

monograph approval plans in many libraries, even as the pandemic has triggered a rise of demand- or patron-driven acquisition for monographs.

4.1.1 Major reductions in budgets over the short and medium term

Libraries in the US and the UK expect that the pandemic will bring further significant cuts to their already shrinking budgets in the next 2-5 years along with possible workforce reductions. Specifically, our respondents report that they expect library budgets to decrease significantly – anything between 6% and 40% amongst our sample. The decrease might be caused, to a large extent, by expectations about significant drop in university incomes resulting from fewer enrolments and other cuts in income associated with the pandemic. Some participants expressed concern that their budgets may not bounce back for another 5 years. This context likely accounts for the fact that, in our survey, affordability, cost and value for money was seen as one of the two most important factors when deciding whether to support an OA publishing initiative (see *Figure 2* below).

One consequence is that many libraries – perhaps especially in the UK – are only supporting expenditure where relevance for academic staff and students can be clearly demonstrated. Some librarians expect that these unprecedented financial pressures may force them to cancel their library membership programmes. Likewise, a number of UK respondents anticipate reductions to their budgets for funding Article Processing Charges (APCs).

4.1.2 Potential impacts on OA books

This prognosis raises potential challenges for academic OA books. Academic books and monographs can be affected to a greater degree than journals because the latter are locked by subscription agreements that are unlikely to be cancelled immediately or completely. Even before the current economic downturn, librarians already struggled to provide funding the growing cost of supporting OA. Fees connected with APCs, BPCs,

CPCs (Chapter Processing Charges) and Digital Rights Management (DRM) were putting additional strain on library budgets which often do not have any monies ringfenced for supporting Open Access projects. Most of our respondents did not have ‘an institutional fund for OA publishing’ (L-UK) unless external funding has been secured. The growing publishing and subscription fees, particularly of ‘STEM content from the Big 5 publishers’, coupled with the costs of transformative agreements and ‘uncertainty of how to financially support OA, given traditional procurement processes’ (L-US) upheld librarians’ conviction that all these costs were unsustainable, even prior to COVID-19.

As argued earlier, tighter budgets will mean that librarians will be forced to focus more on their key activities, which is maintaining access to core collections and buying the content that academics and students need most. In other words, they may struggle to use the surplus from their collections’ development funds (if there is any) to sponsor OA publications or movements. If the library is not able to maintain access to the collections that have been available until now, justifying any Open Access expenditure will be difficult.

4.2 Uncertainty about external OA funding mechanisms

As we already pointed out, most libraries do not have any institutional funding ringfenced to support OA. Libraries therefore depend on external funding to finance their support for OA content.

UK libraries use the so-called OA block grants (OABG) from the UKRI that have been awarded since 2013. The OABGs are distributed on the basis of an algorithm, and research organisations (ROs), including universities, receive varying amounts of money each year – ‘the amount that each organisation receives is based on the staff effort on

grants'.¹⁰ These grants are usually administered by libraries and divided among qualifying researchers to pay Gold Open Access APCs.

In the United States, external funding mechanisms are even more disjointed. Librarians may receive allocations from their provosts or research offices, from external funders providing research grants or from their library consortia, but most of them draw funds from their materials and acquisition budgets. Allocations vary widely—from \$15,000 to over \$260,000 (McMillan et al. 2016). External funders that support OA include the Bill and Medina Gates Foundation (Chronos platform), the Simons Foundation and the Andrew W. Mellon Foundation.

Librarians from both the UK and US pointed out that there is a lot of uncertainty about external funding mechanisms for OA publishing caused by the scarcity of resources as well as inconsistencies in the approach to OA from funding bodies. Participants identified the lack of access to reliable and consistent funding as one of the biggest challenges they face.

As we have also pointed out in the COPIM 2020 report, *Revenue models for OA monographs*, seeking grants to subsidize OA publications is a very labour-intensive activity that has very low levels of success (Penier et al. 2020 p. 34). Moreover, as a result of COVID-19, public funds for research and innovation may become even less available. Funding organisations, particularly charities (examples include Cancer Research UK, British Heart Foundation, or the American Cancer Society, to name just a few) have already reported that they are in a much worse financial situation as a result of the economic recession. Fewer research grants also means less funds for OA research outputs. Librarians are worried about the impact of these developments on their

¹⁰ See Research Councils' OA Block Grants 2018-19 Frequently Asked Questions: <https://www.ukri.org/files/funding/oa/2018-19-block-grant-faqs-pdf/>

[i]t's not so much that we [librarians] want to be able to have control over the choice of publishers whose content is included in an initiative. We want to know that the publishers are the publishers our faculty members follow, both by reading their books and by publishing their own books. (L-US)

Therefore, it is vital for OA initiatives to be seen as reputable among a critical mass of researchers, which so far has not been easy.

4.4.1 Continuing prestige of legacy publishers

Our respondents suggest that the hesitation amongst researchers to publish their books in OA presses is in part connected to the continued prestige that some researchers attach to legacy publishers. As one librarian put it 'there is a perception of prestige with certain venues and that the goal is to publish in these particular venues' (L-UK). A UK librarian has pointed out that: '[a]cademic culture and practice in most disciplines remains very attached to the venue of publication', and the assumption is that there is a correlation between publishers' prestige and career success, as we argue in the next section. OA publishers, relatively new in the academic publishing industry, are still in the process of building their reputation, unlike established traditional publishers, many of whom are additionally supported by large marketing and public relations departments. This puts OA publishers, who are by comparison much smaller, at a disadvantage in relation to legacy and commercial publishers, given that prestige remains 'just such a big factor' for many research staff (L-UK).

4.4.2 Career progression structures embed dominance of legacy publishers

In the opinion of some of our respondents, the current system of rewarding research and career progression, which is often supported by both universities and funders, gives preference to established publishers and traditional academic presses. As one respondent put it, the system is 'monopolistic' (L-US), which means that even though

ever more funders insist on the outputs of publicly funded research to be published OA, this has not translated into larger copy-flows for OA publishers. For example, to quote from one of our UK-based survey participants: ‘OA for REF has been a stick rather than a carrot approach and I feel it has done little to make researchers think about alternative venues for their publications’ (L-UK). Another librarian remarked that PhD researchers and ECRs (early career researchers) are convinced about ‘the perceived importance to their academic career of getting their first monograph published with an established publisher and traditional print format’ (L-UK).

4.4.3 Continued preference for printed books among AHSS staff

Echoing the librarian quoted in the preceding section, a number of respondents highlighted the continuing attachment amongst many researchers for printed books and an indifference towards electronic editions as a reason for continued scepticism about OA. This is despite the fact that many OA publishers — and indeed all the OA publishers involved in the COPIM project — publish hard copies alongside eBooks. This trend is particularly conspicuous among AHSS (Arts, Humanities and Social Sciences) researchers, where the monograph is a core medium for the dissemination. One UK librarian suggested that AHSS disciplines are most likely to have ‘a low level of engagement ... with OA’ (L-UK), in part because OA texts are associated with eBooks. Another suggested that, in the UK, the ‘[a]cademic culture in some disciplines ... is very attached to the notion of the print book as a physical artefact and a creative object, and perceptions that this can't be appropriately replicated in an OA eBook’ (L-UK). This view was corroborated by a US participant who complained that their ‘humanities faculty ... dislike eBooks and insist that the library only buy print books’ (L-US). One UK librarian asserted that sometimes, these views can be connected to the income some academics (likely very few, more high-profile authors) generate from the sale of printed books.

4.4.4 Lingering association of OA with 'predatory' publishing

Some librarians promoting OA still have to grapple with the lingering perception that OA is 'an inferior publishing model dominated by predatory publishers' (L-US). This view, it should be noted, takes account neither of the robust and creative peer review processes that OA publishers have developed, nor the repeated calls amongst publishing scholars to nuance discussions of the diverse publishing practices that make up the publishing landscape beyond legacy publishers (see the various contributions to *Predatory Publishing* [Joy 2018b]).

4.5 Demonstrating value

Another challenge for many books-focused OA initiatives seeking funding is to demonstrate the value that they bring to both the scholarly community in general and to specific institutions in particular.

4.5.1 Demonstrating global value

According to some librarians, it would be easier for their institutions to commit to providing support for OA initiatives if they were able to provide persuasive evidence – qualitative and quantitative – that initiatives are 'actually making an impact on the scholarly communication landscape' (L-US). In this sense, the challenge for OA book publishers and other initiatives is to combat many of the preconceptions about OA publishing that have already been explored. More positively, publishers could also provide evidence of how OA helps to lower costs and could change patterns of scholarly dissemination, so it is more 'diverse, inclusive and equitable' (L-US).

Our research also provided some indications that the ability of OA book-focused initiatives to appeal to the broad scale 'global' benefits that OA publishing delivers may cut through in the US more than in the UK. This is implicit in the above two quotations, both of which are from US-based respondents. It also comes through in responses to our pre-workshop surveys (see Figure 2, below). None of the UK-based respondents agreed

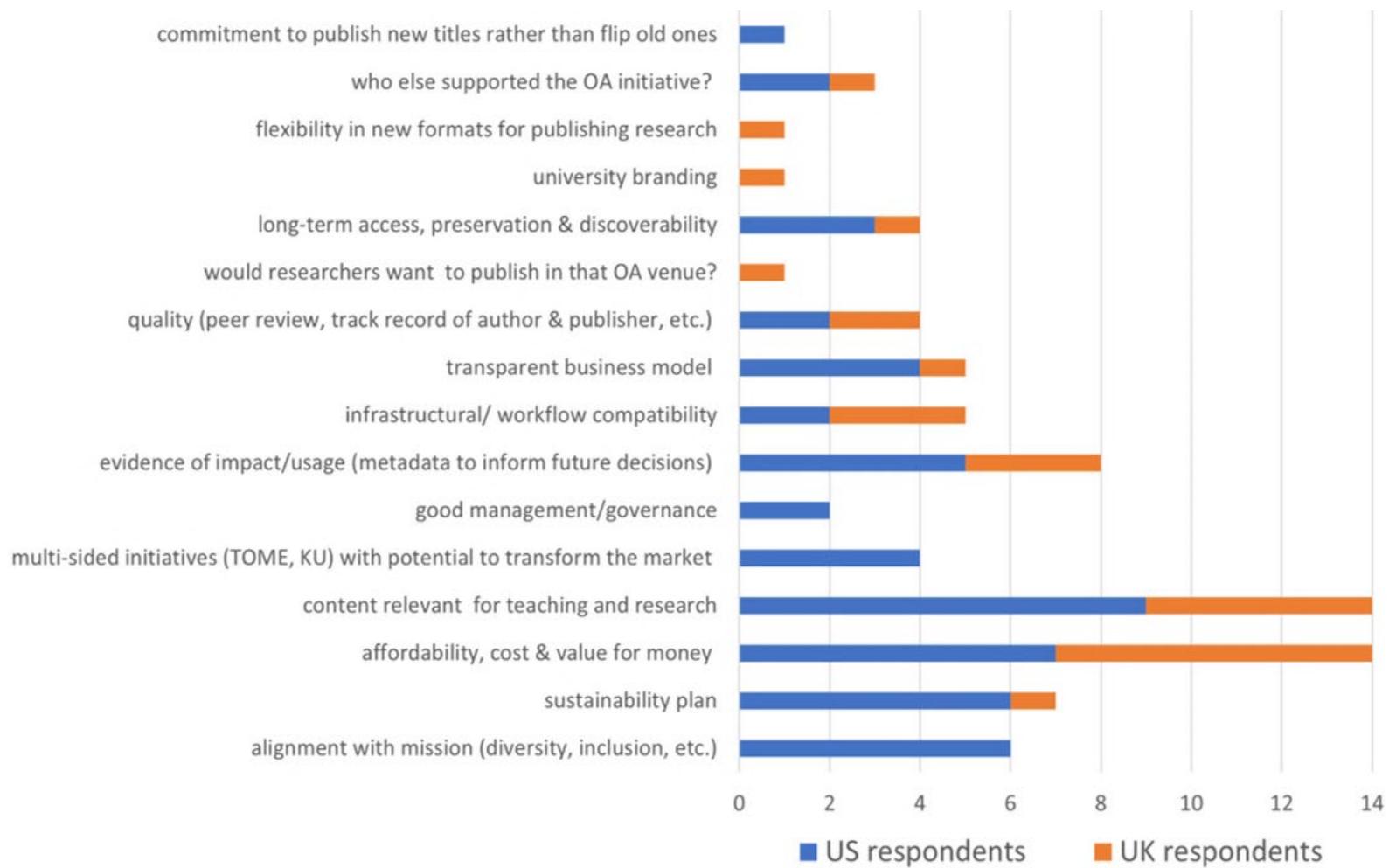
that 'Alignment with mission (diversity, inclusion etc)' was a critical piece of information in deciding to support OA initiatives, whereas for US-based respondents it was one of the most critical pieces of information. Other forms of information that can be seen as related to an ability of OA initiatives to articulate its broadscale values were similarly rated as important more by US participants than by UK participants. This includes issues of 'good management/governance', having a 'sustainability plan', a 'transparent business model', and initiatives being 'multi-sided with potential ... to transform the market'.

4.5.2 Demonstrating local value

However, even amongst US institutions, respondents assert that a continuing challenge for OA initiatives is to demonstrate not just global value but also local value. That is, the evidence that the specific OA initiatives that their universities support deliver value for those universities. This includes demonstrating the value for research and teaching at the institution.

As noted, being able to demonstrate local value assumes particular importance in the UK, with activities that could demonstrate local value being consistently. That said, for both UK and US respondents, having 'content relevant for teaching and research' remains one of the most important pieces of information that OA initiatives can provide. 'Affordability, cost & value for money' is also crucial for both, even if it is unclear from the survey responses alone whether 'value for money' is understood as related to particular institutional priorities or as value to the broader scholarly community.

Figure 2: Critical information in deciding to support OA



4.5.3 More evidence needed for faculty to support OA

Some librarians also expressed a desire to be able to show that there is a ‘demand [for investment in OA] from institutionally affiliated researchers’ (L-US). That means, in practice, ‘support[ing] ... faculty in getting their publications to press more quickly’ (L-US) and making faculty’s research more available. Therefore, library-supported OA programmes must also make a difference on a micro scale within the university that is an OA sponsor. These more local outputs and outcomes might include course adoptions of OA books by faculty members or having faculty members among authors published in OA. As a US librarian put it, if large numbers of books are released in OA, librarians would like to ‘be confident that this would include [their] own researchers, even if [they] are supporting a much wider portfolio of content’ (L-US). These observations show that libraries are keen to show that they make most of their budgets and that they serve their own academic community well.

4.5.4 Quality of metrics

A UK-based participant suggested in our survey that budget constraints will make supporting OA initiatives very hard unless there are ‘deliverable impact metrics’ that showcase the value of the initiative for a potentially participating institution. Many librarians suggest they often lack the hard data to demonstrate the benefits of OA initiatives to senior management, especially in the current financially challenging times. Part of the challenge, some suggested, is that when data is shared by books-focused OA initiatives, it can be difficult to make sense of it (one mentioned, the data provided by KU, for example). In addition, there is, they suggest, no way to efficiently and reliably connect the usage of OA materials to members of their specific institution. Digital materials are often accessed from home (especially so during the Covid pandemic) and without connecting to a university’s VPN, which means that the IP address a publisher might collect would not be associated with a particular institution.

5.0 Building OA communities and support for OA in the academia

According to our respondents, there are several ways in which support for OA books could be increased within the academy. These include:

- raising awareness of OA among different stakeholders in universities
- finding new more sustainable revenues to support publishing of OA monographs
- creating new business models that would be compatible with universities and libraries' procurement processes
- encouraging universities to include pledges to support OA in their mission statements and strategies
- developing strong OA communities and infrastructures that include both academic and non-academic stakeholders.

In this section, we focus on three main areas of our discussions. These are (5.1) developing collaborative OA offerings, (5.2) developing shared infrastructures, (5.3) raising awareness of OA.

5.1 Developing collaborative OA offerings

A key theme in our discussion was the need to develop offerings that saw new collaborations between universities and OA publishers, including their various and varied representatives. A number of respondents asserted that the broader the community of stakeholders supporting OA programmes the better. These communities should involve not only librarians and publishers but also senior academic leaders, academic staff, students, authors, readers, and funders (Eve & Lockett, 2021). They should also be diverse – members of the community should represent all types of roles within stakeholders' institutions, from top management to subject librarians. There was also some concern amongst respondents from smaller institutions that their needs can get easily overlooked in such collaborative efforts. Any new initiative should therefore be aware of such issues and include representatives from a broad and representative range of educational institutions. As one US librarian participating in the American workshop put it '[c]ommunities are broader than the narrow academic communities'.

Our research also suggests some support, perhaps particularly in the US, for OA publishers collectivising. According to a US librarian: '[i]f OA book initiatives could get together and present a united front; more libraries would take notice'. Another librarian, also from the US, remarked that '[u]sing a central consortium fund to support OA over time brings more stability' and is preferable to 'pledging OA fiscal support across individual institution budgets over a period of time'. Another advantage of consortial models is that they could facilitate discovery 'because it is difficult for libraries to stay abreast and work on discovery' (L-US).

5.2. Developing shared infrastructures

One of the major objectives of our survey was not only to gauge librarians' support for consortial business models but also their thoughts on shared infrastructures. The concept of shared infrastructure has been gaining traction recently among some advocates of OA, even though, as we have contended earlier, achieving such a collective action may be extremely difficult due to 'competing and mutually exclusive interests' (L-US). For example, Brown et al. (2007) argued that adoption of 'a shared electronic publishing infrastructure across universities' can 'save costs, create scale, leverage expertise, innovate, unite the resources of the university (...) create a blended interlinked environment of free information, and provide a robust alternative to commercial competitors'. Collaborators can often produce resources, such as open-source publishing software or an alternative library integration platform.

Successful models of such collaboration, to give just a few examples, include Ubiquity Press, which runs infrastructure that is used by many presses in their 'partner network,' Lever Press operated by several US universities or the British White Rose University Press run jointly by the Universities of Leeds, Sheffield and York.

As we have pointed out in the *Revenue models* report (Penier et al. 2020 p. 39-40), business models that involve shared infrastructures are attractive because they encourage cooperation and help to minimise the forms of unproductive competition mentioned earlier. According to the authors of the OPERAS Business Models Working Group (2018)

[b]ringing together participants with a common interest is an excellent way of sharing services and infrastructure for the common good, of raising funds for a larger-scale collective project, or of bringing together stakeholders from different parts of the academy to find common solutions.

Shared infrastructure models help to distribute risks and resources among many institutions while at the same time making most of their know-how. They may also help to mitigate 'library fatigue' caused by multiple and uncoordinated OA initiatives or library membership schemes; fatigue that was clearly recognised by our respondents as one of key factors deterring librarians from engaging in OA programmes. Finally, it has been argued that shared infrastructure models can bring about economies of scale and help smaller non-commercial academic presses as well as new university presses embedded into modern university libraries to build brand and greater operational capacity.

The two charts below (Figure 3) illustrate librarians' expectations regarding shared infrastructure and issues connected with its ownership and governance. For both US- and UK-based participants taking part in the survey, the most important expectation was for the infrastructure to be publicly available, non-commercial and transparent. In the words of a US librarian 'Open Source ... would be easier to "sell" to campus IT, open governance would help sell to leadership' (L-US). There is a hope that that academic-led initiatives can play a role in challenging the consolidation of research infrastructure by commercial stakeholders (part of the context here is the purchase of Bepress, a development of software for scholarly dissemination, by Elsevier, and KU's transition from a not-for-profit to a for-profit company). Not-for-profit organisations are also seen as more likely to deliver transparency. As one of our respondents put it, only a non-profit status of the infrastructure can guarantee that 'open publishing [is] open to public scrutiny in all aspects' (L-UK).

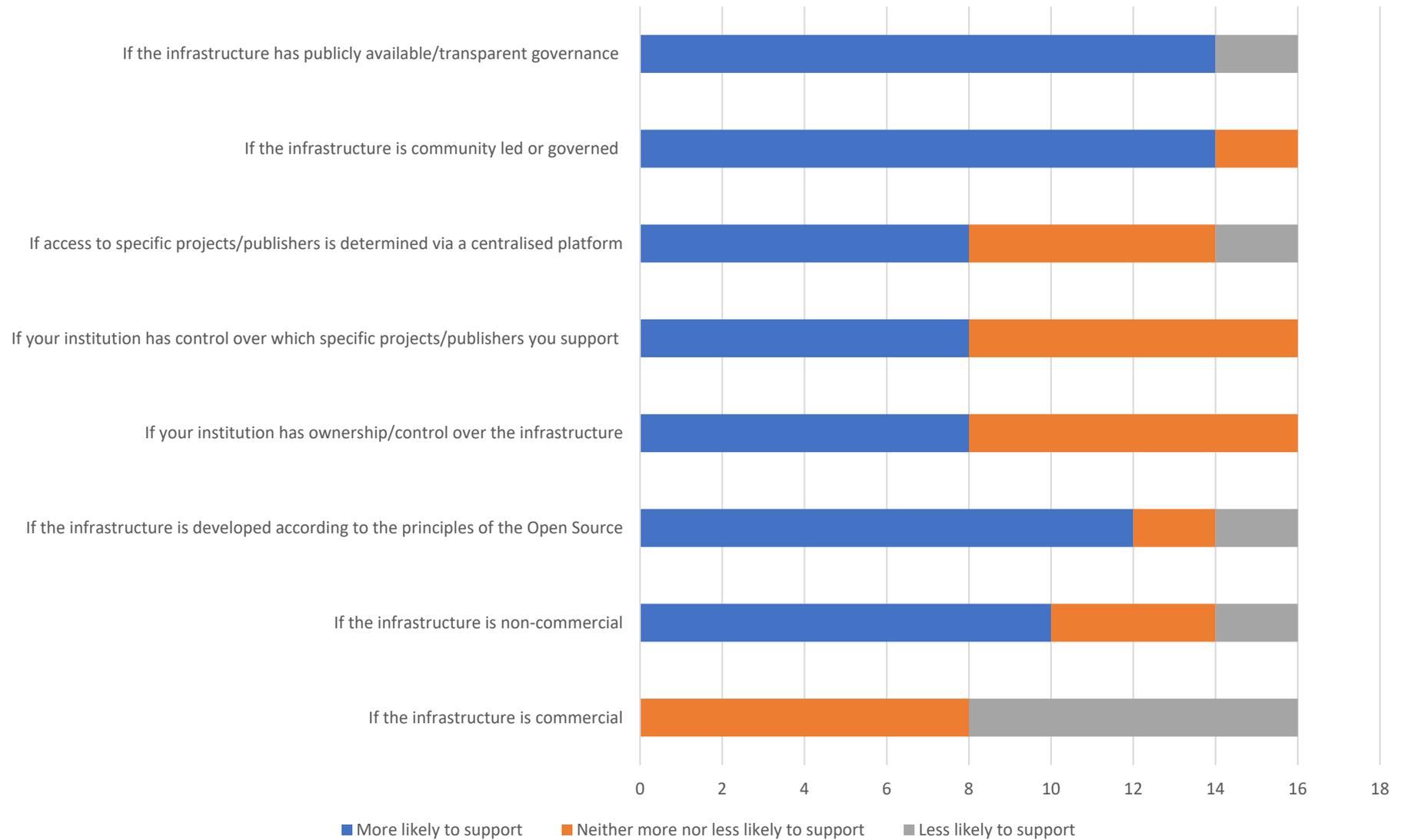
Transparency is considered a prerequisite for establishing trust between different stakeholders. Many respondents emphasised the importance of open governance, that is transparency in the decision-making processes. As a UK survey participant put it '[i]t

would be essential to have transparency over the governance of such platforms in order to have confidence in them and in order to reassure our institution and our researchers that it is the right decision to engage with it'. A plea for transparency also extends to financial operations – business model, funding mechanisms, publishing costs and pricing. In the words of an American librarian (the US workshop) '[it] is vital to me that the economics and budgeting (along with governance procedures) be as clear and transparent as possible especially if the venture is approached to merge or be acquired by another entity'. A UK-based librarian noted that currently it is the lack of transparency in regard to publishing costs that makes APCs and BPCs unacceptable. Finally, transparency, as understood by the participants of our survey, involves data and privacy protection, editorial processes – submission and peer review policies.

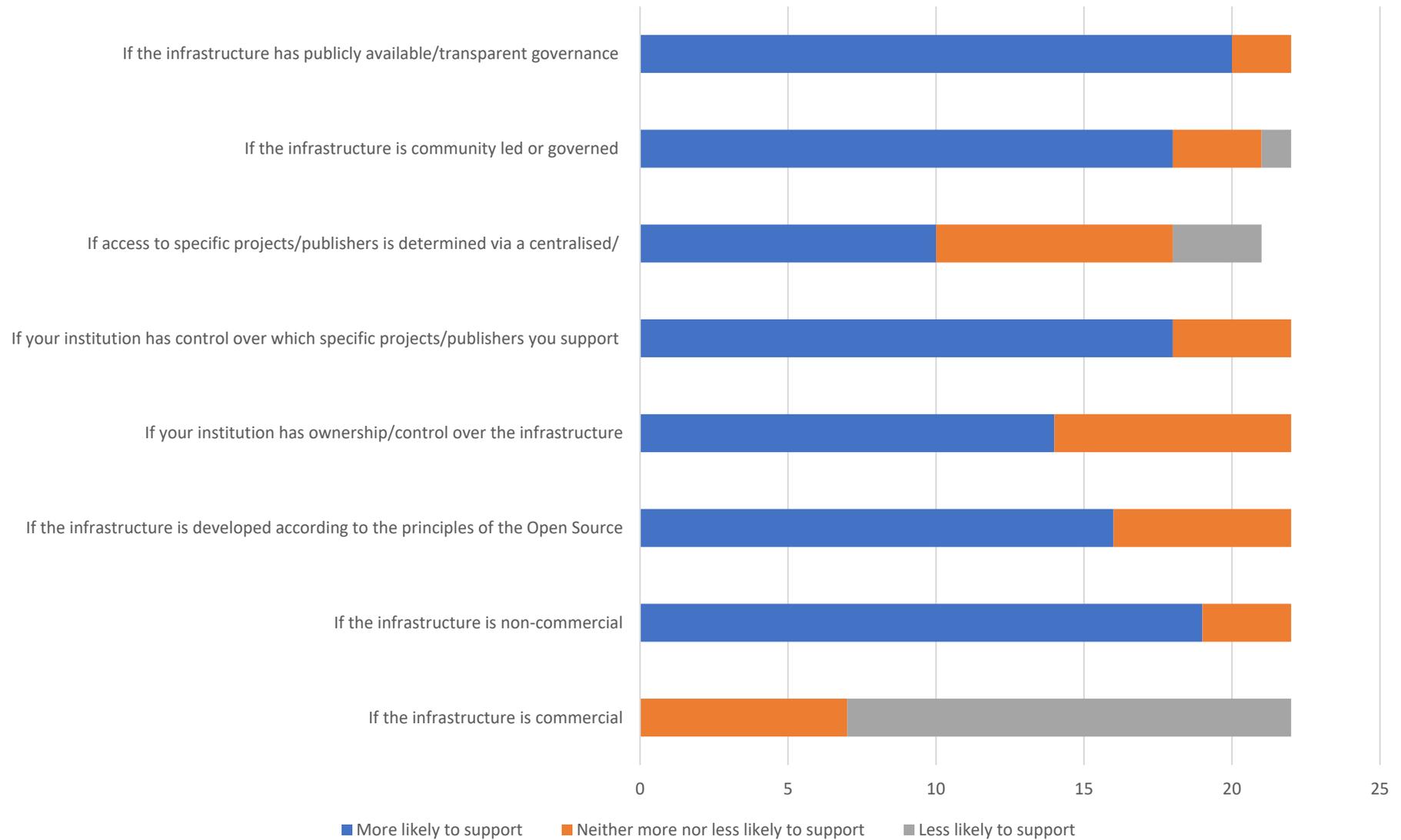
To recapitulate, our participants suggest that successful OA initiatives must build inclusive communities, not-for-profit open-sources infrastructures with transparent governance and finances. In order to achieve this, they need to engage all stakeholder institutions empowered through trusted representation or direct participation. Finally, one US-based librarian mentioned the importance of ensuring that any financial commitments can be managed flexibly – as they put it: '[i]nfrastructures need to have an exit strategy too. No matter whether an infrastructure is commercial or open-source community-governed, we need to be able to exit when and if it no longer satisfies our local use cases. No system should be impossible to exit'.

Figure 3: Critical information in deciding to support OA – UK and US Respondents (more detailed data is available in Appendix 3) The respondents answered the question: 'How might the following factors (see the chart legend) influence you/your institution's decision to support such an infrastructure?'

UK Respondents



US Respondents



5.3 Raising awareness of OA among different stakeholders in universities

While the OA movement has come a long way in recent years, there remains much that can be done to raise awareness about the benefits of OA. The participants in our workshops believed that there is a continuing need for better education about OA across universities, including libraries, administrative departments, leadership, and academics. They suggest that information campaigns should not only mention the benefits that OA initiatives bring for the scholarly communication, but they should also educate authors about how OA can benefit them directly.

Swaying researchers to choose OA may require, according to our respondents, much effort. They think it is crucial for the success of OA that librarians play a key role in OA advocacy. For many, this will involve a continuation of work already being undertaken – educating and informing about OA, debunking myths about OA and pointing out the benefits that OA brings for the global scholarly community.

One survey response suggested that one area of particular focus should be liaising with early career researchers, who are currently most affected by the pressures and challenges connected with the transition of academic publishing to OA.

6.0 Towards a new relationship between OA book publishers and scholarly libraries

Our research has shown that those working in libraries often share many of the same goals as OA publishers. As a result, it seems that there is significant potential to strengthen relationships between libraries and publishers and to develop more meaningful forms of collaboration. This is a particular issue in the context of the ever-deepening corporatization of universities and scholarship, with libraries increasingly being considered as drains on university budgets. In this context, rallying support around OA and advocating for forms of scholarly communications that are more inclusive, diverse and equitable may help shift perceptions about the role of university libraries within higher education institutions.

Within the COPIM project, one of our contributions towards addressing such issues will be the development of a new content delivery model or an OA platform that will coordinate and facilitate collaboration between OA Book Publishers (OABPs) and Higher Education Institutions (HEIs). The platform will be designed keeping in mind the needs of different actors in the OA book publishing landscape (section 3), the very real challenges of producing OA books (section 4), and the possibilities for building genuinely diverse OA communities and for strengthening OA publishing more broadly, as suggested by our respondents (section 5).

By way of conclusion, we wanted to give a sense of how we currently see the objectives of this platform (6.1), the key principles that will inform its operation (6.2), before ending with some overall concluding thoughts (6.3). In due course, we will also publish further information about the business model for the platform, and how it will aim to be financially sustainable in the medium to long term.

6.1 Objectives for the platform

Our workshops explored what shape a potential alternative platform and/or model could take. Based on the insight we have gained from our respondents; we have distilled a set of objectives and principles which could inform initial development processes:

- 1) The platform should collectively facilitate OA book publishing. It should harness the specific potential of collaboration across OA publishers, as a way of collectively funding publishing via a non-BPC based approach.
- 2) The platform should strengthen relationships between libraries and publishers. We have repeatedly observed the significant gap that exists between libraries and publishers. In the workshops we organised, some participants noted that this was the first time they had had a direct interaction with an OA book publisher.
- 3) The platform should collectively educate about OA. It is vital that OA publishers contribute towards the work of educating scholars and management within HEIs

about the potential benefits of supporting OA not just financially but also through publishing choices and teaching.

- 4) A new model for OA book publishing cannot be based solely on the promise of funds being transferred from institutions to publishers. It needs to be supported by a robust funding mechanism that will make it sustainable in the long run.

6.2 Key principles for the platform

In order to meet these objectives, we have developed a set of principles that will shape the development of the new platform/model.

- 1) The platform/model should benefit participants. We recognise that it can be difficult for institutions to commit to supporting a new initiative without a track record. Therefore, the platform/model should be valuable for participants from the very start.
- 2) The platform/model should be guaranteed as non-profit and operate transparently. Several participants of the workshops recounted having been let down by previous OA initiatives that initially started as non-commercial ventures but then either became commercial themselves or were bought by commercial third parties. In order to generate trust, a non-for-profit organisational form and transparency should be enshrined in the governance of the new model/platform.
- 3) The platform/model should not be focused on individual titles. While retaining the flexibility for institutions to support individual OA initiatives, the platform/model should develop an approach that provides advice and guidance into the world of OA monographs and makes it easier for librarians to make informed decisions about which OA initiatives to support.
- 4) The platform/model should be simple for librarians and publishers to use. Usability will be key to the success of the platform/model. The platform should avoid over-complicating its offering, it should be as user-friendly as possible and should fit in with the existing infrastructures and workflows.

- 5) The platform should explore combining qualitative and quantitative data about the initiatives it supports, to potentially also include locally specific information to demonstrate to specific institutions the value of their support for OA initiatives.
- 6) The platform/model would benefit from support from local trusted partners. Many participants suggested that significant credibility would be gained by working with existing trusted organisations familiar in the local context. In our UK and US workshops, Jisc and LYRISIS respectively were seen as attractive potential partners.
- 7) The platform/model should be collaboratively governed by scholars, librarians and publishers; it should be responsive to the needs of its various stakeholders.
- 8) The platform/model should be flexible and expandable, both geographically and in terms of being future proof.
- 9) The platform/model should be open source.

6.3 Conclusion

As higher education institutions grapple with the wreckage that has been wrought by the Covid-19 pandemic, the need to support systems that foster a more equitable, sustainable, genuinely open scholarly publishing landscape is more urgent than ever. The COPIM project has a unique opportunity to intervene into scholarly publishing and to develop systems that will allow Open Access books to travel more easily between authors and their readers. As we have shown in this report, new collaborations between publishers and higher education institutions will be a vital part of this undertaking.

As a project, our next steps are to begin work on this new platform, in line with the objectives and principles we have sketched above. In keeping with the approach, we have developed so far, this work will be open, and it will be collaborative. In that respect, this scoping report provides an initial roadmap for our work that will be added to in the coming months and years.

We would also like to extend some invitations. To those librarians looking to support Open Access books, please do get in touch, so we can work to develop solutions that meet your needs and those whom you represent. Similarly, we also invite Open Access book publishers and other OA-book focused initiatives to reach out to us. The challenges of OA book publishing cannot be solved by any one organisation. COPIM as a project emerged as part of a commitment between organisations to work collaboratively rather than competitively. With this in mind, we look forward to others joining us to explore the potential of scaling collaboration (Adema & Moore, 2021) and for, ultimately, reshaping what it means to publish a scholarly book Open Access.

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Appendix 1: Library Consortia in the UK

Libraries in the UK make acquisitions to their collections in three ways: 1) individually through institutional deals, 2) through the regional consortia they belong to, 3) via Jisc (directly or indirectly through their regional consortium). In addition to using regional consortia or Jisc, many English libraries purchase material through Southern Universities Purchasing Consortium (SUPC), which is one of the largest purchasing consortia in England. In Scotland, academic and research libraries collectively purchase materials through the Scottish Confederation of University and Research Libraries (SCURL) and the Scottish Higher Education Digital Library (SHEDL). The latter was launched in 2009 to facilitate access to electronic content for the users of the SCURL. SHEDL negotiates joint licensing of publisher resources. Currently it holds 12 licensing contracts that provide access to over 3,000 journals and 60,000 eBooks (ICOLC, n.d. Scottish Higher Education Digital Library). Scottish libraries also use Jisc for material that is not supported by SCURL or SHEDL.

The above organisations and smaller regional consortia offer collaborative service development for their members. They provide customer service, common software and other resources, and what is most important, their procurement teams use collective bargaining power to purchase competitively priced goods and services from various university, college and library suppliers. Their main objective is to reduce procurement costs (monetary or temporal), bolster delivery services for members, design and deliver training courses for staff and help with inter-library (ILL) loans. Their websites usually mention OA as part of their core organisational values.

Consortium	Aims
RLUK, Jisc, SCONUL, SCURL	Promotion of Open Scholarship/OA
M25, RLUK, NoWal, SCONUL, WHELF, Northern Collaboration, UKUPC, SCURL, M25, Jisc	Advancing quality of research, services and resources
NoWAL, WHELF, Northern Collaboration, RLUK, M25, Jisc, SCONUL	Staff training courses and development
NoWAL, UKUPC, WHELF, M25	Facilitating access and borrowing policy

NoWAL, SCURL , WHELF, NeYal , UKUPC, RLUK	Purchasing materials
SCONUL, WHELF, SCURL, Northern Collaboration, RLUK, M25	Promotion of best practices and policies
SCONUL, WHELF, RLUK, Jisc	Provision of quantitative data
Northern Collaboration, UKUPC, Jisc, WHELF	Assistance with technology
UKUPC, Jisc	Sharing agreements

Purchasing Consortia

There are eight regional and specialist purchasing consortia in England, Scotland and Wales that work under the umbrella of UK University Purchasing Consortia (UKUPC). They include 1) Higher Education Purchasing Consortium (HEPCW) in Wales, 2) APUC Advanced Procurement for Universities and Colleges (APUC) in Scotland, 3) Southern Universities Purchasing Consortium (SUPC), 4) London Universities Purchasing Consortium (LUPC), 5) North Eastern Universities Purchasing Consortium (NEUPC), 6) North Western Universities Purchasing Consortium (NWUPC), 7) the Energy Consortium (TEC), and 8) the University Caterers Organization (TUCO). UKUPC's goal is 'achieving financial and operational efficiencies, as well as sharing best practice [and ...] increasing our teams' skills and capabilities which in turn benefits our members' (UKUPC n.d.). In 2018-19, UKUPC generated £87.3 million cashable savings and £79.1 non-cashable savings (UKUPC 2020).

How do regional consortia work?

All regional consortia operate in the same way. For example, the mentioned earlier SUPC manages procurement and transactions and collects data for its 139 library members. It liaises with subscription agents and suppliers and has no direct relations with publishers. Their mission is '[t]o deliver a comprehensive set of high-quality procurement services that add tangible value to the members and the education sector as a whole' (SUPC, n.d. About SUPC).

At the moment, SUPC operates two library framework agreements, one for periodicals and one for books/eBooks. Framework agreements last from 2 to 4 years. SUPC tries to

make sure their suppliers put no barriers to OA materials. All English and Welsh universities can join these agreements. According to SUPC, their role is not only to provide good value for money in procurement processes but also to add value 'for the sector ... by supporting OA approaches or supporting improvements in metadata or accessibility. It is often about finding alignment with other bodies' (Gavin Phillips).

SUPC's frameworks are compliant with the public sector and EU procurement regulations, so they always involve invitations to tendered to shortlist the best suppliers. This means that SUPC advertises all upcoming tender opportunities in line with Public Contracts Regulations (PCR) requirements. Those suppliers who best meet the tender requirements of high-quality products/services are awarded tenders and listed as suppliers on SUPC agreements, but SUPC members are entirely independent in their purchasing decisions and are not obliged to use SUPC agreements. UK University Purchasing Consortia and its members are committed to supporting and promoting responsible procurement, which means 'ensuring that [they] implement procedures and policies to support the elimination of human rights abuses in the supply chain, the removal of barriers for SMEs, the promotion of social value in tenders, and the protection of the environment' (SUPC, N.d. Responsible procurement).

Jisc

Jisc is a UK HE and skills sector not-for-profit organization for digital services and solutions. Jisc operates shared digital infrastructures such as the JANET, eduroam UK, Library Hub, the Archives Hub (a catalogue of the collections of academic and other institutions), Sherpa (tools for checking permissions around OA), Learner Analytics and authentication systems (Open Athens and the UK Federation). It offers advice on digital technology for education and procurement consulting for universities, colleges and learning providers. As an intermediary, Jisc negotiates with commercial publishers and IT vendors to get better deals for the UK higher, further education and skill sector.

In 2019-20 Jisc helped its members to save £189m. According to Jisc's website, 'Jisc's negotiations have contained annual prices increases for electronic journal packages to

2.25% for HE and 1% for FE, compared to the market average of 4-5%' (Jisc, n.d. Savings and value).

Jisc operates as a national body. It is funded by UK further and HE funding bodies, and higher education institutions via membership subscriptions. Jisc uses a banding system to determine the rate of subscription. Bands are allocated to every organisation that uses Jisc negotiation and licensing service.

Jisc licensing team negotiate frameworks, that is 'umbrella' agreements, at the national level on behalf of the consortium, saving the members duplicated effort from negotiating individually. Jisc procurement team runs DPS – a dynamic purchasing system – to contract works, services and goods for the sector. Jisc establishes a pool of publishers/suppliers, and then libraries/consortia browse, purchase or license whatever they want from this pool via Jisc Collections agreements and licence subscriptions manager.

Jisc also offer assistance in procuring OA systems, such as institutional repositories.

National Consortia

- **The Society of College, National and University Libraries (SCONUL)** is the largest consortium in the UK (182 members). It represents all the university libraries in the UK and Ireland. It aims to promote awareness of the role of academic libraries in supporting research excellence and student achievement and employability, and represents their views and interests to government, regulators and other stakeholders. It helps member libraries collaborate to deliver services efficiently, including through shared services, and to share knowledge and best practice.
- **Research Libraries United Kingdom (RLUK)** consortium (37 members) aims to advance and help increase the impact of research.

Regional Consortia

England

- **Northern Collaboration** consortium (29 HE library members which must be members of SCONUL) aims to provide a framework so libraries can collectively improve their services, increase efficiency and explore new business models. In addition, it aims to enhance communication among librarians, raise awareness of new developments.
- **North West Academic Libraries (NoWAL)** consortium (14 members with UK Universities and Colleges of HE libraries in Cheshire, Cumbria, Greater Manchester, Lancashire and Merseyside) is a subgroup of SCONUL. It aims to strengthen the collaboration and share services among its members as well as be the regional voice of SCONUL.
- **North East Yorkshire Libraries (NEYAL)** consortium is a collaboration of academic libraries (24 members) whose purpose is to purchase library materials and services to support teaching, learning and research at the most advantageous prices for the Consortium.
- **M25 consortium** (55 members) aims exclusively at providing library services training. It offers one stop access to the library catalogues of nearly 60 world-renowned institutions and specialist collections within the M25 Consortium of Academic Libraries — helping them obtain resources from across London and the South-East within the M25 region (Greater London) and more widely across the East and Southeast.

Scotland

- **Scottish Confederation of University and Research Libraries (SCURL)** includes the main HE institutions in Scotland and organises a number of activities from training to purchasing materials. SCURL recently commissioned research to see if it would be possible to set up a Scottish universities OA press. The results, published in August 2019 (SCURL 2019) were positive, but it is not clear if this project will go ahead.

Wales

- **Wales Higher Education Libraries Forum (WHELF)** has 14 members. Its mission is 'to promote library and information services co-operation, to encourage the exchange of ideas, to provide a forum for mutual support and to help facilitate new initiatives in library and information service provision' (WHELF 2021).

Country	Consortium	Members	Membership Cost
UK & Ireland	Society of College, National and University Libraries (SCONUL)	182	No fee
United Kingdom	Research Libraries United Kingdom (RLUK)	37	Subscription rate determined annually by the Board of Directors
England	Northern Collaboration	29	Based on Jisc bands (£375 to £938/year)
	North West Academic Libraries (NoWAL)	14	Annual subscription charges are agreed by the Operations Group, following options provided by the Treasurer, and recommendations made to the Board at the June meeting and AGM. Subscriptions are based on Jisc bands.
	North East Yorkshire Libraries (NEYAL)	24	Annual subscription, the amount is determined by the Steering Committee and reviewed annually
	M25	55	Rate and method of calculating subscriptions is agreed annually at the Consortium's Annual General Meeting.
	Midlands Universities Academic Libraries (MUAL)	No information	No information
Scotland	SCURL	All Scottish HEI and research libraries, the two major public reference libraries in Glasgow and Edinburgh, the National Library of Scotland, National Museums Scotland, the Open University and the Royal Botanic Garden Edinburgh.	No information
Wales	Wales Higher Education Libraries Forum (WHELP)	14	No information
Ireland	Northern Ireland Academic Libraries Consortium	No information	No information

Consortium	Acquisitions	OA	Working Groups
RLUK		Strategy for 2018/21 focuses on Open Scholarship and a collective approach.	RLUK's OA Publisher Processes Group (OAPP) OAPP focuses on the challenges, barriers, and other issues in relation to OA practice and processes. External: Jisc OA Stakeholders Group OA Monographs Steering Group Jisc-Elsevier Open Science Group
NoWAL			Procurement Group (purchasing monographs and serials)
SCONUL		Strategy 2019-22 themes are around content a) budget constraints and the libraries' broader role b) operating in a hybrid world c) the cost of content: changing the model	The Content Strategy Group, member of the UUK OA Coordination group and its sub-groups, which argue for reforms to speed the transition to OA in the UK. During 2018 SCONUL produced briefings for members on key issues for academic libraries, including on the extensive developments of OA policy, which occurred during 2018. They held a Content Forum meeting on OA policies to provide members with a first-hand account from those involved in developing the policy.
SCURL		SCURL is currently scoping the development of an OA publishing platform to be operated by Scottish university libraries.	

Northern Collaboration			Potential projects currently under consideration: 'OA publishing/libraries as publishers' and 'Students as researchers'
Jisc	Negotiating OA agreement: Jisc Collections worked with Springer to develop its first transformative agreement and is currently negotiating with all the major publishers. Throughout 2019 they have also invested in ensuring learned society publishers have the opportunity to work with Jisc to offer transformative agreements to the UK higher education sector. This has resulted in five pilot 'read and publish' for 2020, many more are in the pipeline for 2021	Jisc supports transition to OA through negotiating agreements that meet Plan S and research funders' policies – and require the adoption of standards and service levels in those agreements. Policy and engagement: they do not have a policy position on how to achieve OA. Their work is informed by the evidence of benefit to UK research, wider economy and society. They are active in many OA groups. They participate in Universities-UK OA coordinating group. It brings together publishers, learned societies, universities, libraries, managers, funders and other.	They work with the Universities-UK OA coordinating group, which is the main body the UK government looks to in relation to OA
SCURL			SCURL is presently considering developing an OA publishing platform that will be operated by Scottish University libraries

Appendix 2: Library Consortia in the US

Consortia in the US come in different types and sizes. There are no national consortia that play an equivalent role to Jisc in the UK. Bostick (2001) provides a good overview of US consortia and explains the long tradition of library consortia. Consortia can be organised around a specific type of libraries or combine different types. When a consortium has different types of libraries it is called multitype. State libraries also form consortia that include different types of libraries, such as Swan Libraries and RAILS. Larger consortia include libraries of more than one state that are either close geographically (such as Amigos) or cover many states such as LYRASIS. Libraries in the US tend to belong to multiple consortia and networks. Consortia can also include private institutions, public or both.

Multi state consortia

LYRASIS

LYRASIS is a multi-state consortium. It has more than 1,000 members in different states and was created from the consolidation of Solinet and Palinet consortia. In 2019 they also merged with DuraSpace, an initiative that provides open-source software. LYRASIS provides different services for its members. It supports open-source technologies, helps with content creation and acquisition, consultation, fiscal services in organisations such as libraries, archives, museums.

It partners with vendors to provide products and services with better prices and terms to its members. It has a central model license approach to simplify the admin processes for licensing content and provide discounts.

Center for Research Libraries (CRL)

The Center for Research Libraries (CRL) is an international multi-consortium. It supports original research and teaching in Humanities and Social Sciences. It preserves and makes available resources built by the member libraries. It has a strong focus on preservation and sharing specialised material.

What is unique about CRL is that it works as a library, but in terms of governance and business model, it is like a consortium.

Association of Research Libraries (ARL)

The Association of Research Libraries (ARL) includes libraries and archives from the US and Canada. Members are deans and directors of libraries. It advocates on behalf of their members, shares intelligence on current issues and helps members leverage technology. It also participates in conversations around policies. ARL aims to advance research, learning and scholarly communication. It fosters open exchange of ideas and helps make partnerships between libraries.

Big 10 Academic Alliance

The Big Ten Academic Alliance Consortium is the collaboration of 14 universities. It aims to share expertise, resources and collaborate on innovative projects. The member libraries have collaborative purchasing and licensing programmes that help universities negotiate better terms. They benefit through common strategic sourcing initiatives, identifying strategies to handle emerging issues and implementing best practices. It is governed and funded by the provosts of the member universities.

Amigos Library Services Consortium

Amigos Library Services Consortium is one of the largest library service networks in US counting 524 members. It provides member discounts, training, admin and fiscal services by hosting events or conferences. It negotiates vendor discounts on libraries' behalf and sponsors agreements among members for borrowing material.

Waldo

Waldo has more than 600 members and aims to support procurement and administration of electronic information services. It provides support with technology: database trials, IP address management. It helps with competitive consortial procurement.

Consortium	Aim
LYRASIS, CRL, ARL, Big 10 Academic Alliance	Open Scholarship/OA
LYRASIS, CRL, Big 10 Academic Alliance, Amigos Library Services, Waldo	Advance quality research services and resources
LYRASIS, CRL, ARL, Big 10 Academic Alliance, Amigos Library Services, Waldo	Staff training courses/ development
LYRASIS, CRL, ARL, Big 10 Academic Alliance, Amigos Library Services	Access and borrowing policy
LYRASIS, CRL, Big 10 Academic Alliance, Amigos Library Services, Waldo	Purchasing materials
LYRASIS, Big 10 Academic Alliance	Sharing best practices/ policies
ARL, Big 10 Academic Alliance	Statistics
LYRASIS, Amigos Library Services, Waldo	Assistance with technology/share software
LYRASIS, CRL, Amigos Library Services, Waldo	Sharing agreements

Consortium	Members	Membership Cost
LYRASIS	<1000	Based on Tiers (from \$0-\$2,500)
CRL	<200	Based on type of membership ranges from \$1,200-\$78,000
ARL	124	
Big 10 Academic Alliance	14	
Amigos Library Services	524	Fees are determined by library type and annual budget

Consortium	Acquisitions	OA
LYRASIS	Extended their role beyond licensing and negotiating discounts and partnered with many OA initiatives	LYRASIS and its think tank, Leaders Circle, conduct research on scholarly publishing to understand how institutions support dissemination and OA. It has a role as US national contact point for the following initiatives: SCOAP ³ US, Knowledge Unlatched, and Open Library of Humanities.
ARL		Through collective action they work to increase the amount of high-quality scholarship that is openly available to position their members as leaders on 'open

		<p>science by design' within their own institutions and to provide leadership on high-impact collective collections initiatives. The Association partnered nationally and internationally to inform open science practice. The Association is committed to advancing open monographs as part of a movement to sustain the infrastructure of academy-based humanities and social sciences publishing. AAU, ARL, and the Association of University Presses (AUPresses) launched openmonographs.org to flip the funding model for university publishing.</p>
Big 10 Academic Alliance		<p>In 2006, the Provosts of the Big Ten Academic Alliance publicly endorsed congressional passage of federal legislation (Federal Research Public Access Act) that would mandate deposit of federally funded research findings letter in an openly accessible repository. They promote author control over the dissemination of their research. They manage secure repositories for OA content.</p>

State Consortia

- **Swan Libraries:** has 97 members in Chicago. It aims to share and give access to resources and support library staff with IT, consulting, training. The members share a catalogue, cataloguing services, unique collection of materials.
- **RAILS:** has approximately 1,300 academic, public, school, and special library agencies in northern and west-central Illinois. It offers different services, such as ILL, shared catalogue, cooperative purchasing. It helps with training.
- **Triangle Research Libraries Network:** is a collaboration of four universities in North Carolina. It aims to help with the financial, human and information resources through cooperative efforts to help with research and teaching. They share collections, collaborative digital materials, knowledge, and training.
- **Michigan Library Consortium:** facilitates sharing resources and collaborates with organisations to benefit Indiana and Michigan libraries. The members share best practices, create communities and benefit from networking. They also purchase and share resource services.

- **OhioLink:** has 117 members in Ohio. It is a multi-consortium. It cooperatively acquires, provides access to and preserves print and digital resources to advance research and teaching in Ohio.
- **California Digital Library (CDL):** is a coalition of 10 University of California libraries. It provides library services through campus partnerships with external collaborations to help libraries have high impact, support scholarship and share resources. It has members that represent administration, technology and leadership of the campuses. The campuses help with discovery, collections development and management, publishing and digitisations. They offer business services, information services, infrastructure and applications support services, and user-experience design services. CDL also manages all the licenses for consortial purchases. It has put a lot of effort into developing services and resources to support and advocate for OA.

Appendix 3 Critical information in deciding to support OA

Critical information in deciding to support OA (detailed data). The respondents answered the question: 'How might the following factors [see the chart legend] influence you/your institution's decision to support such an infrastructure. In the chart in the report, in order to increase readability, 'Much more likely to support' was merged with 'Slightly more likely to support'

	If the infrastructure is commercial		If the infrastructure is non-commercial		If the infrastructure is developed according to the principles of the Open Source		If your institution has ownership/control over the infrastructure		If your institution has control over which specific projects/publishers you support		If access to specific projects/publishers is determined via a centralised platform		If the infrastructure is community led or governed		If the infrastructure has publicly available/transparent governance	
	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>	<i>UK</i>	<i>US</i>
Much more likely to support	0	0	2	6	6	7	4	4	4	8	0	2	6	9	10	13
Slightly more likely to support	0	0	8	13	6	9	4	10	4	10	8	8	8	9	4	7
Neither more nor less likely to support	8	7	4	3	2	6	8	8	8	4	6	8	2	3	0	2
Slightly less likely to support	8	8	2	0	2	0	0	0	0	0	2	3	0	1	0	0

Much less likely to support	0	7	0	0	0	0	0	0	0	0	0	0	0	0	2	0
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