

## **Memorandum of Understanding**

This Memorandum of Understanding (MOU) is between Duke University Press (hereinafter "Duke UP ") and The Regents of the University of California, on behalf of the California Digital Library ("CDL") and relates specifically to the implementation of a pilot project to support the opening of UC-authored monographs.

Term of project: July 1, 2025-June 30,2028

### **1. Goals of project:**

- To encourage authors affiliated with the University of California to publish monographs open access, increasing open access publishing over time, with an aspirational goal of open access availability of all UC-authored monographs
- To increase the availability and use of UC research by making both new and previously published monographs open access
- To develop business models and workflows that enable programmatic support, especially from libraries, for OA monograph publication, especially by university presses

### **2. Obligations of parties:**

- Both CDL and Duke UP
  - Regular communication, including meeting a minimum of once per quarter over the term of the project
  - Joint development and implementation of plan for communication with eligible authors
  - Collaboration on reports, presentations, and other project outputs
- CDL
  - Payment of Annual Fee for each year of project
  - Promotion of project through UC communication channels
- Duke UP
  - Management of and reporting on Annual Fee allocations
  - Creation of list of previously published monographs eligible for conversion to OA
  - In collaboration with CDL, development of rights management workflow for OA conversion of previously published monographs
  - Commitment to make OA books supported by project available/discoverable on major academic ebook platforms (e.g., JSTOR, OAPEN)
  - Collaboration with UC's eScholarship publishing program to make books supported by the pilot program available on the eScholarship platform

### **3. Financial terms**

- UC Libraries, as represented by CDL, will provide Duke UP [REDACTED] by July 1 of each year of the project (Annual Fee). The Annual Fee will support:

- New OA monographs: Open access publication of any monograph by an eligible author placed under contract by [university press] during the funding year. For each monograph so published, [REDACTED] will be allocated from the Annual Fee.
- Retrospective OA monographs: Open access publication of eligible, previously published monographs. For each monograph so published, an allocation will be made from the Annual Fee according to Table 1: Duke UP Backlist Opening Fee Schedule.

| Table 1: Duke UP Backlist Opening Fee Schedule |            |            |            |            |            |                            |
|------------------------------------------------|------------|------------|------------|------------|------------|----------------------------|
| Publication Year                               | 1 book     | >10        | >20        | >40        | >100       | Approx # available to open |
| 2005-2014                                      | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | 150                        |
| 2015-2018                                      | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | NA         | 50                         |
| 2019-2021                                      | [REDACTED] | [REDACTED] | NA         | NA         | NA         | 20                         |
| 2022-2023                                      | [REDACTED] | [REDACTED] | [REDACTED] | NA         | NA         | 35                         |
| 2024                                           | [REDACTED] | [REDACTED] | NA         | NA         | NA         | 15                         |
| Early 2025, published                          | [REDACTED] | NA         | NA         | NA         | NA         | 5                          |
| Frontlist, not published                       | [REDACTED] | NA         | NA         | NA         | NA         | 12-15/year average         |

- At the end of each project year, CDL will have the option to (a) use remaining Annual Fee balance to convert eligible, previously published monographs to open access; (b) carry any remaining Annual Fee balance into the next year; or (c) combine options (a) and (b). CDL may not request a refund of any portion of the Annual Fee.
- In addition to the Annual Fee, CDL will provide Duke UP with a one-time fee of [REDACTED], to be paid by June 30, 2025, to enable the opening of UC-authored books under publication contract as of May 1, 2025.

#### 4. Author rights, copyright, and licensing:

CDL and Duke UP commit to working together to investigate options for licensing monographs opened through the pilot project. Approaches to copyright and licensing implemented in the pilot project are expected to (1) ensure fully-informed author choice that includes multiple Creative Commons license options (i.e., not limited to CC BY-NC-ND); (2) balance the interests of authors, readers, presses, and libraries; and (3) prioritize the potential for monographs opened by the projects to have the greatest possible impact over time.

## 5. Assessment:

CDL and Duke UP commit to assessing the performance of the pilot project throughout the term of this agreement and implementing iterative changes to the project as both parties deem appropriate and acceptable.

Potential assessment metrics include:

- Number of newly published UC-authored books made OA because of project support
- Number of previously published UC-authored books made OA because of project support
- Usage of OA books supported by project, as evidenced by, e.g.:
  - Downloads
  - Citations
  - Use in courses
  - Altmetrics (e.g., links in social media posts)
- Author satisfaction with experience with project
- Replicability of business models and workflows with other presses and other libraries
- Overall benefit of pilot program to CDL/UC Libraries
- Overall benefit of pilot program to Duke UP

## 6. Preliminary project timeline, subject to change:

- Year 1
  - Month 1
    - Payment of Year 1 Annual Fee upon signature of the MOU
    - Establishment of meeting schedule
    - Setting communication expectations (internal to project team)
  - Months 1-3
    - Development of plan to promote project
      - Author outreach
      - General awareness building
    - Creation of initial list of previously published monographs eligible for OA conversion
    - Send invitation to Fall 2025 authors (possibly informally if workflow is not yet fully set)
  - Months 4-12
    - Monitoring of project activity
    - Implementation of project promotion plan/external communication
    - Preparation to support potential OA conversion of previously published monographs
      - Gathering of author contact information
      - Prioritization of list of eligible titles
      - Creation of author communication templates
  - Month 12
    - Decision about fate of any remaining Annual Fee balance

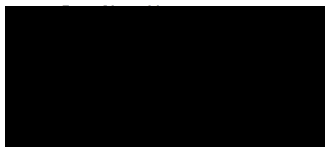
- Midterm report, with recommendations for course corrections as needed
- Year 2
  - Month 1
    - Payment of Year 2 Annual Fee
    - Implementation of retrospective OA conversion workflow if any portion of Year 1 Annual Fee is to be spent this way
  - Months 2-12
    - Monitoring of project activity
    - Documentation of workflows and business models
    - Preliminary investigation of replicability of workflows and business models (other libraries, other presses)
  - Months 10-12
    - Drafting of final report, including assessment
    - If appropriate, proposing presentations/articles about project
  - Month 12
    - Decision about fate of any remaining Annual Fee balance
      - If balance needs to be spent out by project end date, this decision will need to be made earlier
    - Decision about whether/how to operationalize pilot into ongoing program

Appendix A: Duke UP Application for Participation (as completed by Duke UP)

AGREED AND ACCEPTED

**The Regents of the University of California, on behalf of California Digital Library**

Signature:



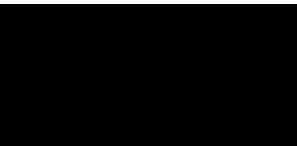
Name:

Title: Director of Shared Collections, CDL

Date: 5/23/2025

**Duke University Press**

Signature:



Name:

Title: Director, Duke University Press

Date: 5/23/2025

**California Digital Library and Duke University Press  
OA Monograph Pilot  
Proposal Draft**

The California Digital Library (CDL) and Duke University Press (DUP) OA Monograph Pilot aligns the publishing output of one of the world's leading university systems with a prestigious and high quality university press that has taken a leadership role in OA monograph publishing. Opening the publications of UC authors has been a longtime vision of CDL's whether in the sciences or in the humanities. The moment has arrived to construct a model that will enable humanists to participate across the University of California System in an effort to open DUP frontlist books upon publication over the next three years.

**I. Cost of DUP Monographs**

Since [The Ithaka Monograph Study](#), we've spent the last few years continuing to analyze the cost of publishing our monographs. Our actual costs, including overhead, are close to [REDACTED] per title. As Table 1 in the Ithaka Study indicates, Group 4 presses like Duke spend on average [REDACTED] per book. We became a Group 4 press approximately 5 years ago and so we sit right on the border of Group 3 and Group 4 presses. Group 3 presses invest approximately [REDACTED] less per book than Group 4 presses.

Our high investment per book is an important factor in our calculation for OA fees. We do not recover that investment, and it is only through our journals program that we can invest at this level for our books. After five years, we generate approximately [REDACTED] per title in net sales. We see approximately [REDACTED] per book in net sales in year one, [REDACTED] by year two, and then we reach [REDACTED] on average by year five. By ten years, the average sales per book reach close to [REDACTED]. This means that we are always operating at a loss on the books side, but as a mission-driven press that has had an outsized impact on interdisciplinary humanities and social science research, we are proud of what we have achieved.

**II. DUP Business Model**

University press finances vary significantly from press to press. For example, we receive very little institutional support from Duke University, amounting to less than 2% of our annual budget. Our books program is subsidized annually by journal revenues. Achieving a zero balance overall for the Press has been a challenge since the pandemic.

In light of this, we have opened the majority of our frontlist titles for a fee of [REDACTED] via TOME and our internal DUP efforts. Our ideal open access fee is over [REDACTED], but we also understand that open access initiatives have tended to cap their fees at \$15,000 for new books.

As the sales data above indicates by looking at average sales per book at 5 and 10 years, our books tend to have a long tail when it comes to sales but the market for university press monographs has continued to shrink since the pandemic making each decision to publish a

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difficult one. Our institutional eBook collections and single title eBooks have helped offset our deficits along with our robust journals program.

Each book that we include in an open access program is a book that we cannot sell via our institutional eBook collections. In addition, each open access title will inevitably cut into our print sales both in the short term and the long term. Our backlist sales are currently approximately 80% of our total sales so opening up a book today has impacts for sales losses for over a decade.

As you know, we are not just any university press. Our books are field-defining and award winning. Duke University Press has long brought cutting-edge humanities and social science scholarship to a worldwide audience. From black studies and queer theory to feminist science studies and climate change, the Press has been a leading voice in the most important conversations of our time. Our books won more than 70 awards in 2024.

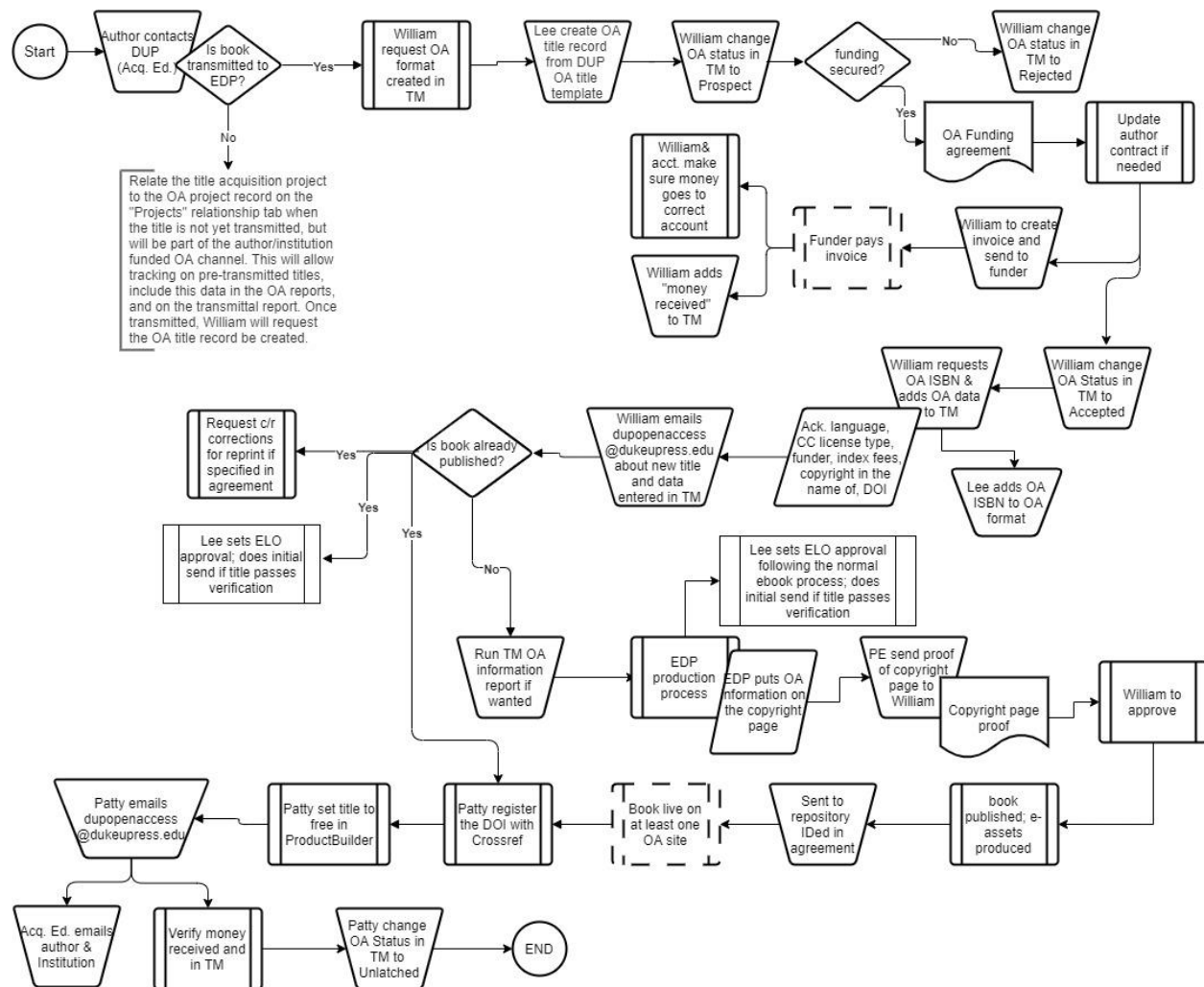
We invest a great deal in our books through our editorial, production, and marketing departments, but this investment pays off each year in a book publication program that is one of the premiere humanities and social sciences publishing programs in the world. A Duke book stands apart because of its interdisciplinary excellence and its place in an ongoing scholarly conversation that began during a humanities renaissance in the 1980's and 90s at the University.

Our investment in each open access book is the same as our non-open access books. The open access support from CDL will allow us to maintain the quality of our publication efforts for these open access books.

### **III. DUP OA Workflow**

The workflow for creating an open access version of a single book is both labor and resource extensive. We have one staff member who spends half of his time on open access workflows and coordinates the additional work of several other staff members who are involved including our Director and Editorial Director, who oversee the OA agreements, our Production Data Coordinator and Senior Systems Business Coordinator, who create and deposit the Open Access versions of each book, along with our Books Marketing Metadata, Digital Systems, and Direct Marketing Manager, who oversees all metadata for our books, including our OA formats. Here is a snapshot of what the workflow diagram looks like for each of these open access books:

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## IV. DUP OA Pricing

We publish each open access book within 2-3 weeks of the print format release, so each book has its own individual timeline. We are able to realize some very limited efficiencies in backlist publishing and are able to offer a volume discount in those cases as follows:

| Publication Year | 1 book | >10  | >20  | >40  | >100 |
|------------------|--------|------|------|------|------|
| 2005-2014        | 5K     | 4.8K | 4.5K | 4.1K | 4K   |

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|                |       |      |       |    |
|----------------|-------|------|-------|----|
| 2015-2018      | 6.5K  | 6.4K | 6.2K  | 6K |
| 2019-2021      | 8.5K  | 8.2K |       |    |
| 2022-2023      | 11.5K | 11K  | 10.8K |    |
| 2024           | 13.5K | 13K  |       |    |
| Frontlist, new | 15K   |      |       |    |

We see the highest sales in the first two years of a book's life, which is why we stand more to lose on our frontlist. We are happy to offer volume discounts on backlist books where our sales per year are lower and where we can realize efficiencies in a bulk approach.

In summary, our book program is not self-supporting. We invest more than we realize in sales. The open access support we would receive from CDL will not improve our losses, and indeed, has potential to deepen them, but it would allow us to see our books more widely and globally accessible and it would benefit our authors and broaden our impact. We see this initiative and partnership with CDL as a way to help us continue that tradition of opening bold and innovative scholarship to the world. We also see this initiative as an opportunity for CDL to partner with a press that offers a robust investment to our authors and has the resources and expertise to produce books that will define fields and disciplines in the future.

### **V. Licensing**

DUP's approach to licensing books made open access through this program is to prioritize the long-term viability of the book and to enable its inclusion in scholarly communications in a manner that respects and balances the interests of the author, the publisher, the reader, and the library. Our books have enduring value and are critically important to researchers, activists and general readers. We are also focused on the long-term dissemination of the knowledge contained in our publications.

Our author agreements are mission-driven, designed to support the collective vision of university press publishers: to ensure the bold advancement and dissemination of knowledge on a global scale through all possible channels. The agreement is designed to leverage our extensive networks and strengths as publishers for the benefit of our author community.

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We respect our author's desires to untangle rights such as licensing translations where they may have contacts. We honor those requests. At the same time, our authors and our books benefit from our extensive experience and our robust and continually growing rights program. We attend the Frankfurt Book Fair, The London Book Fair and the Beijing Book Fair. We work with dozens of agents and sub-agents who actively promote the translation and licensing of our books into other languages. In the past few months, for example, we have licensed our books for publication in Spanish, Chinese, Turkish, French, Vietnamese, Korean, Ukrainian and Estonian. Our list is international in scope and these opportunities arise given our brand presence.

### *Creative Commons License*

Our standard CC license for our OA ebooks is CC BY-NC-ND 4.0. The 4.0 licenses have been refined and updated by experts in the field; they have been internationalized to work better across borders; they have been translated into many languages and thus are more easily understood by more people; they have been simplified to be more understandable to non-experts. In the prefatory materials to the 4.0 licenses, the following language helps end users understand that a licensor may not hold all rights in a given work: "Considerations for the public...Our licenses grant only permissions under copyright and certain other rights that a licensor has authority to grant. Use of the licensed material may still be restricted for other reasons, including because others have copyright or other rights in the material."

We are happy to consider alternative CC licenses if an author has interest in discussing alternatives.

## **VI. Discoverability**

Please provide the Press's established or intended workflows to ensure that OA books published with support of this program will be discoverable (e.g., inclusion on prominent academic ebook platforms, creation of high quality metadata, provision of files to be deposited in institutional or other repositories).

Our cross-departmental workflows for OA book publishing have been in place since 2020. We spent twelve months developing and refining our OA workflows to accommodate a wide range of models including TOME, Knowledge Unlatched, the NEH Open grants and our own DUP OA model.

Duke takes very seriously the importance of clean, clear metadata and the use of robust keywords for each project to help discoverability across all platforms. We're also dedicated to ensuring our books, including our open access titles, are available everywhere readers are. To that end, we work with a large number of ebook aggregators and platforms, including Overdrive, Lyrisis, Bowker, DeGruyter, EBSCO, Kortext, JStor, Proquest, Vitalsource, Project Muse, and ebrary, among others.

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As we move deeper into OA publishing, our approach to robust metadata informs how we prepare data for electronic projects. Our partnerships with Firebrand and Bibliovault are the guardrails that keep us on track to meet industry best-practice standards and our own internal standards for high quality, relevant, and complete metadata.

Having dedicated staff in our marketing, design & production, and business systems teams allows us to be responsive to the needs of our publishing partners and able to make adjustments in a timely manner.

We use Firebrand's Eloquence on Demand service to verify and send our ONIX metadata. This service is commonly referred to as the "industry gold standard for metadata and content distribution." Our ebook ONIX is delivered daily to BiblioVault by the Eloquence on Demand service, and Bibliovault distributes it to all our trading partners. There are verification checks in Firebrand's Title Management system we use that ensure all required ONIX metadata needs are met before the data can be distributed. It also provides warnings to us if highly-suggested metadata fields are missing, even if they are not required. These verification checks, along with having a dedicated staff person (our Books Marketing Metadata, Digital Systems, and Direct Marketing Manager) focused on the accurate creation of metadata help ensure we produce high-level and accurate information.

We assign a unique ISBN to the open access format, which allows us to manage metadata with precision. OA titles are linked to the print and consumer ebook editions in the supply chain functionality of Firebrand's Title Management system. This allows us to leverage the metadata on the hardcover edition (especially descriptions and content-related metadata) in a way that minimizes errors. In partnership with our authors, we develop keywords and abstracts as part of the product metadata for increased discoverability across platforms.

We can only send OA metadata to Bibliovault (and thereby to trading partners) once we develop a descriptive copy. The OA metadata includes license type and the CC license url, which supports our content website [read.dukeupress.edu](http://read.dukeupress.edu) alongside trading partners.

We will include the ebook version on all of our standard ebook platforms. We will also add the OA ebook version in the following prominent OA platforms: Duke Read Site, HathiTrust Digital Library, Internet Archive, MUSE Open, OAPEN (including the Directory of Open Access Books), De Gruyter, Overdrive, University of California eScholarship, JSTOR's Open Content, Open Research Library (ORL)

## **VII. Accessibility**

Please describe how the Press will ensure that OA books published with support of this program will comply with Level A and Level AA success criteria and conformance requirements specified in WCAG 2.1, as specified by the [Americans with Disabilities Act](#).

Duke University Press is committed to providing accessible content to all users, regardless of their abilities. Our goal is to be in compliance with current standards and guidelines set forth by

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the World Wide Web Consortium ([W3C](#)), the [Americans with Disabilities Act \(ADA\)](#), and the [European Accessibility Act](#), which goes into effect in June 2025. Specifically, we commit to providing our books and journals in formats that meet or exceed the guidelines set out in the W3C Web Content Accessibility Guidelines version 2.1, Level AA Conformance (WCAG 2.1 Level AA). Duke University Press books and journal issues published after June 2025 will be, with few exceptions, conformant with WCAG 2.1 level AA. Our primary accessible format for our books will be the ebook edition, and for our journals, our [read.dukeupress.edu](#) site, which presents the full text of journal issues online.

Examples of accessibility features commonly employed include providing text alternatives for illustrations and other non-text content, semantically marked-up structure for logical reading order and navigation, careful consideration for readability as it applies to color and contrast, and tagging of non-English languages for accuracy of pronunciation by screen readers.

### **VIII. Conclusion**

This is an exciting opportunity for DUP. Publishing is about community and collaboration and selecting partners whose missions are aligned. We believe that to be the case with CDL. We appreciate you thinking of us and for the great Sharon Farb who championed our publishing program to the scholars she encountered.

We look forward to next steps.

