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Direct
to Open

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MIT Press
Direct to Open (D2O)
Prospectus



Direct to Open (D2O) is a new, collective action model, built to support the open access publication of digital monographs from the MIT Press. Open scholarship benefits authors, readers, and the academy at large. At the same time, the traditional, market-based business model for scholarly monographs no longer works. **D2O** seeks to move digital scholarly books—monographs and edited volumes—from a gated purchase model to an open community-supported approach. **D2O** brings libraries and the MIT Press together to open access to knowledge in a new way.

MIT PRESS and OPEN ACCESS

The MIT Press is a leading publisher of books and journals at the intersection of science, technology, and the arts. MIT Press books and journals are known for their intellectual daring, scholarly standards, and distinctive design. Since its founding in 1962, the MIT Press has been changing the rules of engagement between academic authors and their readers. Reflecting and amplifying the values of an educational institution that places a premium on experimentation, invention, and open information access, the MIT Press was one of the first publishers to exploit the potential of the internet. The MIT Press has been a leader in open access book publishing for over two decades, beginning in 1995 with the publication of William Mitchell's *City of Bits*, which appeared simultaneously in print and in a dynamic, open web edition.

Books Revenue

Open Access books at the MIT Press, thus far, have been funded primarily on a single title or small subject collection basis. While this has allowed us to gradually open more of our books, it has not provided a long-term, sustainable way to open our monographs on publication. We have needed a clearer model to solve the market failure for monographs. Monographs have seen a steady decline in sales from 1,500 copies in the 1990s, to a present level of around 300 copies or fewer per title. Like most academic presses, monographs are currently subsidized in part through other publication programs, including trade books, journals, and textbooks. This allows us to continue to publish scholarly books that are integral to the mission of the Press.





Need for new books models

Long-form works are still central to many disciplines, particularly in the humanities and social sciences. Monographs are not merely the output of research, but an integral part of the research process itself. Book processing charges (BPCs), where the burden to find open access funding is placed on the author, are neither equitable nor scalable. Even for authors at well-funded institutions, BPCs are not always in reach; for researchers at less well funded institutions, they are near impossible. By not relying on BPCs, D2O provides the opportunity for all authors, regardless of their funding or institution, to publish open access. All monograph authors at MIT Press will know they can reap the benefits of having an open access book. Sharing the costs across institutions, helps to bring the fees down for all institutions for a more accessible model.

PARTNERING TO OPEN MIT PRESS MONOGRAPHS

How will D2O work?

Libraries and consortia worldwide will enable scores of titles each year to become openly accessible without BPCs and with real local benefits for supporting libraries. Rather than opening access to books on a per title basis, D2O will allow the Press to open its complete list of scholarly books published in 2022. The model will fund collections totaling around 90 books per year.

Libraries that commit to support D2O will also receive the benefit of access to the corresponding backfile for that collection. The complete collection backfile offers access to over 2,300 scholarly titles on the MIT Press Direct platform spanning the publishing history of the Press. The Humanities & Social Science and STEAM collections contain around 1,100 titles. We are asking libraries and consortia to commit to supporting the model between now and September 2021.

What will be made available and how?

Monographs and edited scholarly works published in 2022 will be eligible for D2O when the model reaches the fixed financial success threshold. In order to ensure that we accommodate researcher needs and library budgets, we are offering libraries the opportunity to support the complete collection, or one of two, non-overlapping subject collections: Humanities & Social Sciences, and STEAM (STEM + Art & Design). If only one collection reaches the threshold, we will open that collection. If we pass the threshold for both collections by the end of the commitment window, we will look to redistribute the surplus across supporting libraries. If we do not reach the threshold for either collection, we will not make any content open. If the model





is unsuccessful, libraries that commit to supporting D2O before the end of September 2021 will receive term access to the monograph backfile and will not be invoiced for the commitment fee.

Books will be open upon publication on the MIT Press Direct platform, the most comprehensive site for MIT Press ebooks. We work with major discovery services to ensure our resources are visible including providing MARC and KBART to OCLC, EBSCO EDS, and ProQuest/Ex Libris Alma. We are in frequent contact with libraries and our discovery partners to ensure that we improve record delivery and ensure libraries are able to access and use the collections they need. We also make records available on our platform for downloading. Currently, we offer an OA books MARC collection and plan to do the same for a D2O collection. We provide COUNTER and SUSHI reports on the Direct platform for libraries in the administrator portal, available after the 5th of each month for the prior one.

These reports are available for OA titles, and will be available for books that go OA under the D2O model. Usage that comes from institutional account affiliated IPs will be attributable to an institution's usage. Capturing non-affiliated usage is more challenging. New functionality on the Silverchair platform will enable us to capture more OA books usage than we have previously, which will provide aggregate usage data for supporting libraries.

We will provide a title list for D2O, indicating books that are included, as well as which collection they will be allocated to (HSS or STEAM), being aware that with a highly interdisciplinary list, we will have to make some subjective decisions about where titles fit in the two-collection split. Our Spring title list is finalized around October, the Fall title list around May. Books will be published under a CC BY-NC-ND license, with case-by-case consideration for authors that request a different license.

We will also have an exclusions list to make clear what is not eligible for D2O. We do not currently make our reference works or textbooks available on the Direct platform. These books will also not be eligible for the D2O model. We will also need to exclude any titles where we are unable to secure digital rights. We will keep our trade titles in a separate collection on Direct, available for purchase as DRM free ebooks, as before. For transparency and ease of identification of excluded titles, we will continue to maintain an exclusions list, as well as a trade collection title list.





What will it cost and why?

D2O moves beyond conventional FTE-based classifications to provide institutions with a more equitable fee structure. An institution's tier is based on a number of factors, including collections budget, size, and type of degrees granted and assumed greater use by large PhD institutions than small BA institutions alongside FTE. Using a tiered fee structure based on the characteristics of the institutions ensures that the D2O model is equitable and affordable for all libraries. The financial threshold for each collection only partially covers the direct costs of publishing the monographs, and the Press will continue to cross-subsidize the monographs from other sources. Because the target does not include any surplus or margin, we cannot offer discounts to individual libraries or consortia, as that would raise the cost for other institutions.

At the end of the first year, we will provide supporting libraries with reporting that will show usage, as well as any other valuable insights we gain from this cooperative model.

PARTICIPATING IN D2O

Overview

The D2O model aims to distribute the total financial success threshold for each collection across the estimated number of institutions expected to support it. The tier fees vary by institution type and size and reflect anticipated demand and institutional serials budgets. The listed fees reflect the *most* that an institution would pay. If more institutions participate than projected, the participation fees will be reduced proportionately before invoicing.

The fee structure table, below, shows the sixteen tiers for U.S. universities with the support fee for each tier for the subject collections or the complete D2O collection. The fee for supporting the complete collection includes a 5% discount. The number of institutions for each tier represents how many of each type and size of institution we aim to have participate in the model. The percentage shows the portion of the total US institutions that number represents. The financial target for each subject collection represents 50% of the average direct costs for publishing the monographs in the collection. MIT Press subsidizes the remaining 50% of the direct costs, as well as the indirect costs, out of its institutional subsidy from MIT and a portion of the surplus from other types of content.





D2O Participation Fees & Average Cost per Title

Institution Type & Size	Participation Fee			Number of Institutions
	HSS	STEM	Both*	
AA Institutions, US				
< 5,000	\$ 975	\$ 660	\$ 1,555	10
5,000 - 9,999	\$ 1,245	\$ 840	\$ 1,980	4
> 10,000	\$ 1,390	\$ 940	\$ 2,215	4
BA Institutions, US				
< 1,000	\$ 1,115	\$ 755	\$ 1,775	31
1,000 - 4,999	\$ 1,535	\$ 1,040	\$ 2,445	46
> 5,000	\$ 1,725	\$ 1,170	\$ 2,750	2
MA Institutions, US				
< 1,000	\$ 1,160	\$ 785	\$ 1,850	7
1,000 - 4,999	\$ 1,650	\$ 1,115	\$ 2,625	39
5,000 - 9,999	\$ 2,025	\$ 1,370	\$ 3,225	15
10,000 - 19,999	\$ 2,290	\$ 1,550	\$ 3,650	8
> 20,000 FTE	\$ 2,540	\$ 1,720	\$ 4,045	2
PhD Institutions, US				
< 5,000	\$ 1,725	\$ 1,170	\$ 2,750	28
5,000 - 9,999	\$ 2,375	\$ 1,610	\$ 3,785	28
10,000 - 19,999	\$ 2,905	\$ 1,965	\$ 4,625	41
> 20,000 FTE	\$ 3,745	\$ 2,535	\$ 5,965	49
Other Institutions				
Special Focus Institutions, US	\$ 1,205	\$ 815	\$ 1,920	25
Total, US				340
Total, International				142
Total institutions:				482

*5% discount

Institution Type & Size	Average Cost per Title†	
	HSS	STEM
AA Institutions, US		
< 5,000	\$ 0.85	\$ 0.54
5,000 - 9,999	\$ 1.08	\$ 0.69
> 10,000	\$ 1.20	\$ 0.77
BA Institutions, US		
< 1,000	\$ 0.97	\$ 0.62
1,000 - 4,999	\$ 1.33	\$ 0.85
> 5,000	\$ 1.50	\$ 0.95
MA Institutions, US		
< 1,000	\$ 1.01	\$ 0.64
1,000 - 4,999	\$ 1.43	\$ 0.91
5,000 - 9,999	\$ 1.76	\$ 1.12
10,000 - 19,999	\$ 1.99	\$ 1.26
> 20,000 FTE	\$ 2.20	\$ 1.40
PhD Institutions, US		
< 5,000	\$ 1.50	\$ 0.95
5,000 - 9,999	\$ 2.06	\$ 1.31
10,000 - 19,999	\$ 2.52	\$ 1.60
> 20,000 FTE	\$ 3.25	\$ 2.07
Other Institutions		
Special Focus Institutions, US	\$ 1.04	\$ 0.66

†Average for frontlist & backlist.

Libraries can choose to participate for one year or up to three years (with no increase in the support fee). Three-year participation will allow greater sustainability for the model and provide more data across time to measure impact of the model, for example, with regard to print purchasing patterns.

Timelines

Your library can commit to supporting D2O any time from now through the end of September 2021. Invoices will be issued in October 2021. We are able to invoice sooner where necessary.

