality assurance should take into account varying cultures in different fields. If publication fees are to be paid, it should be assured that "predatory" publishers are avoided.
- Agree
- Depends: who are the peers? If this is aggregated content from across the web (i.e., other OA publishers, library repositories, funder repositories) who in your organization is defining the level of quality per book source. Also, all disciplines have a different set of protocols/behaviors/understood methodologies. How does your organization engage experts from across disciplines to ensure that what is quality peer review in one area is not that in another?

Publishers

- We think that an independent, external, and if possible, blind peer review is important. But in our case (publications of the Collège de France), it is too restrictive: the peer review is internal. When a new professor is nominated by the College de France (the Assembly of the Professors), we publish her/his inaugural lecture, for example, without any other procedures.
- Requirement is comprehensible but idealistic. Veritable independent and external peer review concerning books is hardly affordable. If we are honest, in reality hardly any publisher can be found who fulfills this claim properly.
- It should be upheld.
- positive
- This is extremely important and should definitely be non-negotiable for academic books. I'm not sure if it should apply to others such as literature however, and there may be some crossover.
- This seems reasonable on the face of things, but I hope that DOAB will be open to new models of review as well.
- Books traditionally haven't been peer-reviewed, and the publishing process has more a co-operation than an external quality assessment. That's why the imprint has value. A more formal requirement is probably necessary for DOAB - we want no predators there - but this is probably the most difficult question to tackle.
- This is a good requirement because peer review is very important in my opinion. What I do think is that much attention should be paid to this, i.e. not just accept publications that are peer reviewed, but also be strict on the quality of the actual peer review.
- great idea, hard to realize
- An acceptable requirement.
- Peer review is a must for scholarly works.
- It is normality!

DOAB publishers

- Not a bad idea in the short/mid term, as it helps reassure those still sceptical of the reliability of OA.
- Essential, which is also why I disagree that they can be changed subsequent to the rigorous reviewing and editing prior to publication.
- A 'quality' criteria is required to prevent being flooded by self-published works. But this needs to be sensibly rather than rigorously applied - remembering that the point is to place a quality control over output, not to ensure a specific peer review process. There may be publishers who apply a very weak peer review and effectively publish anything which DOAB may sensibly wish to exclude. Similarly there may be really serious post-publication review processes which DOAB may wish to include. Keep focused on the ends rather than the means!
- I think this is a good and fair requirement.
- It is an important requirement that helps build trust towards Open Access publications.
- Agree - academic research without peer review devalues the reputation of open access publishing.
- This is reasonable though what this means may vary per discipline . In some cases a book may have been put through a form of review prior to being submitted for publication, such as in a PhD thesis, or a book written as part of the process to qualify for a title of association professor.
- Good idea! Do you have enough peers to do that? Especially when OA-publication of publisher's backlists starts (think of moving wall programmes).
- I think the requirement is fair and very important to maintain a quality standard across DOAB publications. In addition however, I think it's strange that no further specification is given on what peer review means for different titles/series/publishers. Different reviewers/publishers maintain quite diverging standards, and I think it would be very valuable if these standards in peer review were made explicit. In other words, all 5 could be incorporated in DOAB, as long as the kind of review is made clear.
- I think this is right, but DOAB should maintain a flexible definition of peer review. For example, peer review can be crowdsourced on a platform like MediaCommons or arXiv, and that should count.
- I think this is extremely important. The perception that open access publishing is of a lesser quality is what we are always trying to counter. Therefor it is even more important to preserve a high standard of peer review. If had been decided that a high standard of peer review was not required for inclusion of titles in DOAB, some publishers may reconsider including their titles. Having peer reviewed OA titles listed alongside non peer reviewed titles will not help with the perception of quality and may negatively impact the publishers reputation.
- Sounds good, but is hard to verify. Independent and external are relative.
- absolutely necessary.
- very important.
- I totally agree with these requirements. Quality control in relation to OA-publishing is essential now.

<u>Librarians</u>

- I think that this requirement is very important for this kind of content because its brings more quality to the publication.
- Generally in favour but this may be more effective in some disciplines than in others.
- Peer review can happen throughout DOAB.
- Essential.
- I do not believe the peer review process being the ideal method of evaluating the authenticity or accuracy of a work.
- I'm not sure.
- This certainly underpins the confidence users have in the quality of OA books.
- I agree with it.
- I think is ok.
- I agree with idea that academic books in DOAB should be subjected to independent and external peer review.
- Adds to the burden on academics - will they be compensated for the peer review? By whom?
- Does not guarantee quality anyway.
- This requirement is essential!
- This is paramount to guarantee quality, reputation, scientific objectiveness and fairness.
- I agree with you in this regard.
- I am not sure what you mean by "external". External of the publisher? Sometimes, especially in humanities, books are published by research institutions. PhD theses and other qualification work are "peer reviewed" by the referees. I think, internal peer reviewing should be enough. In German-speaking countries, books are rarely peer reviewed, like journal articles, also those which are published by publishers of great renown.
- That is very good and I am 100% in support of this requirement.
- This requirement should be applied consistently - to ensure quality.
- Good to have quality control.
- I support the idea.
- I have no idea.
- This is important so users are confident that the books are of quality. A lot of our readers assume that anything open access is not subjected to quality measures.
- Seems appropriate if a degree of trust in the level of scholarship is wanted for this collection of books.
- I think it is correct to do since it shows credibility and quality.
- Peer review prior to and after publication is fine.
- Peer review is crucial as it plays a key role in quality. It is important to make clear that OA is not confused with poor quality. However, peer review should be broadly defined to include forms of review such as open review. Perhaps even work arising out of a process like the Polymath Project or Kathleen Fitzpatrick's Planned Obsolescence.
- Completely agree.
- I fully agree. OA also allows for post-peer-review.
- I don't have a formed opinion.
- Good idea, if manageable.
- It might make things somewhat unnecessarily complicated. Are copyrighted monographs always peer reviewed?

- It is beneficial.
- I would like to see this requirement broadened to appropriate quality control mechanisms. My concern is that such a specific requirement may result in changes in how scholarly monographs are produced - which may have negative or positive impacts on quality per se, and consequences on what is written and how we cannot foresee at this time. For example, I am not convinced that peer review per se is necessarily better than academic editing - in fact, I am concerned about peer review without the oversight of a really good editor.
- I agree.
- I think this requirement is very important because it ensures the quality of the publication.
- A good and fair requirement.
- This policy would - in certain cases - set higher standards than are currently practised in traditional publishing houses (e.g. in the humanities, where the chief-editor approves of a manuscript and it gets accepted).
- I agree.
- Very important!
- It is important to promote independent and external peer review, but this should not exclude other forms of quality control.
- Yes, this is definitely a must to ensure buy in from academia.
- It's a good idea to ensure the quality of contents.
- In the open access world a good way to identify good quality academic and scientific books is to require that the book includes a metadata identifying if it was evaluated by independent and external peer-review (YES/NO).
- -
- We have Started to DOAB as a source for open access textbooks to include in our library catalogue. The requirement provides a reasonable method of ensuring some type of quality assurance for us. This is a key decision point for us.While this requirement may necessarily exclude worthwhile publications, it may be the best approach. Quality works can and are produced through review by editorial control but so are works of rubbish.
- It is very important - but peer review means different things in different disciplines.
- Good.

<u>Academics</u>

- Neutral.
- Good practice.
- It is a good requirement.
- I agree.
- Fair.
- I think peer review in a necessary requirement in ensuring *some* quality in academic material. However, I also believe that post-publication peer review is as important, if not more so, than pre-publication peer review.
- Regardless of any substantial benefits of peer review (which I suspect are over-valued), I think this is sensible as a way for DOAB to establish a brand and offer reassurance to readers cautious about OA material.
- I think is a very good idea in terms of quality, but it may slow down considerably the publication process, making books unavailable for too long time.

- Not necessary.
- Some peer review is necessary.
- Good, ensures quality and credibility. New ways of peer review should however be sought (social media? more distributed?)
- Fine.
- I agree with the peer review requirement, since it guarantees a high quality standards.
- A must.
- It must be an indispensable practice.
- It is a good decision for the quality of published books.
- This really depends on the content of the articles. Theoretical work cannot be examined in the same manner as research with a more empirical basis, and the peer review system should be flexible enough to account for this.
  The precise role of peer review should be made clear too. Is it just to check for scientific soundness (i.e., the PLoS model), or in depth scrutiny from experts in the field who can critique the paper with their relevant knowledge.
  Post-publication peer review, through open forums, comment threads etc., should also be encouraged. It's my personal opinion that this is the best way to accelerate research and ideas in the future.
- I support this requirement.
- It is very good.
- Peer review is a very problematic activity, but the thought of the eventual peer reviewer is probably a useful monkey to keep poised on the author's shoulder as s/he drafts his/her effusions; spam protection innit?
- Peer review is absolutely necessary for academic publishing.
- It's unnecessary, but if the requirement is dropped then other metrics need to be introduced in order to judge quality, e.g. number of downloads, number of citations, and open reviews by other academics.
- Not all high-quality academic book publishers meet this standard. There are many ways to exercise quality control.
- I agree on that requirement, it is an opportunity to improve the content.
- Peer Review prior to publication is very essential. Because open access sources must ensure quality stuff to the public.
- Prior to publication.
- Is important.
- Very good move.
- Highly recommend this.
- Quality control is vital. Peer review is just a PROCESS and may not deliver quality. Your question shows that you have not sufficiently appreciated that every work requires to be assessed by whatever arrangement is suitable for that work.
- It is necessary to keep high quality.

Figure 46. All Stakeholders - Peer Review Preference (N=150)

(3=Neutral, 4=Suitable, 5=Very Suitable)

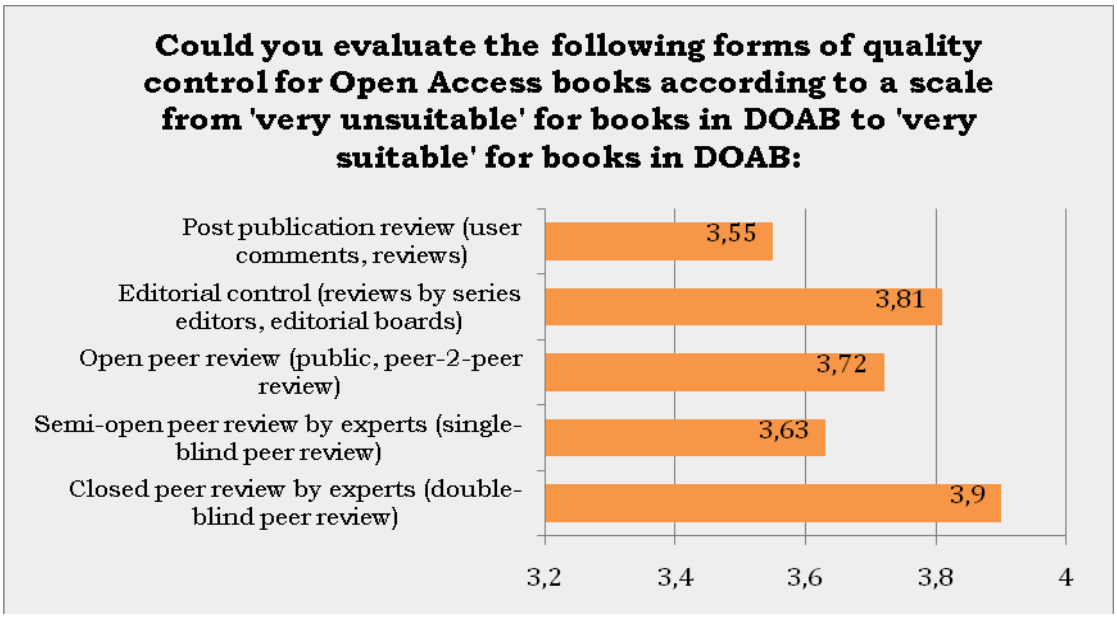


Figure 47. Publishers DOAB - Peer Review Preference (N=20)

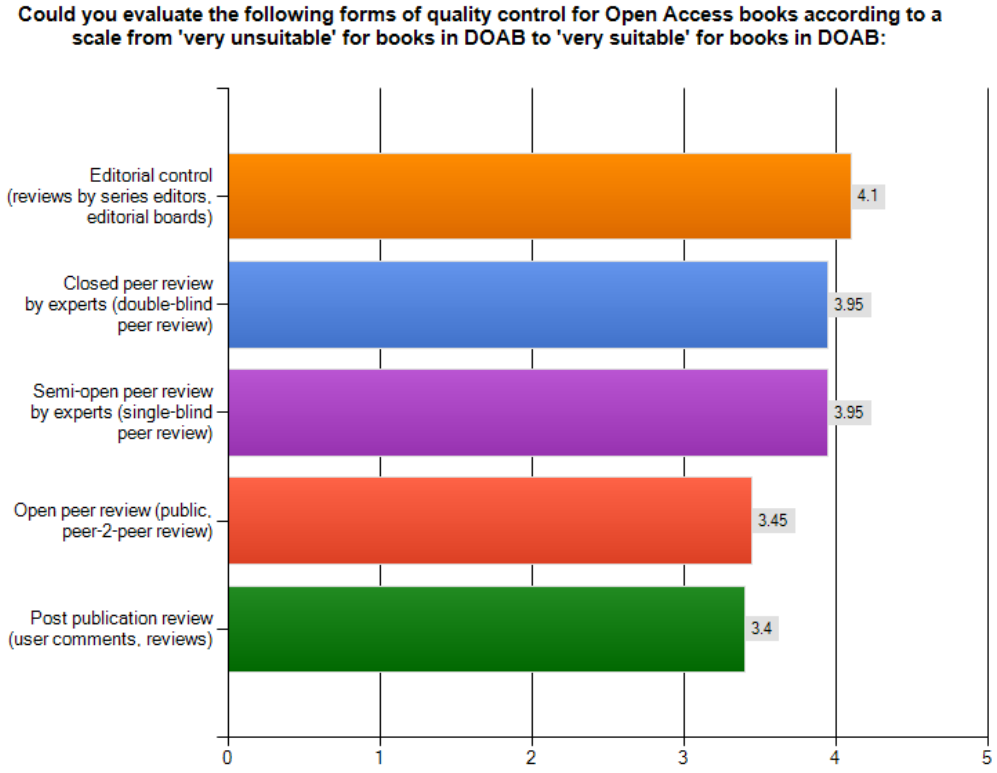


Figure 48. Academics - Peer Review Preference (N=48)

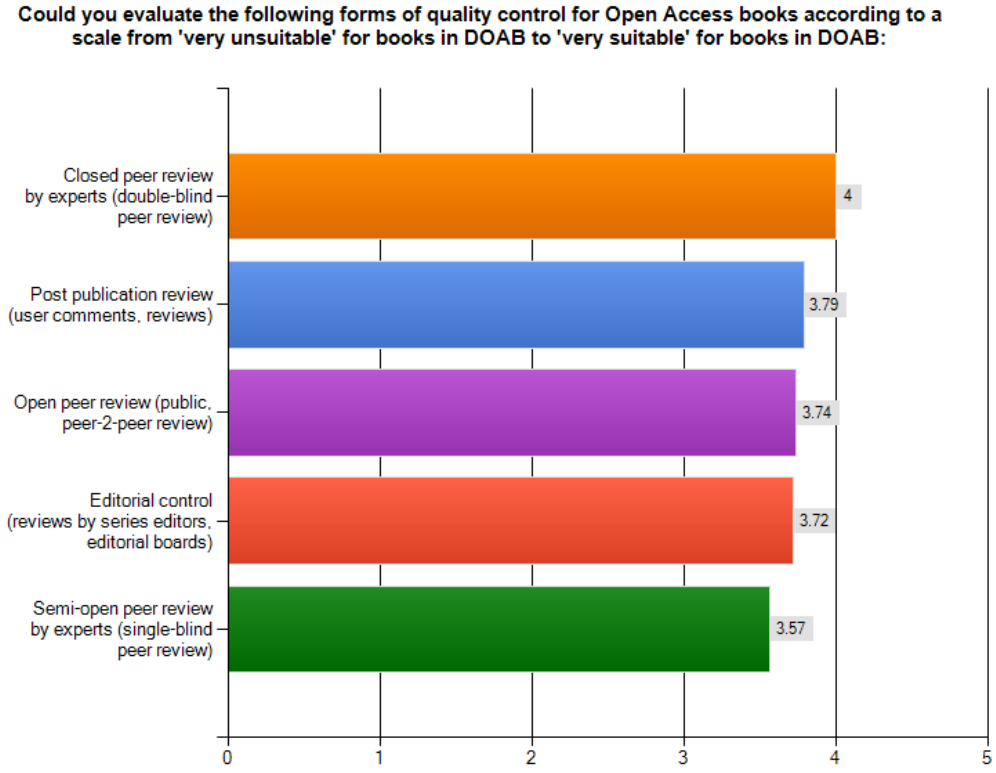


Figure 49. Publishers - Peer Review Preference (N=15)

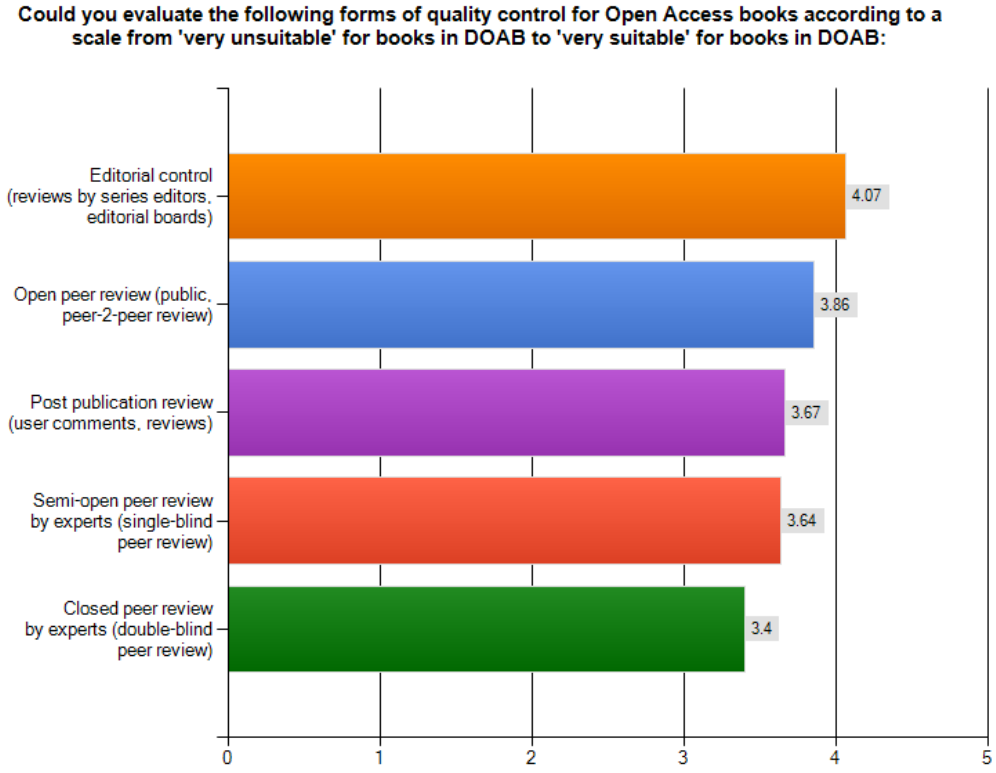


Figure 50. Librarians - Peer Review preference (N=61)

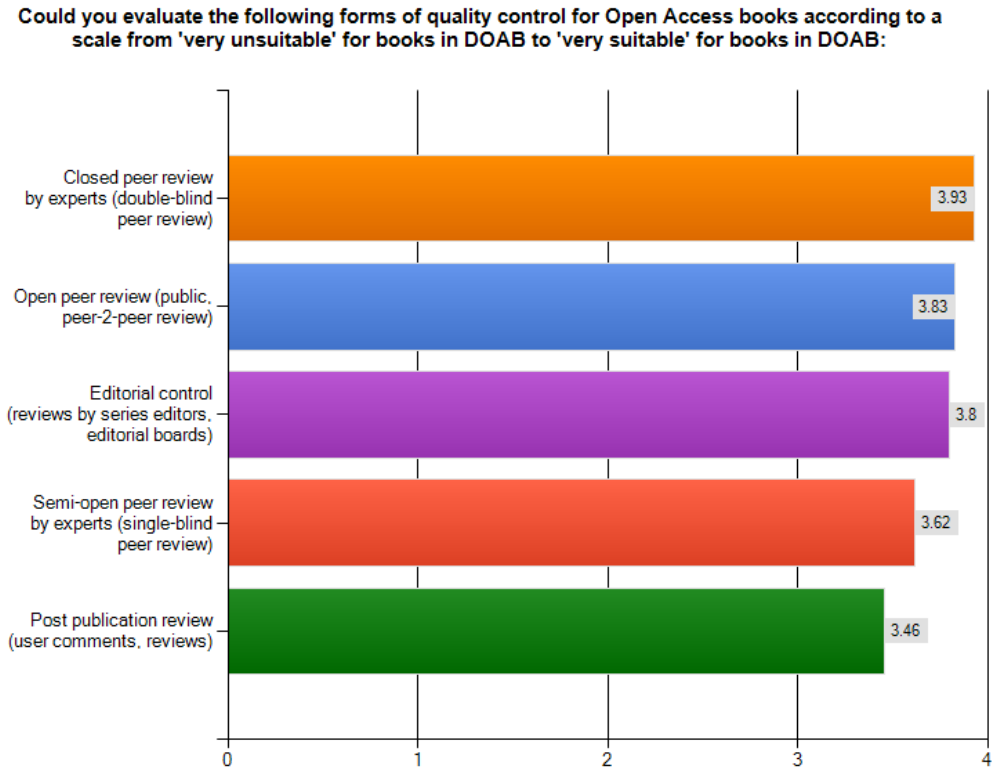
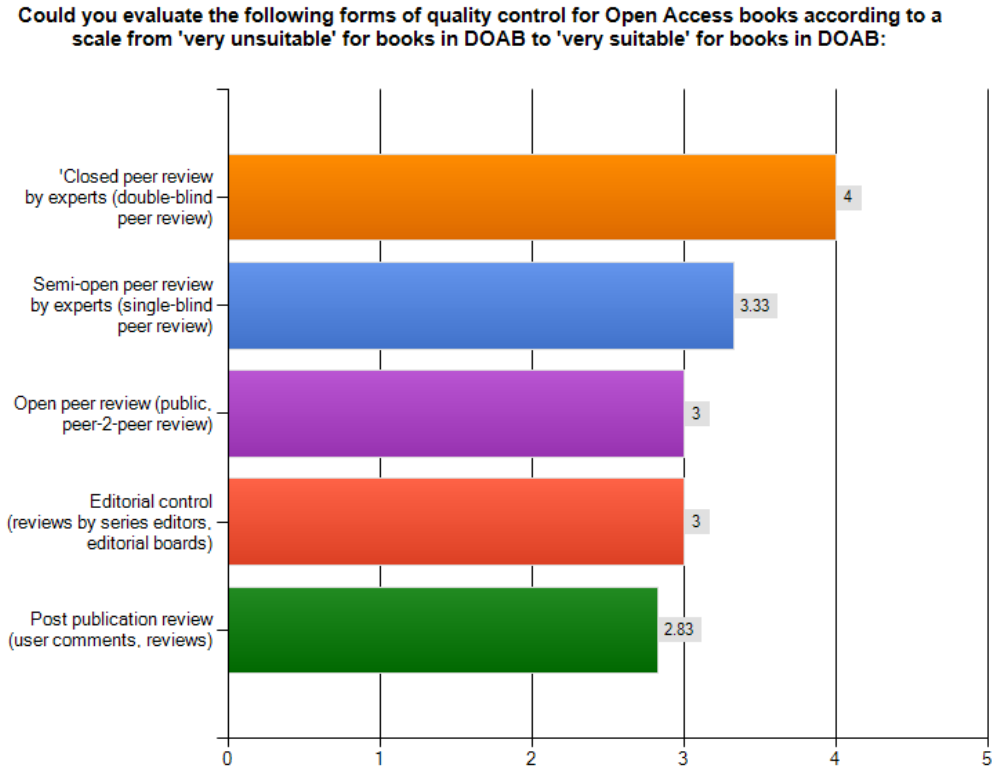


Figure 51. Funders - Peer Review Preference (N=6)



PART 5 – QUESTIONS RELATED TO PLATFORM USABILITY

Figure 52. Librarians - Open Access book harvesting (N=86)

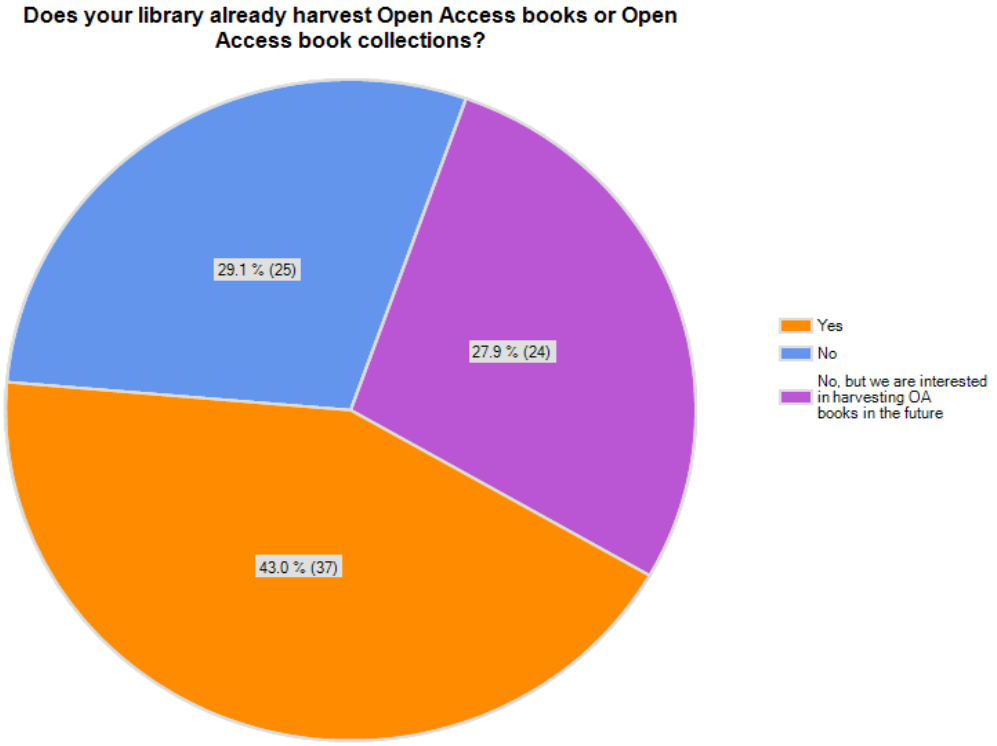
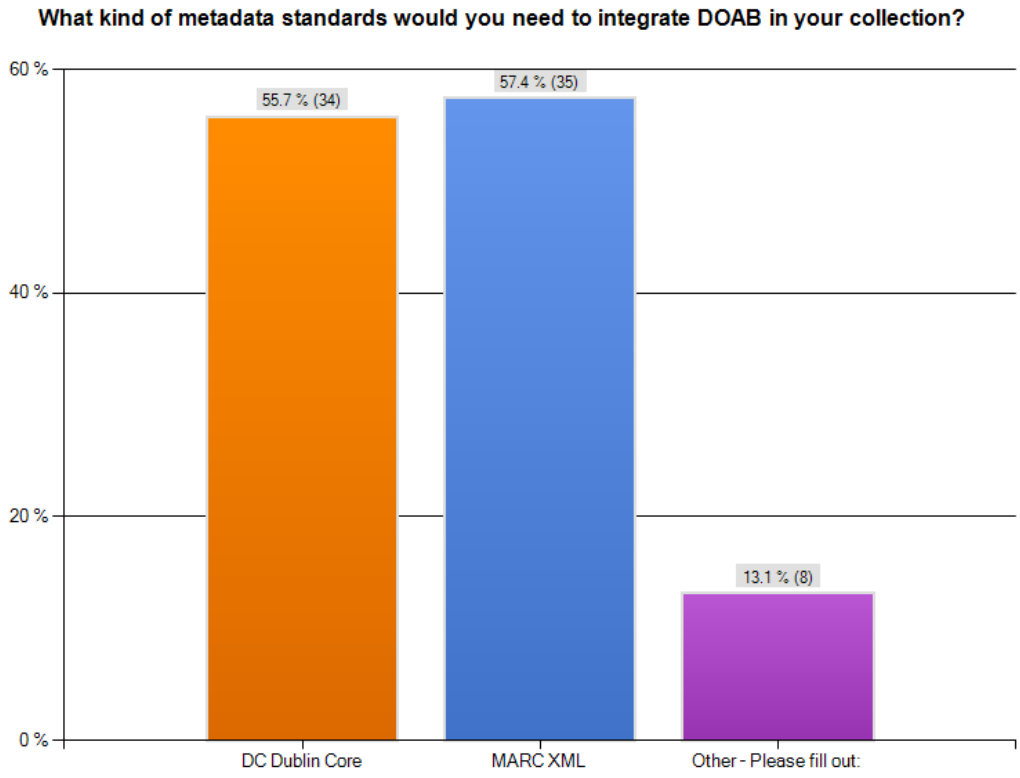


Figure 53. Librarians - Metadata Standards (N=61)

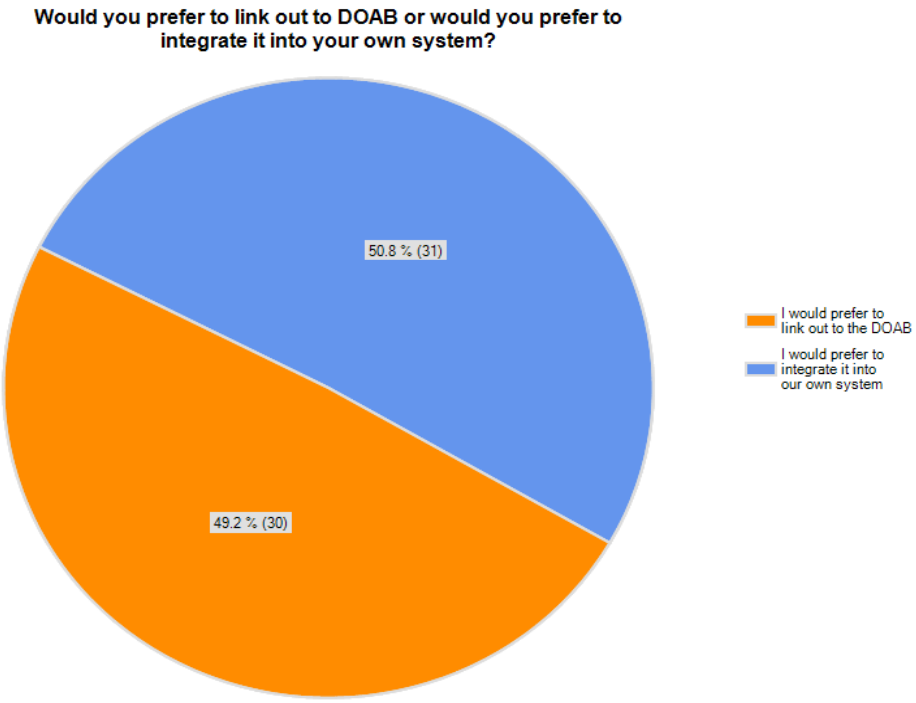


Other standards mentioned:

PART 5 – QUESTIONS RELATED TO PLATFORM USABILITY

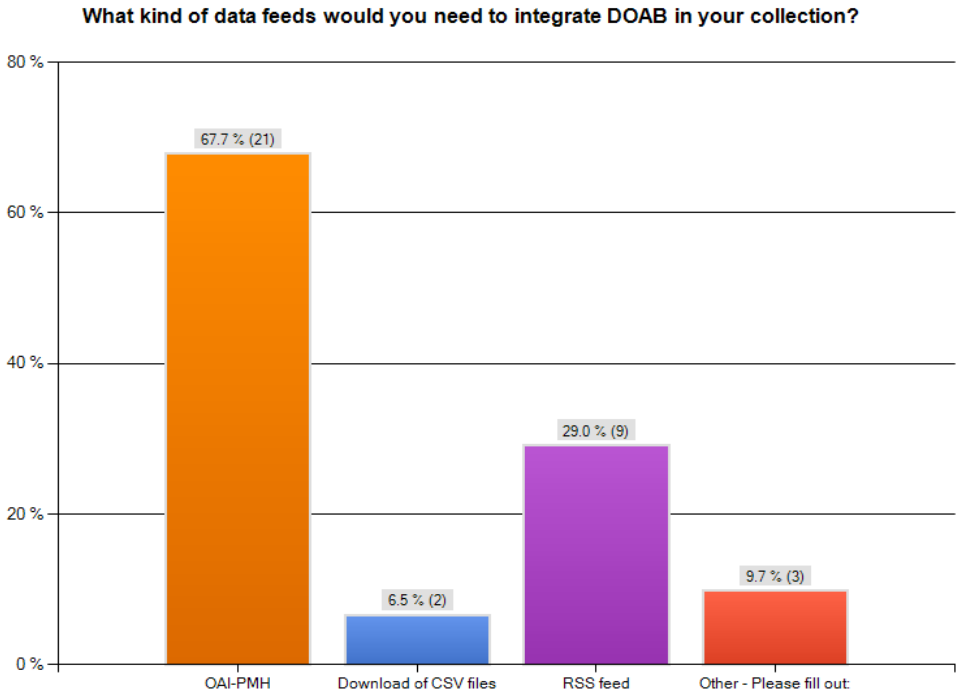
- Intending to move to RDA in next few years
- SerialsSolutions seems to be getting what they need
- CERIF
- MARC2
- XMetaDissPlus 2
- oai pmh
- MARC 21 and SIBUR (especial for Uruguay and University Libraries)
- MODS or at least qualified DC

Figure 54. Librarians - DOAB integration (N=61)



PART 5 – QUESTIONS RELATED TO PLATFORM USABILITY

Figure 55. Librarians - Data Feeds for Integration (N=31)



Other Data Feeds mentioned:

- Don't know
- SerialsSolutions ebooks
- I work with many libraries, so no one answer.

Figure 56. Librarians - DOAB Integration II (N=31)

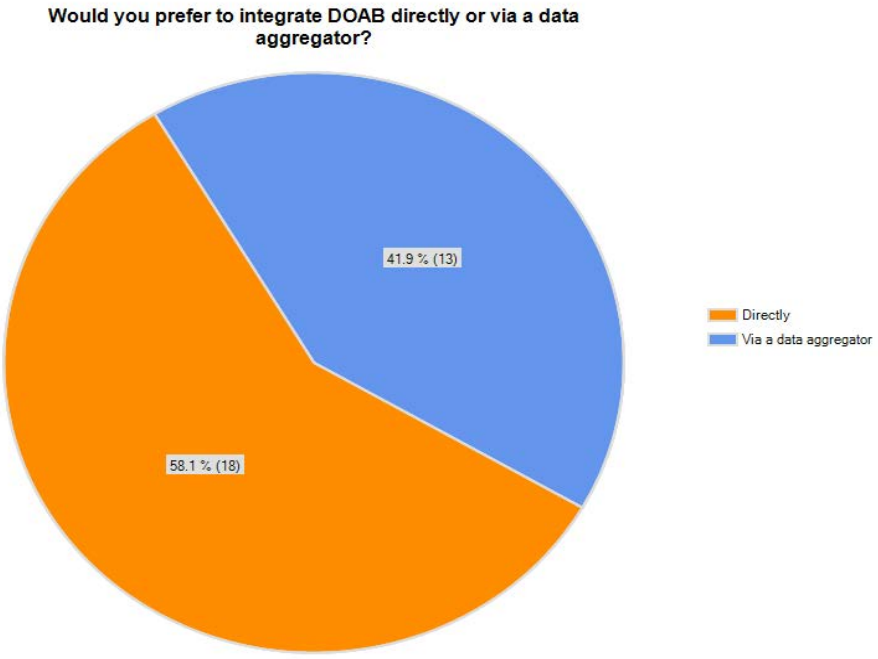
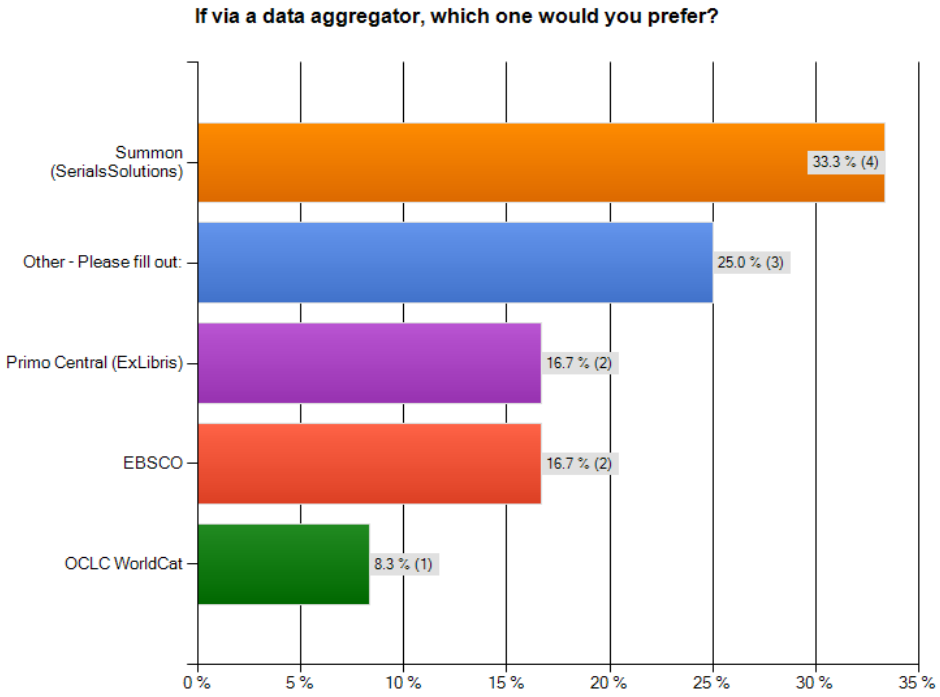


Figure 57. Librarians - Data Aggregator Preference (N=12)



Other Data Aggregators mentioned:

- Not yet purchased a discovery solution but more likely to be either WorldCat or III Synergy.
- We are currently using SErialsSolutions; I've heard we may begin to use Primo instead.
- SWORD.

PART 5 – QUESTIONS RELATED TO PLATFORM USABILITY

Figure 58. All Stakeholders - DOAB Platform Services (N=146)

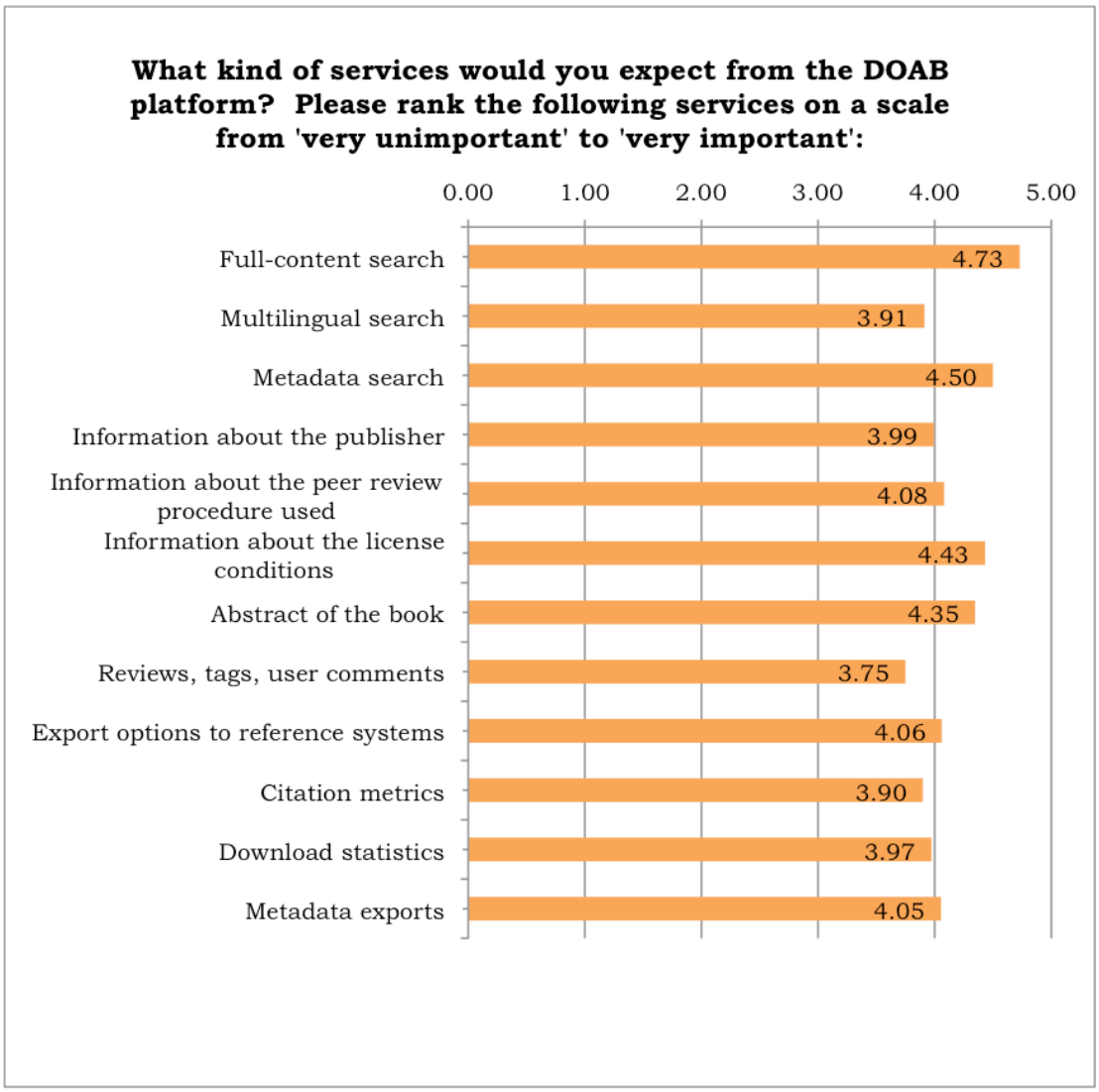


Figure 59. Publishers (DOAB) - DOAB Platform Services (N=20)

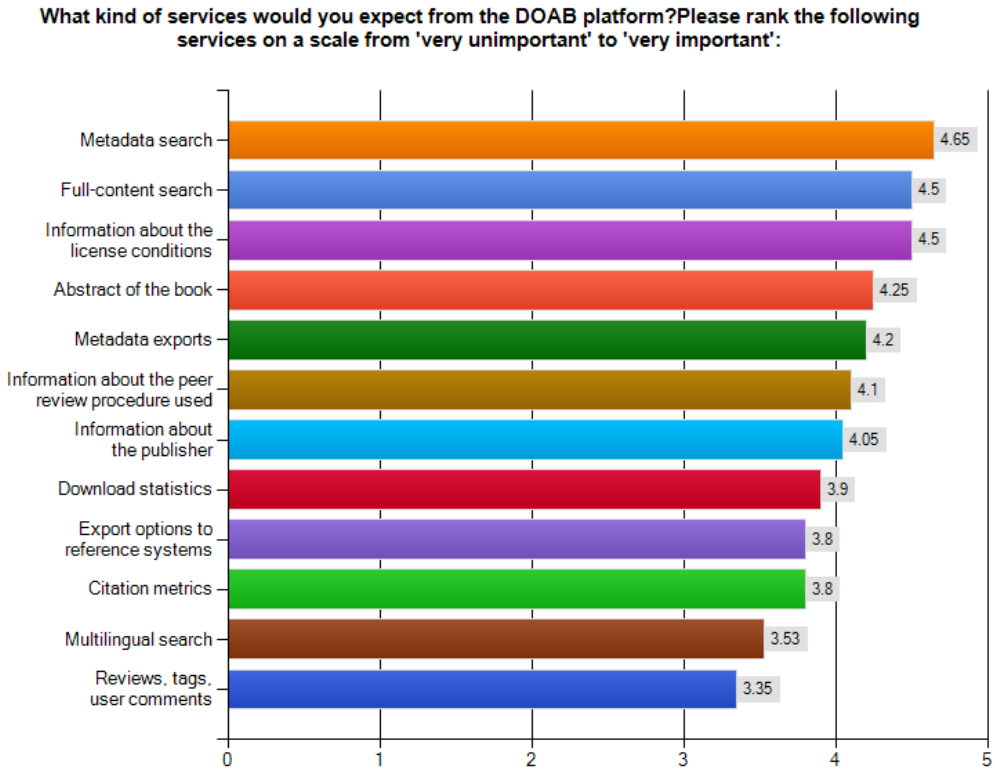


Figure 60. Academics - DOAB Platform Services (N=48)

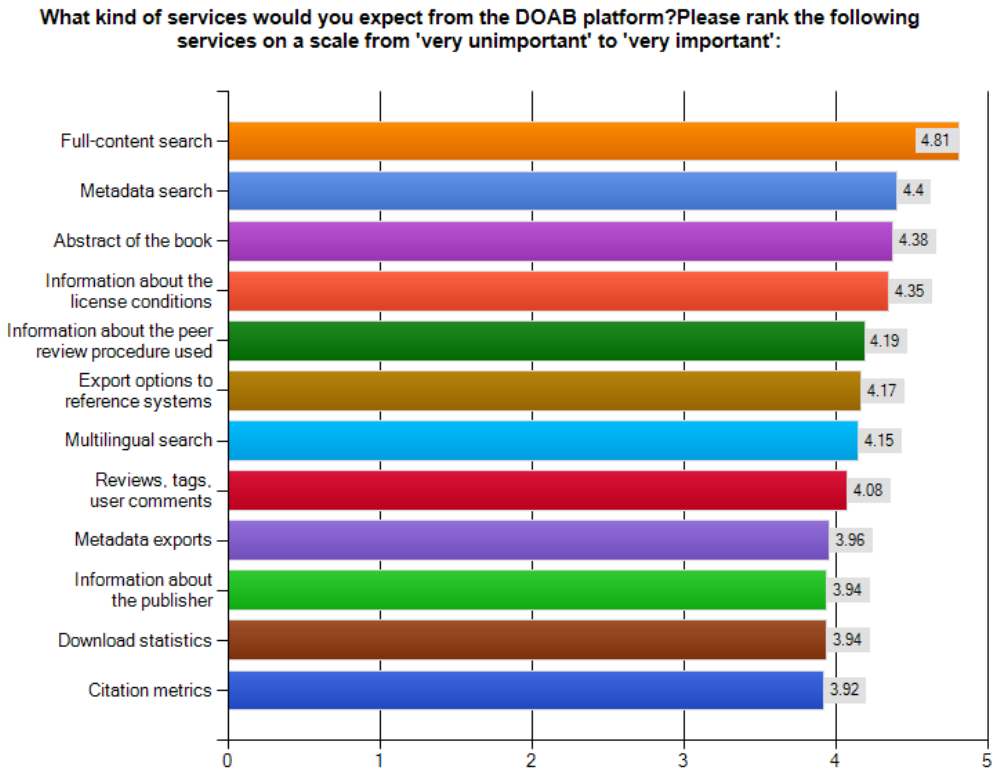


Figure 61. Publishers - DOAB Platform Services (N=14)

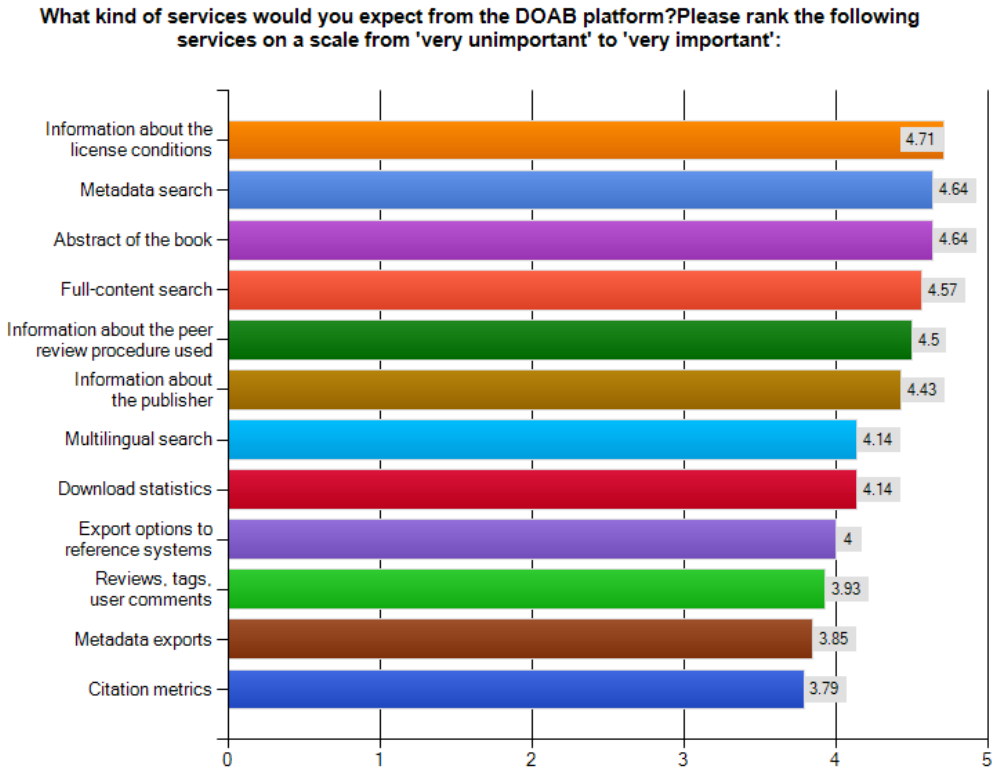


Figure 62. Librarians - DOAB Platform Services (N=60)

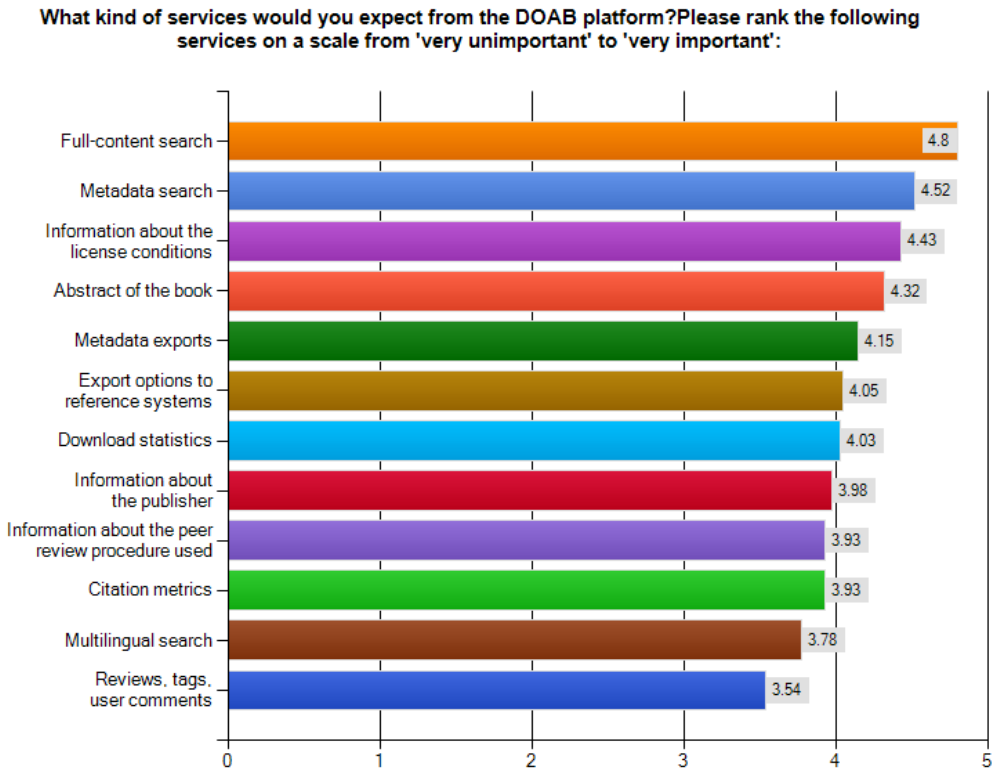


Figure 63. Funders - DOAB Platform Services (N=6)

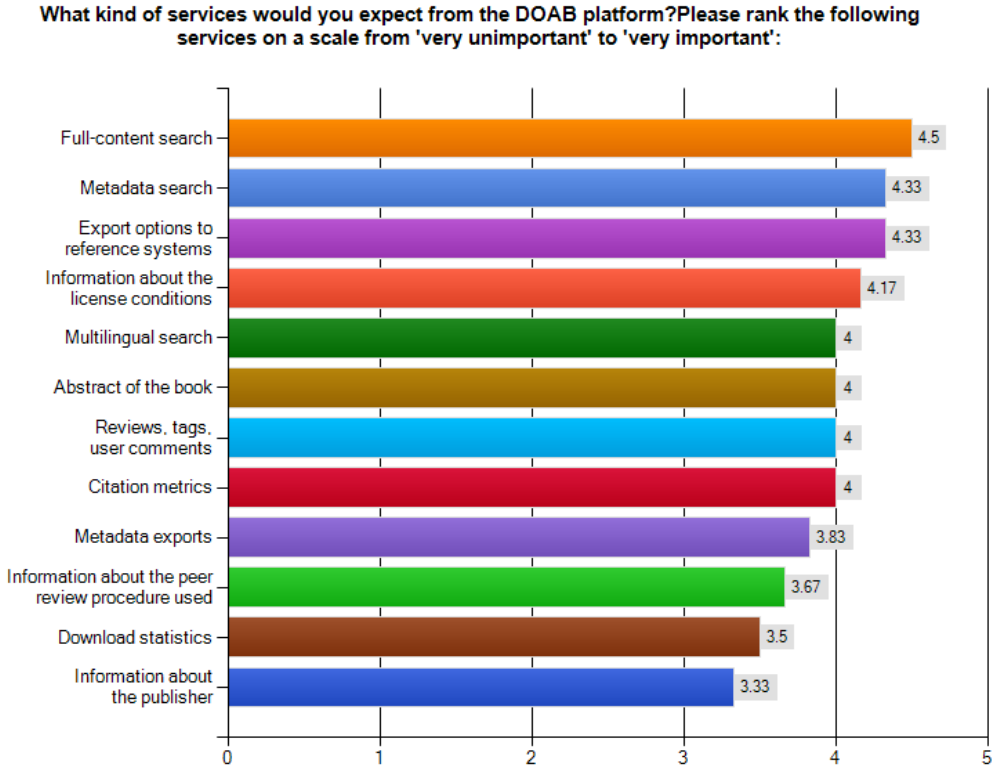
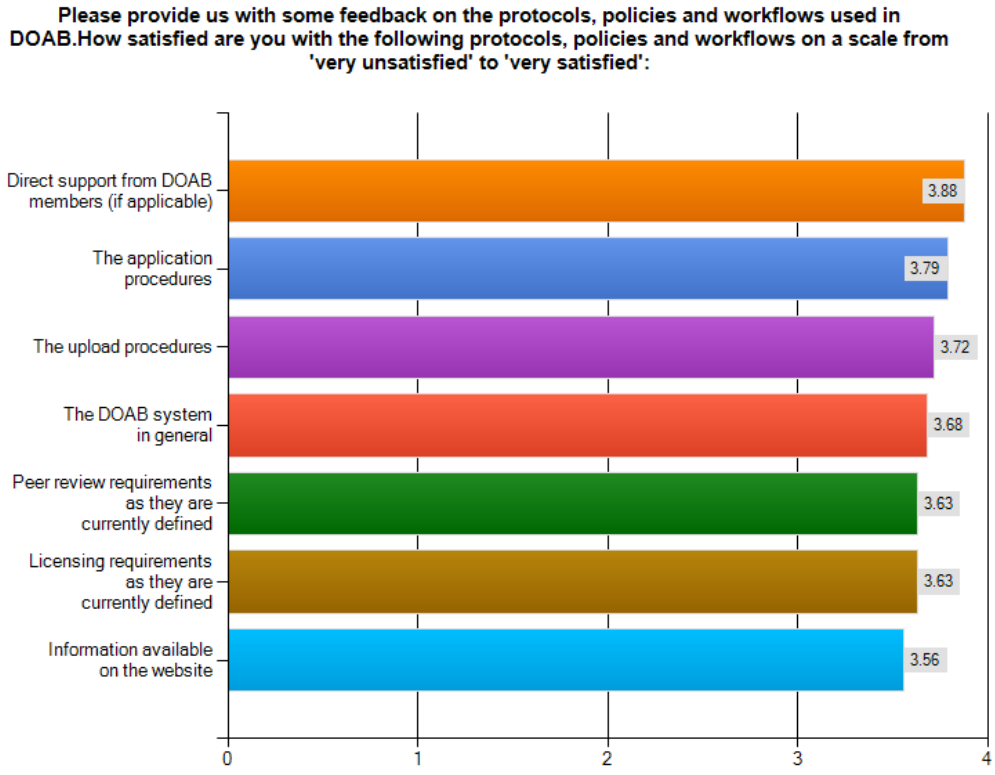


Figure 64. Publishers (DOAB) - Feedback DOAB protocols, policies and workflows (N=17)



PART 5 – QUESTIONS RELATED TO PLATFORM USABILITY

Figure 65. Publishers (All) - Voluntary Fee Payment (N=34)

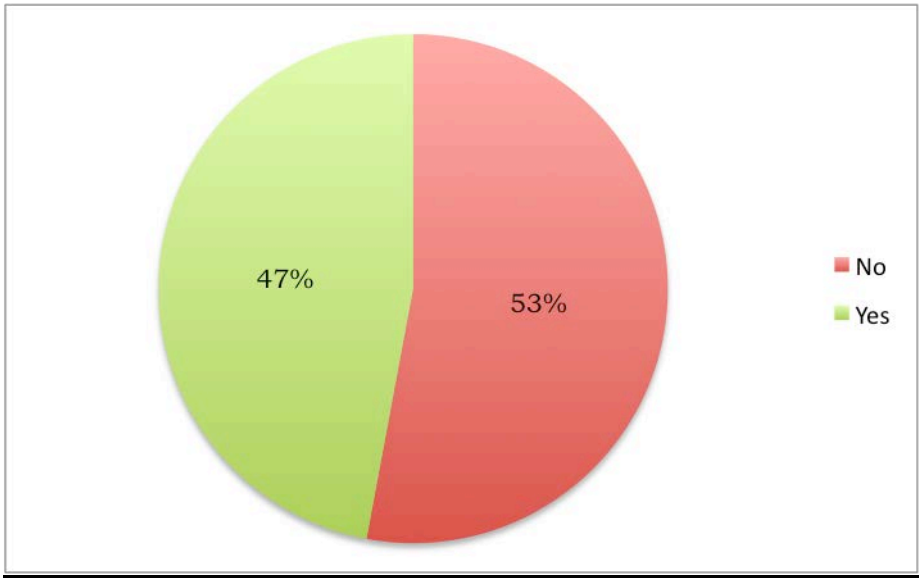


Figure 66. Publishers (DOAB) - Voluntary Fee Payment (N=20)

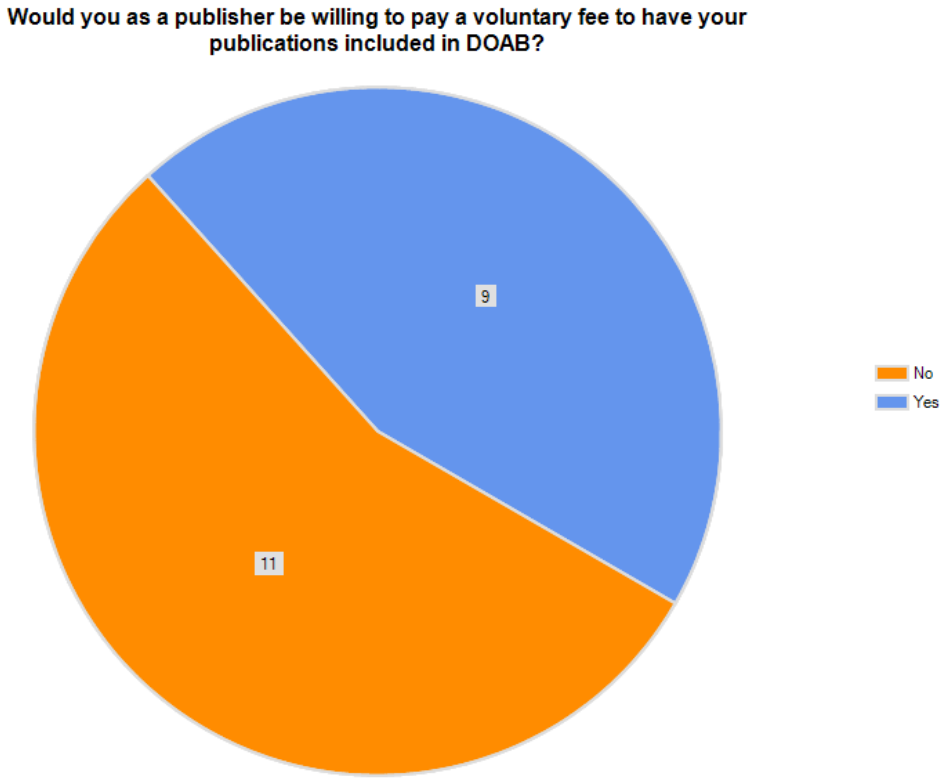
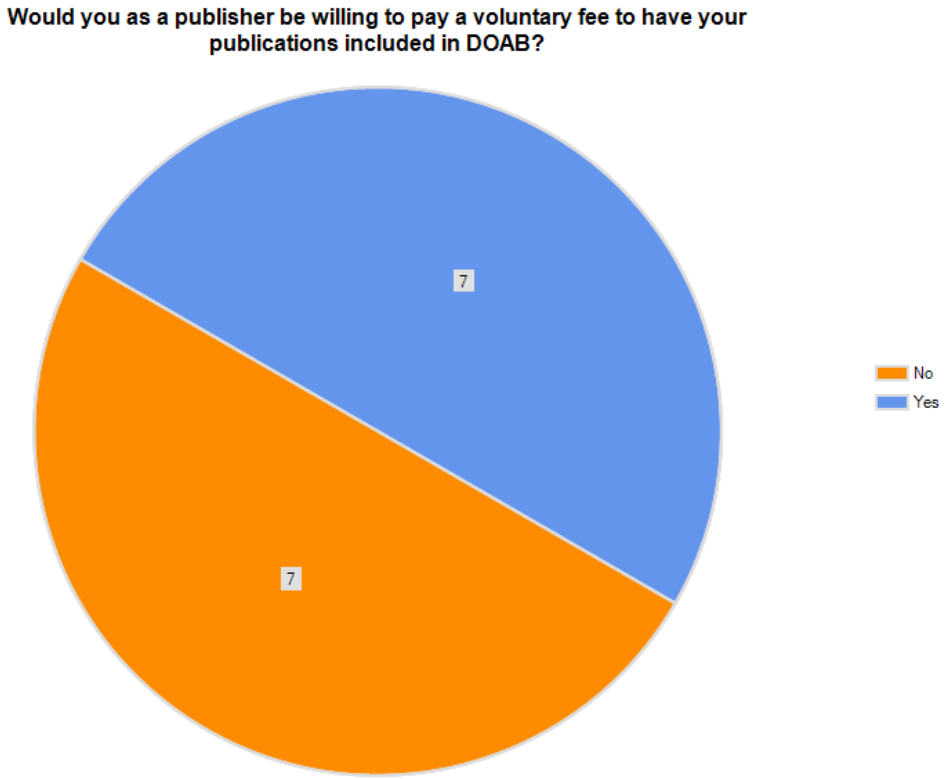


Figure 67. Publishers - Voluntary Fee Payment (N=14)



If so: what would be a reasonable fee for each new book included in DOAB? (N=13)

Publishers (DOAB)

- Not more than a couple of hundred euro/year.
- Nominal amount, publishers already have spent up to $40,000 producing the book.
- Depends on usage of DOAB and traffic generated. We have very little financial resources and do all we can to minimise production costs - listing charges would add significantly to those (esp, if duplicated by other lists). The whole ethos of OA is to keep costs low - by charging publishers to list there will be a natural selection bias which I would worry about. But a low rate (say 10euros) might be sustainable.
- We give 400€/year to DOAJ. We could give the same amount to DOAB.
- 25 euros.
- Fixed fee.

Publishers

- 5-10 euros.
- To be discussed.
- Unique fee that can be part of basic calculation.
- €5-8 (is one of many directories, so can't overspend!).
- I cannot say at this point.
- EUR 10?
- 5 euro.

Figure 68. Funders - Supporting DOAB (N=6)

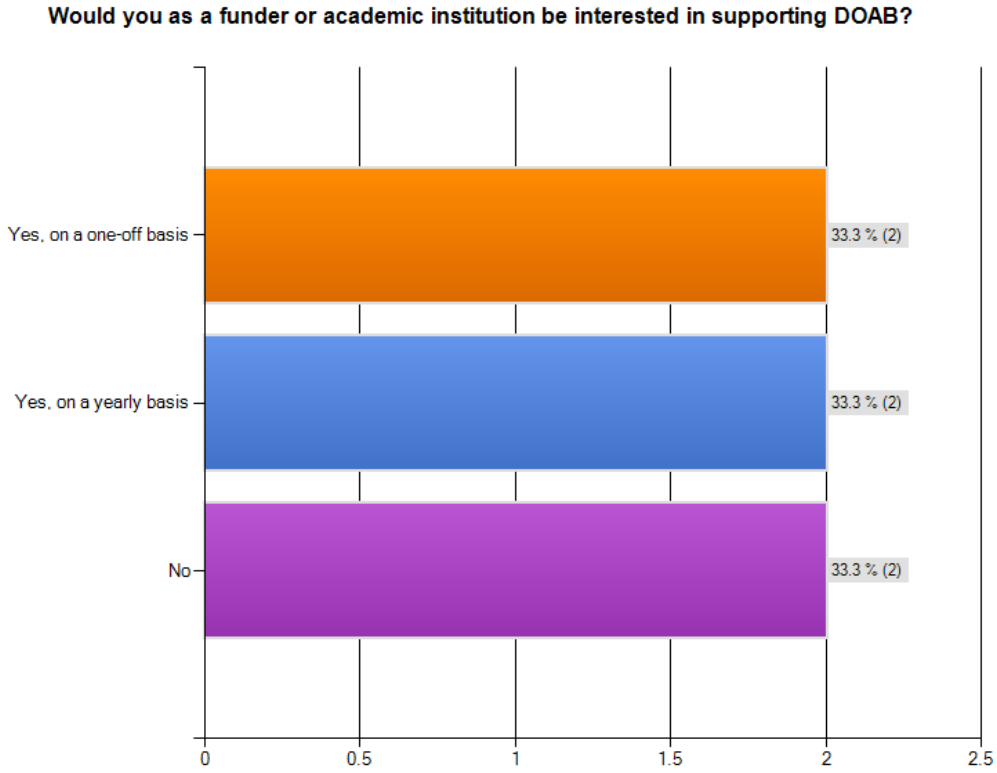
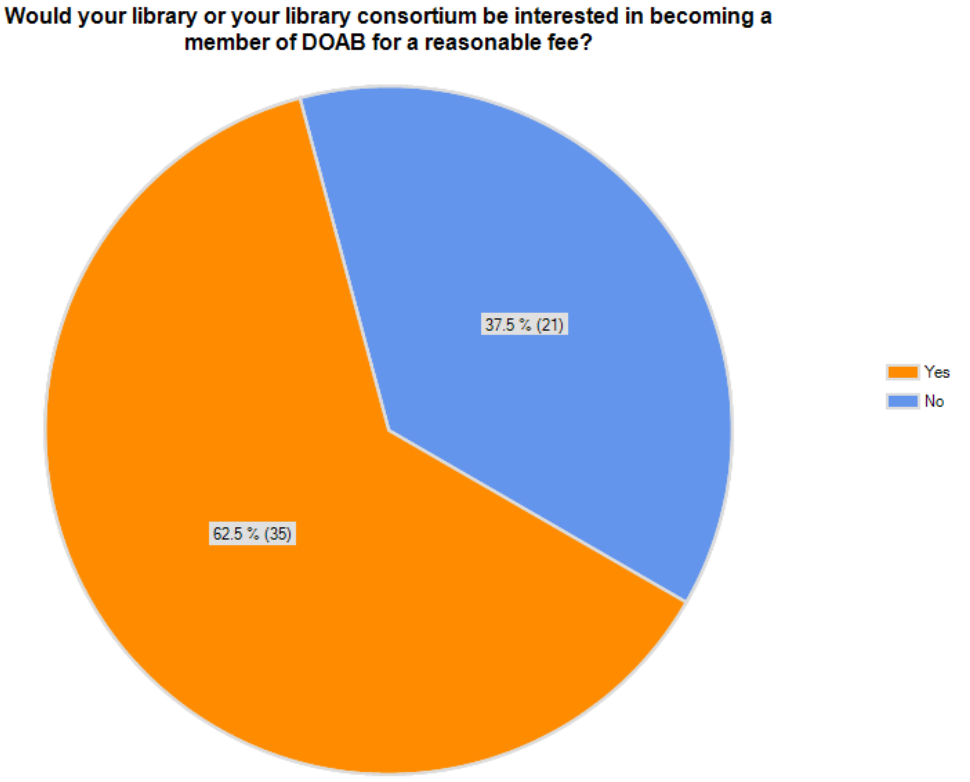



Figure 69. Librarians - Supporting DOAB (N=56)