

# Deliverable D2.1

## Report on Compiling the Knowledge Base

### **Executive Summary**

This report outlines the work carried out within Work Package 2 (Building the Knowledge Base) of the PALOMERA project, which focused on creating the project's Knowledge Base and populating it with various materials pertinent to open-access policies regarding academic books in the European Research Area. WP2 serves as the cornerstone for the project, providing the essential data and resources that drive subsequent analysis (Work Package 3), recommendations, and advocacy efforts (Work Package 4).

The data collection process was performed during the first 15 months of the project (WP2), drawing on extensive documentation, stakeholder surveys, and interviews. In addition, the designing and building of the Knowledge Base as a digital tool for various stakeholders will be described in detail. In this report as well as in the project, academic books are defined as scholarly, peer-reviewed, books including monographs, book chapters, edited collections, critical editions, and other long-form scholarly works.

The methodology overview provides the outline of the research design and implementation, which employs both qualitative and quantitative approaches. The work was divided into four phases (see Figure 2). The first 6 months of the project (M1-M6) were dedicated to the development of the data collection methodology, and the second phase (M7-M10) to data collection. The third phase (M11-M13) was dedicated to validation, coding and Knowledge Base population, while the last phase (M14-M15) focused on implementing feedback and final reporting.

Chapters describe the detailed collection methodologies applied to different kinds of material: documents, interviews, bibliometric data, and surveys. The chapters are divided by data type rather than task number for easier reference. All methodological documents are gathered in the annexes to provide a better understanding of the process and to facilitate the reuse of this methodology in other research projects. The final chapter

reflects on the creation and the data model behind the Knowledge Base.

The report provides three main conclusions:

1. The policy landscape in ERA is diverse and uneven, and the Knowledge Base aimed at reflecting this diversity of approaches rather than providing a comprehensive and exhaustive set of documents.
2. Various stakeholders have different perspectives and specific knowledge. We tried to capture the specificity of their vantage points through interviews and surveys.
3. There is a lack of standardisation on all levels - documents, data, and policies - which makes the emergence of new initiatives more difficult as they lack good examples to base on or relevant data to support the policy creation. Knowledge Base aims to fill this gap.

**Keywords :**

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- open access books
- open access monographs
  - OA books
  - OA policies
- European Research Area
- Knowledge Base
- methodology

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## Table of Acronyms

Acronyms	
CC 0	Creative Commons Public Domain Dedication
CC-BY	Creative Commons Attribution International Public License
DARIAH	The Digital Research Infrastructure for the Arts and Humanities
DoA	Description of Actions
EC	European Commission
ED&I	Equity, Diversity & Inclusivity
ERA	European Research Area
EU	European Union
EUA	European University Association
FAIR	Findable. Accessible. Interoperable. Reusable.
KB	Knowledge Base
M#	Month
OA	Open Access
OABN	Open Access Book Network
OABT	OAPEN OA Books Toolkit
OAEBU	Open Access eBook Usage Data Trust
OASPA	Open Access Scholarly Publishing Association
OATP	Open Access Tracking Project
OS	Open Science
PEDR	Plan for Exploitation and Dissemination of Results (while in this document it will be referred to as Dissemination, Outreach, Engagement, and Exploitation Plan)
PALOMERA	Policy Alignment of Open Access Monographs in the European Research Area
PESTLE	Political, Economic, Social, Technological, Legal and Environmental factors
RFO	Research Funding Organizations
RPO	Research Performing Organizations
SSH	Social Sciences and Humanities
UNIBI	University of Bielefeld
WP	Work Package



# 1 Methodology Overview

The following PALOMERA partners take part in the WP2 activities:

WP2 Participants			
OAPEN	Hanken	DARIAH/ESF	IBL PAN
Jisc	UNIBI	SPARC Europe	SUB Göttingen
OPERAS	LIBER	AMU-OpenEdition	ZRC SAZU
University of Coimbra			

Table 1. PALOMERA partners participating in the WP2

This report outlines the work carried out within Work Package 2 (Building the Knowledge Base) of the PALOMERA project, which focused on creating the project’s Knowledge Base and populating it with various materials pertinent to open-access policies regarding academic books in the European Research Area.

The project focuses on policies regarding open access to academic books by collecting documentation (policies and contextual material), surveying key stakeholders (Figure 1), and obtaining in-depth contextual knowledge through interviews. **Academic books** are defined here as scholarly, peer-reviewed books including monographs, book chapters, edited collections, critical editions, and other long-form scholarly works. We treated textbooks and popular science books as a different category, however, the research team has maintained an inclusive approach, i.e. researchers aimed at understanding how the academic books were defined in each analysed country, including the variety of quality assessment practices they undergo.



Figure 1. PALOMERA stakeholders

WP2 team designed the data collection methodology to provide comprehensive data, allowing for the production of evidence-based and actionable recommendations in other

Work Packages of the project. The research design and implementation had to consider the complexity introduced by bibliodiversity, the lack of comprehensive data, and unevenness in OA book policy adoption among countries and organisations.

The aim of WP2 was to identify, contextualise and collect data and documents relevant to policies regarding OA books in ERA (reports, policies, survey results, statistics) as well as to collect input on challenges and best practices regarding OA books from various stakeholders across the ERA. Those materials were tagged and made available in the project repository for further analysis and publication in the OA Books Toolkit (OABT). The work was divided into three tasks:

- **T2.1 Quantitative data collection.** (Lead: UGOE, Partners: IBL PAN, HANKEN, Jisc, LIBER, DARIAH, ZRC SAZU, SPARC Europe, UNIBI). The goal of this task was to collect, generate and prepare for exploration of the quantitative data on OA book publishing across the ERA. Secondly, the task launched an ERA-wide survey on OA monograph policies, filling the gaps in existing studies and sketching attitudes, needs, obstacles, and best practices for deeper exploration by T2.2.
- **T2.2 Qualitative data collection and annotations.** (Lead: IBL PAN, Partners: DARIAH, HANKEN, Jisc, LIBER, Coimbra, ZRC SAZU, SPARC Europe, UGOE). This task focused on collecting, generating, and preparing for analysis of the qualitative data on book publishing across the ERA. First, it conducted desk research focusing on policy documents on OA monographs, grey literature, research articles, reports, and outputs of other projects. Second, it carried out individual and group interviews with stakeholders. Third, interviews were supplemented by case studies, i.e. short background reports describing the particularities of the national situation regarding OA policies towards books.
- **T2.3 Knowledge Base structure and implementation.** (Lead: OAPEN, Partners: IBL PAN, HANKEN, UGOE, Jisc). This task prepared and implemented the structure and technical concept of the Knowledge Base as a content repository for data collected and generated by T2.1. and T2.2. It is meant as a repository for the research team and an open resource for PALOMERA stakeholders.

Figure 2 illustrates the WP2 workflow: Task 2.1 collected quantitative data (existing datasets and the responses to the PALOMERA survey) whereas Task 2.2 focused on qualitative data (existing documents and PALOMERA interview transcripts). In both cases, the data were pre-processed to be stored in the Knowledge Base (created and managed by Task 2.3): T2.1. conducts pre-analysis of materials and provides results, while T2.2. generates pre-coded documents (excerpts and full-texts). The Knowledge Base structures these data and makes it available for further analysis and use by other WPs.

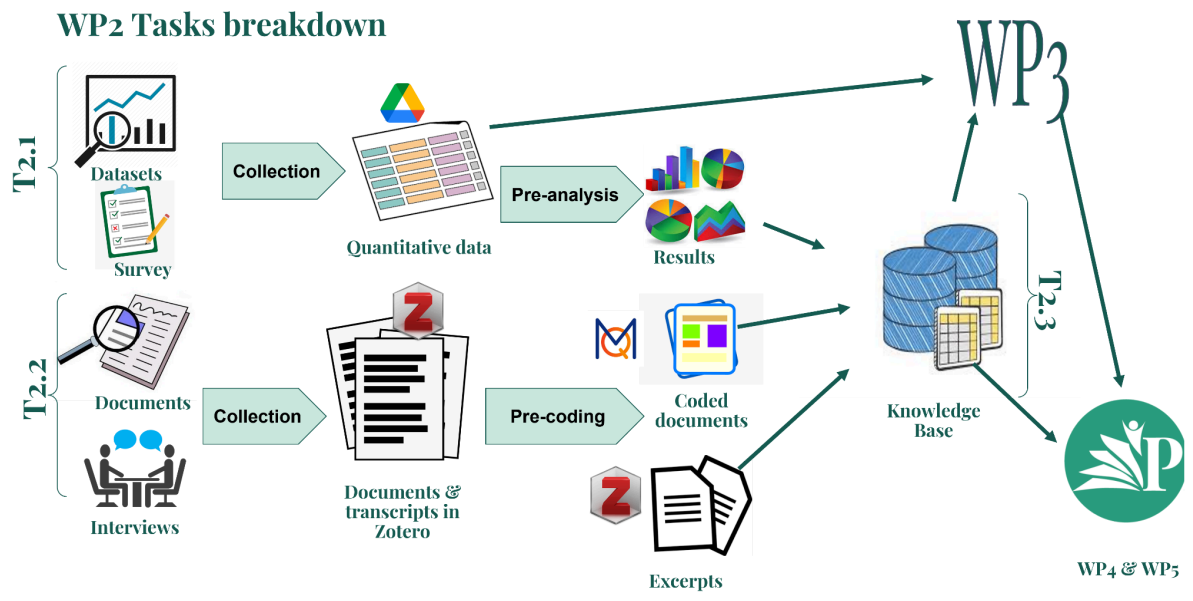


Figure 2. WP2 workflow overview

The work was divided into four phases (see Figure 3). The first 6 months of the project (M1-M6) were dedicated to the development of the data collection methodology, and the second phase (M7-M10) to data collection. The third phase (M11-M13) was dedicated to validation, coding and Knowledge Base population, while the last phase (M14-M15) focused on implementing feedback and final reporting (see: **D5.3. Validation Report**, DOI: [10.5281/zenodo.10777636](https://doi.org/10.5281/zenodo.10777636)).

During the first phase, a series of workshops (WS) dedicated to various aspects of data collection were conducted: WS1 (Kick Off) was dedicated to document collection, WS2 (2 March 2023) to interviews and survey data collection, and WS3 (30 March 2023) to the Knowledge Base. The workshop results were iteratively ingested by the respective tasks and presented for validation to the entire WP2 team for discussion. The WP2 leader discussed key methodological issues with other WP leaders.

### WP2 Phases

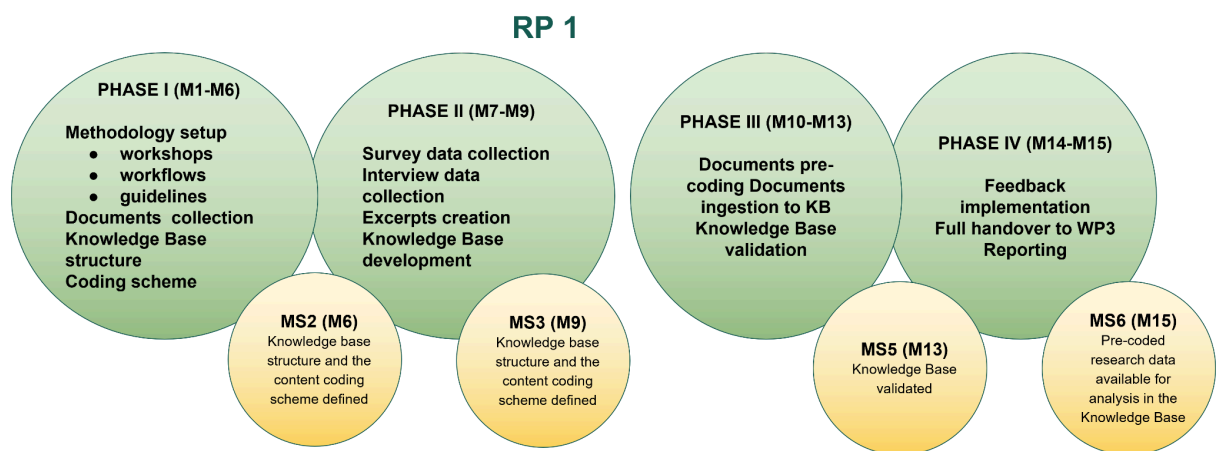


Figure 3. WP2 Phases





WP2 applied special measures to ensure proper implementation, coordination and comprehensiveness of the collected material. To maintain methodological alignment across the research teams, WP2 held weekly or bi-weekly meetings throughout the reporting period. Special attention was given to GDPR and ethical issues pertinent to data collection, and relevant consent forms and accompanying materials were created (see: [A6. Interview information and consent form](#)).

Data collection procedures targeted various actors involved in OA book publishing at all stages of the research lifecycle, from researchers and research performing organisations (RPOs) to scholarly societies, publishers, infrastructure providers, research funding organisations (RFOs) and policymakers. The scope of data collection was operationalised in cooperation with WP3, responsible for the analysis, to ensure that all key issues and stakeholders will be adequately addressed through the data collection procedures. Close cooperation with WP5 ensured that relevant stakeholder groups were reached and sufficiently represented.

To ensure coordination and coverage, ERA countries were divided into country groups, each with an appointed coordinator responsible for data gathering in that area. It should be noted that this division was purely pragmatic, based on the availability and competencies of the researchers, and does not entail any conceptual clustering of the collected material. Country groups for data collection (not to be mistaken with clusters resulting from the analysis):

- Group A (IBL PAN): Estonia, Latvia, Lithuania, Poland, Ukraine, Moldova, Czechia, Slovakia, Cyprus
- Group B (DARIAH supported by OAPEN): Hungary, Romania, Bulgaria, Turkey
- Group C (Hanken): Finland, Sweden, Norway, Denmark, Iceland
- Group D (Coimbra): Portugal, Spain, Italy, Greece, Malta
- Group E (ZRC SAZU): Slovenia, Croatia, Serbia, Bosnia and Herzegovina., Montenegro, North Macedonia, Albania
- Group F (SPARC Europe supported by OAPEN & OpenEdition): Netherlands, Belgium, Luxembourg, France
- Group G (UGOE): Germany, Switzerland, Austria
- Group H (LIBER supported by SPARC Europe): liaison to libraries.
- Group I (Jisc): UK, Ireland

Finally, the following measures were applied to achieve the comprehensiveness of the results: (1) methodology was thoroughly discussed and validated by the project's Advisory Board, (2) the document collection followed a detailed protocol and the resource identification in each country was preceded by consultations with a local expert, (3) each ERA country was targeted in the interview, (4) in each country group we aimed to engage all types of stakeholders, (5) quantitative data collection was supported by a survey for libraries distributed by LIBER, (6) all research decisions were made in consultation with WP3 leadership, finally (7) the Knowledge Base was validated in cooperation with WP5.

The first and second validation workshops, held on January 17th and 24th, 2024, marked crucial milestones in the PALOMERA project's validation exercise. These workshops brought together a diverse group of stakeholders, including research funding organizations (RFOs), research performing organizations (RPOs), researchers, policymakers, advocacy organizations, publishers, and libraries, totalling 34 participants from 17 different countries across the ERA. The feedback and notes gathered anonymously during these workshops provided important feedback and insights into the effectiveness of the project's efforts thus far. Additionally, a Google Form was employed between meetings to further facilitate

feedback collection, allowing participants to suggest missing open-access book policies and potential improvements to the Knowledge Base functionalities. The gaps identified during those exercises were addressed by the WP team in the last months of the WP2.

The following chapters describe the detailed collection methodologies applied to different kinds of material. The chapters are divided by data type rather than task number for easier reference. All methodological documents are gathered in the annexes to provide a better understanding of the process and to facilitate the reuse of this methodology in other research projects.

## 2 Documents

### 2.1 Aims

The primary aims of WP2 are to identify, contextualize, and compile data and documents pertinent to OA policies concerning OA books in the ERA. This includes reports, policies, survey findings, and statistics, as well as contextual documents – other materials relevant to understanding the context of OA book policies in a given country. In the KB, the contextual documents are tagged with "contextual document", and they are part of the "policy documents" collection.

### 2.2 Methodology

The methodology for collecting documents was initially discussed during the kick-off meeting workshop (WS1), further developed in subsequent meetings, and finalised in February 2023, following input from our Advisory Board. Our focus encompassed gathering diverse materials about policies concerning Open Access (OA) for academic books, including policy documents, grey literature, research articles, reports, and outputs from other projects. The timeframe for the selection of documents spanned from 2012 to the present (10 years); however, if there were no materials available within this timeframe, or if there were highly relevant documents older than that, they were incorporated into the analysis. This timeline rationale is grounded in the fact that it has been a decade since the European Commission formalized its approach to open science in 2012 and implemented it in Horizon 2020, which has also significantly influenced national policies.

To facilitate the collection process and ensure systematic progress tracking, detailed hands-on instructions were devised for each country, tailored to guide the researchers (participants of WP2). For each country, a standardised research protocol (see: [A1. Data collection protocol](#)) was created, which not only provided step-by-step guidance but also encouraged the collection of general observations and preliminary interpretations specific to the given community.

### 2.3 Implementation

The data collection process comprised several distinct stages:

1. Stakeholder Identification: Researchers identified representatives of each stakeholder group, following the provided methodological guidelines. The most important groups for the study were national (and regional when relevant) science policymakers, research funding organisations (RFOs), and research performing organisations (RPOs). In the case



of policymakers and RFOs, an exhaustive list of all subjects in the country was needed. Since there were many more RPOs, the approach began with the three largest institutions and then expanded the search to include other entities of interest, as suggested by experts or identified through policy searches. For the remaining stakeholders (publishers, scholarly societies, libraries, and infrastructure providers), a minimum of 2 stakeholder organisations per category per country was required, unless there were no relevant policies, which also needed to be documented. Other types of stakeholders such as researchers were targeted through a general search for contextual materials like articles and reports.

2. Resource Identification: Relevant resources were pinpointed for each stakeholder group. In the case of policymakers and funders, an exhaustive list of entities in each country was compiled, with researchers diligently seeking out pertinent documents. For other groups, selected resources deemed exemplary were utilized (e.g., a university's OA policy, and recommendations by a scholarly association). The PALOMERA Data Collection Protocol provided a detailed, step-by-step outline of this process.
3. Incorporating Resources into Zotero Library: All documents were added to the collaborative PALOMERA library on Zotero, with instructional support provided via a video tutorial and training resources for Zotero usage. Metadata (see: [A2. Zotero Document Collection guideline](#)) underwent scrutiny, correction, and enrichment with PALOMERA tags indicating the country of origin and PESTLE category.
4. Selection: From the pool of documents identified in the previous step, the research team initially wanted to pinpoint those deemed significant for the project based on their actual relevance (in terms of describing analysed processes) and sample saturation (in terms of providing fresh insights). However, in effect, we decided that all documents collected are equally important and we included them all in the Knowledge Base.
5. Contextualised Abstracts & Excerpts: For the majority of collected documents, a contextualised abstract (ranging from 300 to 500 words) was crafted, detailing the document's background, a concise summary of its contents, and its relevance to the project. Additionally, pertinent passages from these documents were extracted and translated into English (using: DeepL) (see: [A3. Excerpts creation guidelines](#)).





Figure 4. Data collection

## 2.4 Results

Overall, the entire collection process yielded more than 900 documents in 29 languages, complete with abstracts, approximately 1500 excerpts, and tags (according to the PESTLE model and stakeholder group), all meticulously organized and stored on Zotero for the uptake by WP3 and T2.3. The data collection protocols, along with process notes, remain accessible for the project team to bolster the analysis in WP3.

## 3 Interviews

### 3.1 Aims

The interviews were aimed to provide contextualised knowledge on how policies governing OA to academic books differ across ERA countries. During the dedicated Workshop, the WP2 team deliberated on topics worthy of exploration within the PESTLE framework adopted by the project, distinguishing between surveys and interviews. It was agreed that interviews would serve to enrich our factual understanding garnered from documents and surveys, delving into the 'WHO' and 'WHY' behind the creation and implementation of OA policies. In instances where a policy was absent, equal interest was given to understanding the reasons behind its absence and the underlying factors. Our objective was to comprehend the processes underpinning these policies, hence we engaged with all PALOMERA stakeholders (see: [Figure 1. PALOMERA stakeholders](#)).

### 3.2 Methodology

Based on the team's discussion, the final interview scenario was crafted, encompassing questions pertinent to PALOMERA stakeholder groups. Feedback on the scenario was solicited within WP2, and pilot interviews were conducted, leading to minor adjustments to the questions. Finally, supporting documentation was developed, including an interviewer handbook (see: [A4. Interviewer Handbook](#)) filled with detailed instructions, which were disseminated to aid interviewers throughout the entire process, from interview setup to execution, transcription, and data storage. The interview scenario was structured along PESTLE categories (see: [A7. Interview scenario](#)).

### 3.3 Implementation

A series of both group and individual semi-structured interviews were carried out with carefully chosen stakeholders to provide a deeper insight into specific challenges and policies. The interview scenario (see: [A7. Interview scenario](#)), designed to assist interviewers throughout the process, was developed through an iterative approach.

The interviews aimed to gather information both at the institutional level and within the broader national or European context, with a preference for insights from the interviewee's immediate sphere of experience. Sampling for interviews targeted a total of approximately 40 interviews, consisting of individual and group interviews across different stakeholder categories and countries, ensuring gender balance and representation from each country. Pre-interview setup involved booking appointments (meetings), sending consent forms, and ensuring technological readiness for recording (the team chose to conduct interviews on Zoom). During interviews, it was essential to remind interviewees of the recording, manage time effectively, and facilitate the conversation to ensure all relevant topics were covered. Transcription and translation procedures followed GDPR-compliant tools and protocols, ensuring accuracy and confidentiality. Interviewees decided on the potential publication of their interviews as open research data, with options for anonymization if desired (see: [A5. Interview invitation template](#); [A6. Interview information and consent form](#)).

All interviews lasted around 60 minutes. The interviews were transcribed with HappyScribe, translated into English via DeepL (if needed), proofread and pseudonymised. The interviews were precoded for PESTLE categories in MaxQDA and later coded in vivo.

### 3.4 Results

The research team covered 36 ERA countries and all stakeholder categories through 39 individual interviews and 3 group interviews. In total, 47 interviewees took part in interviews: 24 women and 23 men. Notably, the countries not represented in interviews include Albania, North Macedonia, and Montenegro – despite exhausting all possible means of contact, the targeted experts declined to participate in the interviews). Within the interview pool, three countries: Germany, Netherlands, and Belgium were represented by multiple interviewees to capture diverse perspectives from various stakeholder types. In the case of Slovakia, three interviewees from the same stakeholder type participated in a single interview session. The anonymised transcripts of the interviews are published in the Knowledge Base, except for situations in which the interviewees wished to limit the access to research team members.

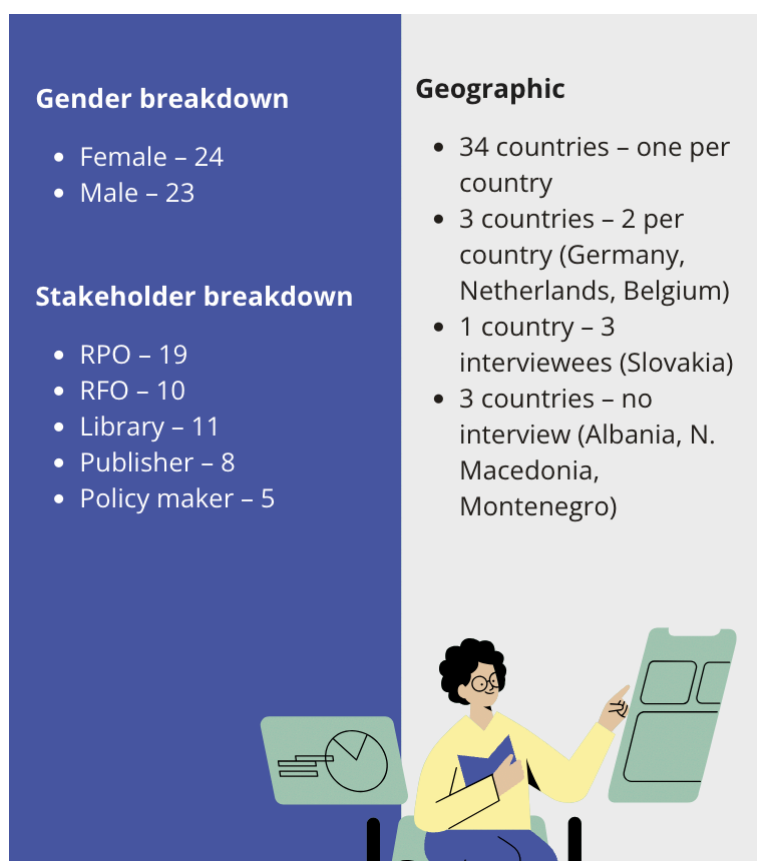


Figure 5. Interviews breakdown

## 4 Survey

The ERA-wide survey in the PALOMERA project was aimed to identify attitudes and levels of knowledge about policy-making and open access book policies in general and individual measures in particular. In this way, according to the considerations in the preliminary stages of the project, stakeholder-specific and country-specific needs, attitudes and development statuses would become visible, which could be used for recommendations, policy briefs and further project outputs. The results are currently being analysed in WP3 and will be used further by WP4, in which stakeholder-specific recommendations are to be provided. In addition, the data sets from the survey should be made available to the community for follow-up research to improve the overall data situation regarding open access books. For this purpose, the data is prepared for presentation in the PALOMERA Knowledge Base as well as in Zenodo for wider dissemination (10.5281/zenodo.10777962).

## 4.1 Aims

In the context of the project, a lean questionnaire was planned that could be answered in full within 10 minutes without additional research effort and open questions. On the one hand, we hoped that this would reduce the drop-out rate; on the other hand, the DIAMAS project, which has a similar target group, had carried out a more complex survey a few weeks before, and it was essential to avoid burdening the respondents with two questionnaires that would require a lot of time and effort to answer. The questionnaire was drawn up by a task force, which regularly fed back its findings to the members of WP2 and finally had the questionnaire reviewed by the Advisory Board (Survey Questionnaire, DOI: 10.5281/zenodo.10777962).

The questionnaire was divided into six sections:

### 1. General information about the respondents

The first section focused on the general information about the respondents, such as nationality or affiliation to particular stakeholder groups. The categories (policymakers, research funders, universities and other research organizations, publishers, libraries and infrastructure providers as well as learned societies) were taken from the typology that we use internally in the project to analyze all types of data.

### 2. Awareness of open access policy measures

Respondents were asked about their knowledge of the existence of certain policy documents and declarations. This block of questions was important to determine the extent to which the respondents were familiar with the political level of their own Open Access landscape.

### 3. Stakeholders and players

Questions about how important the above-mentioned stakeholders and players were in the opinion of the respondent in policy development processes were asked. We also asked how important these stakeholders should be. This part was designed to provide insights through the correlation with national affiliations.

### 4. Attitudes towards the design of open access policies for books

In this section, we asked about attitudes towards open access policies. The question was whether the respondent would trust an open access policy at the national or institutional level. In addition, we wanted to know whether there is an interest in participating in the design of a policy and whether there is knowledge of participation opportunities.

### 5. Attitudes towards policy measures for open access books in general

Questions about satisfaction with the existing policy measures for the promotion of open access books were asked.

### 6. Weighting of individual Policy measures

The last and most extensive section was devoted to particular measures of ensuring open access and attempted to find out how important these measures were considered to be on a five-point scale from "not important" to "very important". Subtopics were: "quality assurance", "visibility", "rights management", "metadata", "technical infrastructure", "costing





and budget security" and the topic of general support measures. A total of 42 measures were evaluated in this way.

## 4.2 Methodology

After incorporating the recommendations of the Advisory Board, the survey was set up using the software LimeSurvey (LimeSurvey Community Edition, Version 3.27.30+211222). Internal project teams dedicated to specific countries were used to distribute the survey. In this way, it was possible to distribute the survey in ERA countries. The aim was to disseminate at least three mailing lists and newsletters in each country. In addition, the survey was disseminated via posts on social media channels, announcements at events and direct contact with potentially interested persons. All activities were recorded in a collaboratively managed, internal document.

Reports on the number of responses were created weekly and discussed in WP5 meetings to increase the communication measures to underrepresented groups.

Overall, the survey ran from 22 August 2023 until 16 October 2023. This long duration allowed for several reminders to be sent out to the community.

## 4.3 Implementation

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## 4.4 Results

The assumed internal target of at least 40 complete responses or 60 complete responses per country in the larger countries was only achieved by the UK and Germany. Presumably, the well-developed networks of the open science community here ensured that the invitation to the survey was distributed effectively in those countries. Moreover, the results are lower in countries where we didn't have PALOMERA research team members. We received between 30 and 40 responses from each of Italy, France and Slovenia. Between 10 and 25 responses were received from Moldova, Poland, Portugal, Switzerland, the Netherlands, Finland, Sweden and Norway.



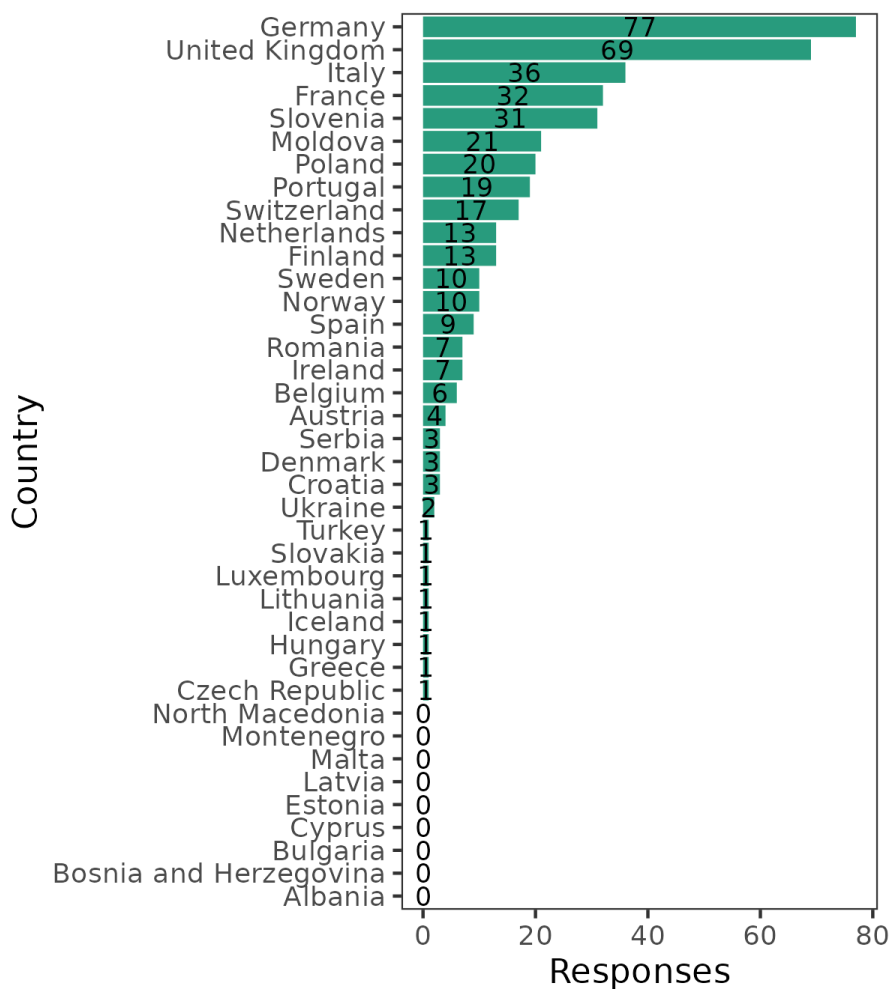


Figure 6. Share of individual countries among survey responses (n=420)

The satisfactory total of 420 complete responses allows an evaluation of the attitudes of all respondents to open access book policies. The response rates per stakeholder group are also very good, with 263 responses from research performing organizations, 166 responses from the professional field of librarians and 74 responses from publishers. Here, correlations can be identified between the profession of the participant and the acceptance of certain policy measures. Since the respondents were able to assign themselves to several stakeholder groups, this group of 574 participants is larger than the number of all complete runs (420).



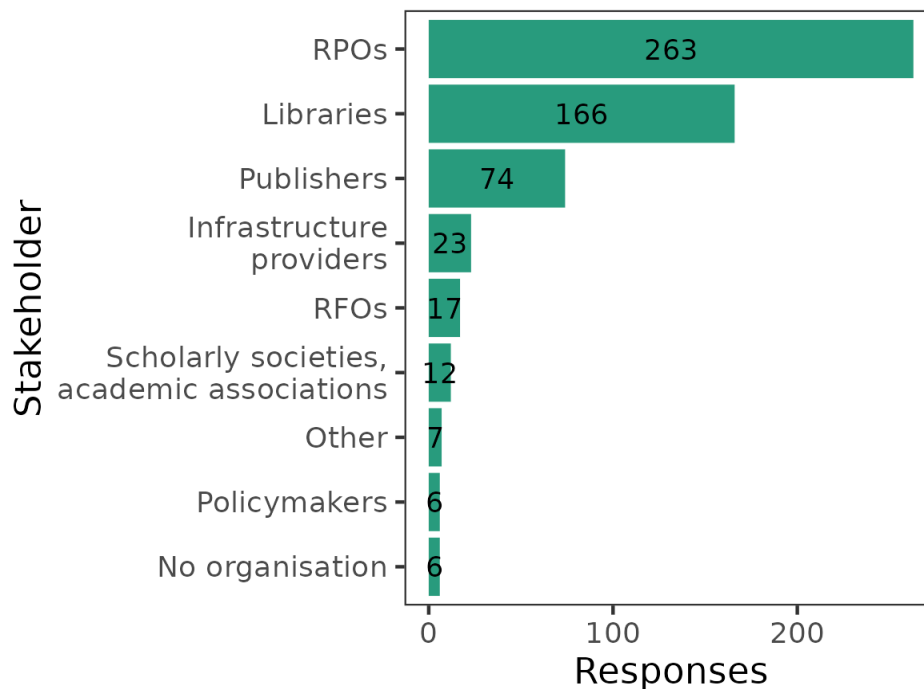


Figure 7. Share of individual stakeholder group affiliations among survey responses (n=574)

A report is currently being prepared that presents the results of the survey and provides all relevant data. It is scheduled for publication in April 2024.

## 5 Bibliometric data

### 5.1 Aims

Actionable recommendations for a faster transition to open access for books must be derived from the current state, herewith data analysis must play an important role. An analysis of the existing data sources can help to recognize tendencies and find ways to improve the data landscape. Therefore, we carried out two activities to map bibliographical data on open books. Firstly (1), we disseminated a survey to all national libraries in the ERA. Secondly (2), we compiled an annotated list of existing data sources on OA books. Parts of this list of existing data sources will further form the basis for the analysis of bibliometric data around open access books, as well as how respective data relate to open access policies.

### 5.2 Methodology

Collecting, cataloguing and making all publications from a particular country available is usually the responsibility of national libraries. In our search for the most comprehensive and qualitatively reliable source of data on scientific open access books, the national libraries seemed to be the "natural" points of contact. Thanks to the support of the European Network of Academic Libraries LIBER, we were able to ask the responsible contact persons at all ERA national libraries about the current data on academic open access books. The idea was to use national libraries as an additional data source, as the analysis of quantitative data showed that the situation with the data on OA books is unsatisfactory.

We intended to obtain as much data as possible together with an assessment of cataloguing granularity and, if necessary, to be able to include suggestions for standardised cataloguing in the policy recommendations, which will be a key output of the PALOMERA project. In the survey, we focused on the questions:

- How many books were published in 2018-2022 (each year)?
  - How many e-books were published in 2018-2022 (each year)?
  - How many of these e-books can be identified as open access? (each year)?
  - Under which license were these books published?
- 
- How do you define “academic book”?
  - Do you have a separate category for "academic books"?
  - How many academic books were published in 2018-2022 (each year)?
  - How many academic e-books were published in 2018-2022 (each year)?
  - How many of these e-books can be identified as open access (each year)?
  - Under which license were these books published?

## 5.3 Implementation

The enquiry was made via an e-mail sent to all ERA national libraries via a LIBER network distribution list. The answers to our questions were recorded in a collaboratively managed list (see: Table 2 and Figure 7).

Institution	Country	Replied	Data provided
The National Library of Albania	Albania		
National Library of Austria	Austria	Y	Y
Royal Library of Belgium	Belgium	Y	Y
The National and University Library of Bosnia	Bosnia and Herzegovina		
National and University Library in Zagreb	Croatia		
The National Library of the Czech Republic	Czech Republic	Y	Y
Royal Danish Library/Aarhus/Roskilde	Denmark	Y	Y
The National Library of Estonia	Estonia	Y	Y
NRL, The National Repository Library	Finland		
University of Helsinki-National Library of Finland	Finland	Y	Y
National Library of France	France		
TSU National Science Library	Georgia		
National Documentation Center (EKT)	Greece		
National Library of Greece	Greece		

National Széchényi Library	Hungary		
National and University Library of Iceland	Iceland	Y	Y
The National Library of Ireland	Ireland		
The National Central Library of Rome	Italy	Y	
The National Library of Latvia	Latvia	Y	Y
The National Library of Lithuania	Lithuania		
The National Library of Luxembourg	Hungary		
The National Library of Norway	Norway		
The National Library of Poland	Poland	Y	Y
The National Library of Portugal	Portugal		
St Clement of Ohrid National & University Library	Republic of North Macedonia		
The National Library of Romania	Romania	Y	Y
The National Library of Serbia	Serbia		
Slovenian National and University Library	Slovenia	Y	Y
Library of Catalonia	Spain	Y	Y
National Library of Sweden	Sweden	Y	
Swiss National Library	Switzerland	Y	
National Library of the Netherlands	The Netherlands	Y	Y
The Grand National Assembly of Turkey	Türkiye		
The British Library	United Kingdom		
The National Library of Scotland	United Kingdom	Y	Y
The National Library of Wales	United Kingdom		

Table 2. Excerpt from the internal list of contacted national libraries

All data was made available to the T2.1 project team for evaluation, and the e-mail correspondence with the contact persons was also saved, as it contains valuable information on the research paths.

## 5.4 Results

37 libraries were contacted. A total of 16 libraries responded, 14 of which provided data.



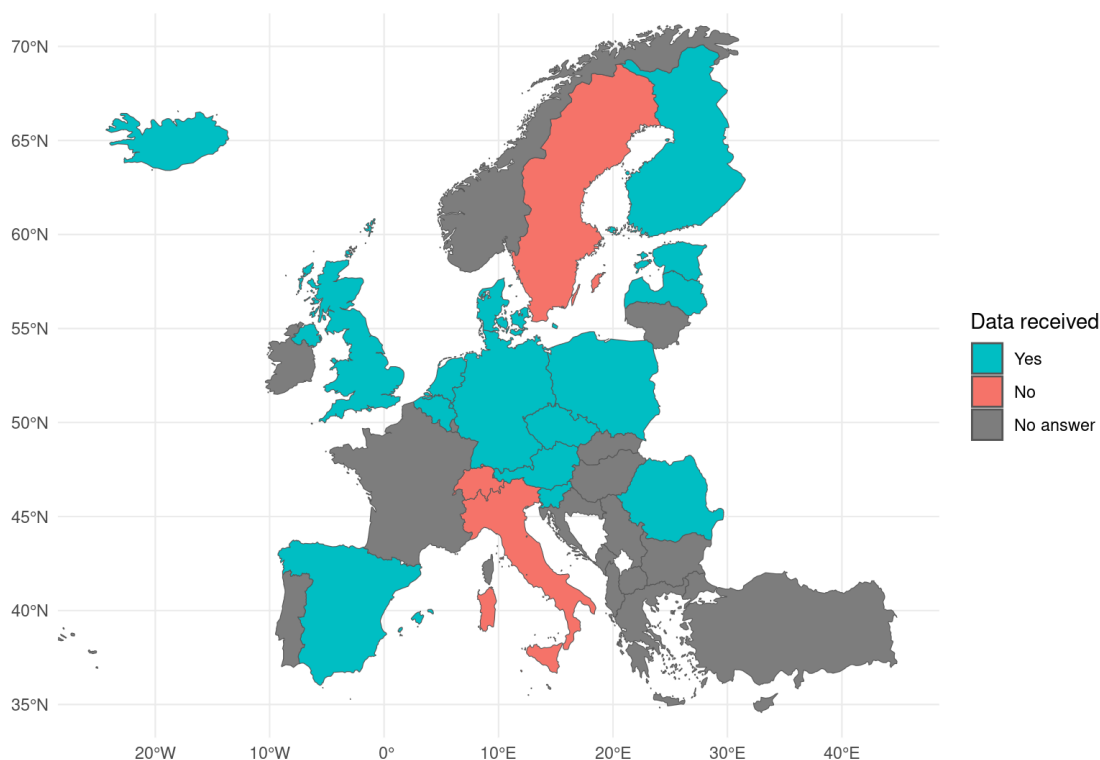


Figure 8. Countries from which we received data on OA-Books

A report is currently being prepared that presents the results, but some results can already be summarized. The publication is scheduled for April 2024.

The answers are characterized by a high level of heterogeneity. This concerns the design of the legal deposit, as well as the definitions used for the collection mandate (i.e. the definition of “academic book” or “open access”), the used data sources and finally also the mission statement of the national libraries. A standardized data basis for researching the landscape of open access books in the ERA can not be reached by surveying the national libraries. In order for national libraries to be able to provide reliable information on developments in the field of digital books, they would have to consistently apply uniform standards for cataloguing digital books. Policies could be a helpful tool here, if standards for catalogisation are described in policies and national libraries adhere to these policies, the situation can improve. This preliminary result of the survey will be further elaborated in WP3 (analysis) and finally incorporated into the development of recommendations in WP4.

Data source	URL
OpenAPC	<a href="https://github.com/OpenAPC/openapc-de/blob/master/data/bpc.csv">https://github.com/OpenAPC/openapc-de/blob/master/data/bpc.csv</a>
BASE (indexed Repositories / Crossref)	<a href="https://uni-bielefeld.sciebo.de/s/DzewQNCGFeytSRL">https://uni-bielefeld.sciebo.de/s/DzewQNCGFeytSRL</a>
DOAB	<a href="https://www.doabooks.org">https://www.doabooks.org</a>
OAPEN	<a href="https://library.oapen.org">https://library.oapen.org</a>
OpenAlex	<a href="https://openalex.org">https://openalex.org</a>
OpenAIRE	<a href="https://explore.openaire.eu">https://explore.openaire.eu</a>

Scielo	<a href="https://books.scielo.org">https://books.scielo.org</a>
The Lens	<a href="https://www.lens.org">https://www.lens.org</a>
WorldCat	<a href="https://www.worldcat.org">https://www.worldcat.org</a>
Web of Science	<a href="https://www.webofscience.com/wos/woscc/basic-search">https://www.webofscience.com/wos/woscc/basic-search</a>
Scopus	<a href="https://www.scopus.com/search/form.uri?display=advanced">https://www.scopus.com/search/form.uri?display=advanced</a>
Dimensions	<a href="https://app.dimensions.ai/discover/publication">https://app.dimensions.ai/discover/publication</a>
JSTOR	<a href="https://guides.jstor.org/oabooks">https://guides.jstor.org/oabooks</a>
EBSCO	<a href="https://essentials.ebsco.com">https://essentials.ebsco.com</a>

Table 3. The list of data sources for open access books

In addition, these data sources will be analyzed concerning their scope, search functions and metadata quality. A dedicated publication is planned to present the results of the analysis.

## 6 Knowledge Base

### 6.1 Aims

The Knowledge Base aims to make available in a structured form the qualitative and quantitative data on the OA book policy landscape in Europe, collected in the PALOMERA project (e.g., data collected through desk study research, survey results and anonymized transcripts of interviews). The Knowledge Base is accessible to all stakeholders and the wider public, who are encouraged to contribute practices and policies to this collection and, in so doing, to enrich it.

### 6.2 Implementation

Following careful considerations, we chose DSpace as open source repository software for the Knowledge Base, and LYRISIS as DSpace service provider. LYRISIS is a US-based non-profit organisation, which coordinates the community around DSpace. By mid-2023, setting up DSpace for the purposes of the PALOMERA project was underway and a Dublin Core model for data migration had been drafted. In the following months, the DSpace environment was set up at the following address: <https://knowledgebase.oabooks-toolkit.org>.



## Knowledge Base

The Knowledge Base is a collection of documents, such as reports, policies, survey results and statistics, relevant to Open Access (OA) policies regarding OA books in the European Research Area. The collection was created as part of the PALOMERA project. In a nutshell, PALOMERA seeks to understand why so few OA funder policies include books, and to provide actionable recommendations to change this.

[Search](#)

### Communities

Select a community to browse its collections.

Now showing 1 - 1 of 1



[PALOMERA](#)

### Recent Submissions



Item

[Strategic Plan of the National and University Library 2020-2024](#)

(NUK, 2019) NUK

Original title: Strateški načrt Narodne in univerzitetne knjižnice 2020-2024

Figure 9. Screenshot of the Knowledge Base homepage

Its interface was themed to resemble the OAPEN Open Access Books Toolkit (OABT) to the greatest extent possible, as the OABT would later serve as the public access point to the Knowledge Base. In preparation for the first data migration from Zotero (scheduled for October-November 2023), we undertook further customizations of the Knowledge Base.

As such, the PALOMERA community was created in the repository with two collections: "Policy Documents" and "Interviews". The first version of the Knowledge Base, totalling over 600 documents, was presented at the WP2 meeting in early December 2023 and at the Validation Workshop with stakeholders in January 2024. After the workshop, the DSpace software was updated to version 7.6.1., and additional custom filters were implemented, as requested in the Validation Workshop. In addition to other filters and facets, users can now filter the Knowledge Base content by PESTLE categories (under Subject in the screenshot below) and by stakeholder type.

Figure 10. Screenshot of the Knowledge Base filters

LYRASIS further customized the DSpace environment of the Knowledge Base to facilitate collecting data usage via Google Analytics 4, which had already been in use for the OABT.

At the time of writing this report, efforts have been made to further enrich the functionalities of the Knowledge Base, including offering stakeholders the option of submitting new content after project completion. The following workflow has been proposed:

### 6.3 Data model

During the desk research phase, PALOMERA researchers jointly collected relevant documents to the OA book policy landscape in the PALOMERA Zotero library. In addition to using the metadata fields of specific Zotero types of documents, researchers added standardized tagging, excerpts and translations with DeepL to the records collected. All data migration from Zotero to the Knowledge Base required the mapping of the metadata from Zotero to DSpace. First, the policy documents data was downloaded from the Zotero library in a tabular format and mapped to Dublin Core terms that are used in DSpace, where some project-specific terms were introduced (e.g. for stakeholder groups or PESTLE categories).



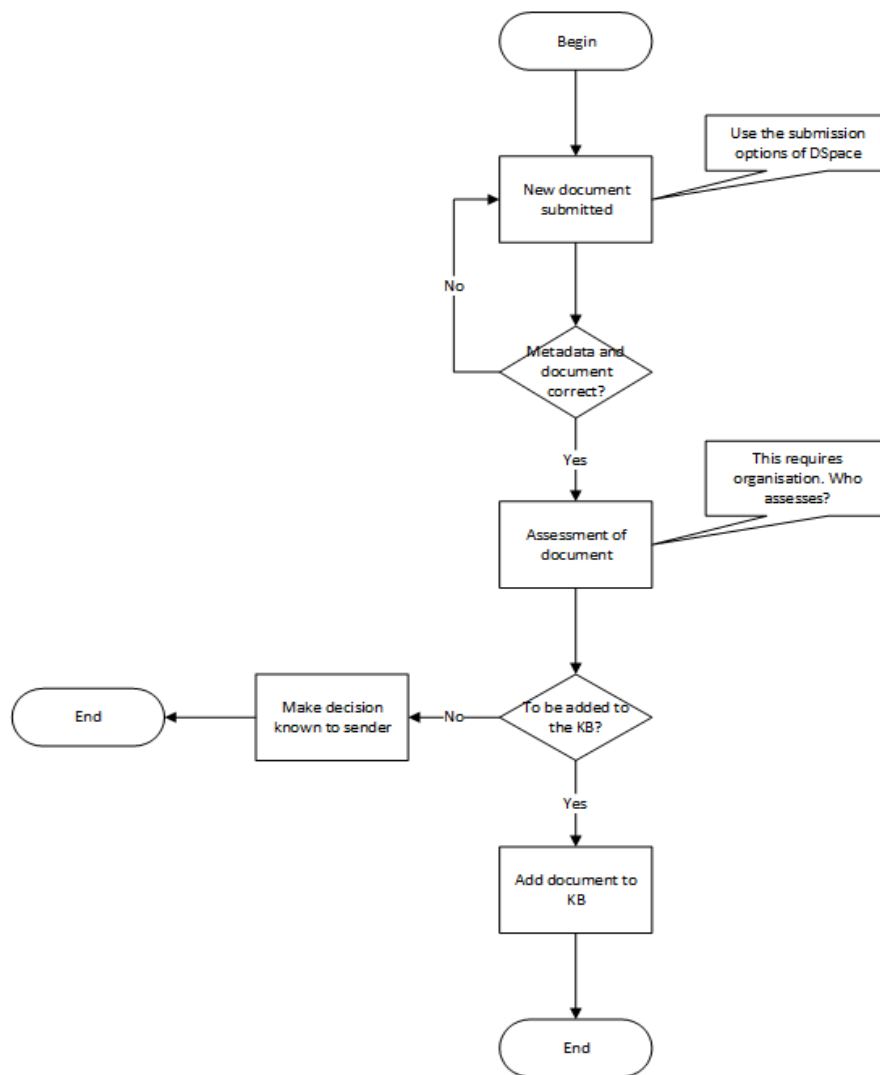


Figure 11. Schema for adding new documents after the end of the project

## 6.4 Data migration

The policy documents data from Zotero was formatted according to the data model (see: [A9. Data model for the Knowledge Base](#)) and structured according to the [DSpace requirements](#) for the data import using scripts written in the Python programming language. In November 2023, the data was ingested in one batch via the DSpace graphical user interface. Policy documents are presented as Items that besides the documents (mostly as PDFs) include their corresponding excerpts (in HTML format), whenever available.

## 6.5 Results

Currently, the Knowledge Base totals 622 records, stemming from the WP2 research on the OA book policy landscape in the ERA and 36 anonymised interviews. This collection will be updated as in [Batch Metadata Editing](#) with content suggested by the PALOMERA stakeholders in the Validation Workshop from January 2024. The Interview's collection will be populated with anonymised transcripts once the team receives the final approval from the interviewees. Other important data collected in the PALOMERA project, such as survey results, will be added to the Knowledge Base in the coming months. The PALOMERA team is currently working on the sustainability plan for the Knowledge base. While technical sustainability will be provided by OAPEN, we are still working on the editorial workflow and designating the body responsible for accepting new submissions.

## 7 Conclusion

The work on collecting data on open access academic books in the ERA yielded some important insights. Firstly, the landscape is diverse and uneven. The policy advancement and granularity varies from country to country, often from institution to institution. Hence, WP2 work was aimed at representing this diversity and communicating it through the Knowledge Base. In effect, the Knowledge Base should not be treated as a fully comprehensive resource where one can expect to find all existing policies. Instead, we tried to uncover documents which could be most pertinent for a given country and its institutions. Thus, we were guided by the principle of sample saturation, i.e. providing the widest possible selection of different resources. The validation workshops have been instrumental in ensuring that our sample contains the most diverse and interesting examples from surveyed countries.

Secondly, we observe a variety of stakeholders with different perspectives and specific knowledge. We tried to capture the specificity of their vantage points through interviews and surveys to understand the context of policy creation, namely the “how” of open access policies.

Finally, we recorded the lack of standardisation on all levels – documents, data, and policies. This in turn makes the emergence of new initiatives more difficult as they lack good examples to base on or relevant data to support the policy creation. We hope to fill this gap, at least partially, with the selection of certain resources in the Knowledge Base.

The entire data collection and publication process has been designed to serve both the PALOMERA research team on the next steps of the project and the wider public interested in examples of policies relevant to their work. Hence, the materials at the Knowledge Base are meant to be freely accessed and reused whenever possible. We believe that Knowledge Base will serve its purpose as a research tool for evidence-based recommendations on OA academic books, and the measures for sustaining this resource will be addressed at the later stages of the project.



# 8 Annexes

## A1 Data collection protocol

General search tips:

- The focus should be maintained on policies regarding open access to academic books.
- Timespan: since 2012 (10 years), but in case there's no material in this timespan, or there are very pertinent documents older than that, we should include them).
- When searching for documents use the following combination of keywords translated into local languages: [Country name] AND policy / recommendation / guidelines / study/ report/ bibliodiversity / AND open/access / support AND monographs, books, publishing.
- For general context Libraries and repositories should be queried for articles and grey literature regarding open access practices in particular countries.
- The identification of contextual documents should be informed by PESTLE categories - attention should be given to different aspects of the OA publishing, not only the legal framework. However, the actual PESTLE classification will be applied to sources on the later stage (pre-coding level).

Activity	Description	Output
1. Local expert(s)	Identify a local expert (or experts) on OA in this country (e.g. national OA coordinator, relevant ministry official, member of advocacy group) and consult the further steps, esp. whether there are national documents, which institutions are worth looking into and which reports/documents/survey should be considered. ROARMAP is also good resource for finding institutions and policies Please list the experts name and capacity (e.g. Open Science Coordinator / Ministry official / RFO representative).	Expert(s) name
2. Overall Notes	Document your research by adding notes about overall process and specificity of open access and book policies in this country, that could be useful later for the analysis (e.g. what is difficult, what is missing or hard to find, stakeholder specificity, peculiarities in defining academic books).	Notes in three groups: a) challenges b) notes on country specificity c) ideas for analysis
3. National Policy Makers (regional where relevant)	<ul style="list-style-type: none"> <li>• Identify which Ministries or government agendas are responsible for national policies regarding academic books.</li> <li>• Be as exhaustive as possible – we need to identify all relevant institutions in this group.</li> </ul>	List of National Policy Makers Comments
	<ul style="list-style-type: none"> <li>• Collect relevant documentation looking for Open Access Policies on their websites or in search engines.</li> <li>• You can also contact the institution directly asking for documents.</li> <li>• Types. We are looking for the documents regarding the various activities with regards to OA to books: OA policies and recommendations, consultations, roundtables, programmes, outreach activities, special</li> </ul>	Records in Zotero Library (DONE)



	<p>funding streams, strategic plans, laws, rules, green papers, white papers, roadmaps, declaration, role of OA in evaluation/research assessment mechanisms.</p> <ul style="list-style-type: none"> <li>• Add the documents to the PALOMERA Zotero collection.</li> <li>• While looking for policies, you can use <a href="https://roarmap.eprints.org/">https://roarmap.eprints.org/</a></li> </ul>	
4. Research Funding Organisations (RFO)	<ul style="list-style-type: none"> <li>• Identify public and private institutions or programmes for funding research on a national level.</li> <li>• Check local websites with guidelines on where to look for funding, or consult PALOMERA Funders list.</li> <li>• Look at the websites of government agendas identified in the previous step as they may also have some funding streams and related policies.</li> <li>• Be as exhaustive as possible – we need all relevant institutions in this group.</li> </ul>	List of RFOs Comments Records in Zotero Library (DONE)
	<ul style="list-style-type: none"> <li>• Collect relevant documentation from identified institutions, looking for Open Access Policies on their websites or in search engines.</li> <li>• If possible, check how the policies are implemented – are there websites or repository collections aggregating open access outputs that have been funded by the RFOs? Is the compliance checked (and how)? Describe it in the comments.</li> <li>• Types. We are looking for documents regarding the various activities with regards to OA to books: OA policies and recommendations, specific grant requirements regarding publishing books, dedicated programmes and funding streams for OA books.</li> <li>• You can also contact the institution directly asking for policies or documents.</li> <li>• Add the documents to the PALOMERA Zotero collection.</li> </ul>	Records in Zotero Library (DONE)
5. Research Performing organisations (RPO)	<ul style="list-style-type: none"> <li>• Identify Research Performing Organisations which may have Open Access Policy – check three largest universities, academy of sciences (if applicable) and large research institutions (by number of students, staff, or funding). Please, ensure geographical diversity of the sample. The institutions should be located in different parts/regions of the country.</li> <li>• Extend the search beyond the three largest RPOs when relevant (e.g. you have knowledge of smaller institutions adopting strong OA policies). Use search engines to look for: university/academy/institute + open access policy/mandate.</li> <li>• When looking for policies, record whether there is a) no RPO policy at all, b) there is a policy but no books element, c) policy with books element</li> </ul>	List of RPOs in three groups: a) No policy, b) policy – no books, c) policy w/books. Comments Records in Zotero Library (DONE)



	<ul style="list-style-type: none"> <li>• While looking for policies, remember to search for documents in the national language.</li> <li>• This is one of the key stakeholder groups and we need as many examples as possible.</li> </ul>	
6. Publishers	<ul style="list-style-type: none"> <li>• Search for academic publishers and check whether they have any open access policies or programmes available focused on, or at least mentioning, books.</li> <li>• Check the national publisher's association for any guidelines or policies.</li> <li>• When looking for policies, note whether there is a) policy or programme, b) no policy or programme.</li> <li>• Add documents to the PALOMERA Zotero collection.</li> </ul>	<p>Publisher list a) with OA policy programme b) no OA policy or programme</p> <p>Comments</p> <p>Records in Zotero Library (DONE)</p>
8. Libraries & Infrastructure providers	<ul style="list-style-type: none"> <li>• Infrastructure providers (repositories or digital libraries maintained by institutions or organisations) may have policies, guidelines, or recommendations regarding OA to academic books.</li> <li>• Identify key libraries and infrastructure providers and look for policies or recommendations. You can consult the local expert, OPERAS National Node or OpenAIRE NOAD, where applicable.</li> <li>• In the case of Libraries, LIBER may help you with reaching out to key local entities.</li> <li>• Add documents to the PALOMERA Zotero collection.</li> </ul>	<p>Publisher list a) with OA policy programme b) no OA policy or programme</p> <p>Comments</p> <p>Records in Zotero Library (DONE)</p>
9. General context	<ul style="list-style-type: none"> <li>• Collect contextual documents regarding open access to academic books in this country that have not been captured above.</li> <li>• The identification of contextual documents should be informed by PESTLE categories, i.e. covering Political, Economic, Social, Technological, Legal and Environmental (PESTLE) aspects. Attention should be given to different aspects of the OA publishing, not only the legal framework.</li> <li>• Document types: Reports, articles, survey datasets on OA books and policies in particular country/region.</li> <li>• Look for documents published since 2012 through search engines, scholarly databases and national repositories. You can use advanced search options to adjust the timespan or document's language.</li> <li>• When searching for documents use the following combination of keywords translated into local languages: [Country name] AND policy / recommendation / guidelines AND open/access AND monographs, books, publishing.</li> <li>• Add documents to the PALOMERA Zotero collection.</li> </ul>	<p>Comments</p> <p>Records in Zotero Library (DONE)</p>



## A2 Zotero document collection guidelines

### GENERAL RULES

- Good practice is to create a record in your own library and drag & drop it to the shared library once you're done
- Think 3 times before you delete something in the shared library ;)
- Do NOT move folders
- There are 45 official tags – 5 for stakeholders + 1 for contextual documents + 38 for countries + 1 for ERA (when the document is applied to more than one country)

---

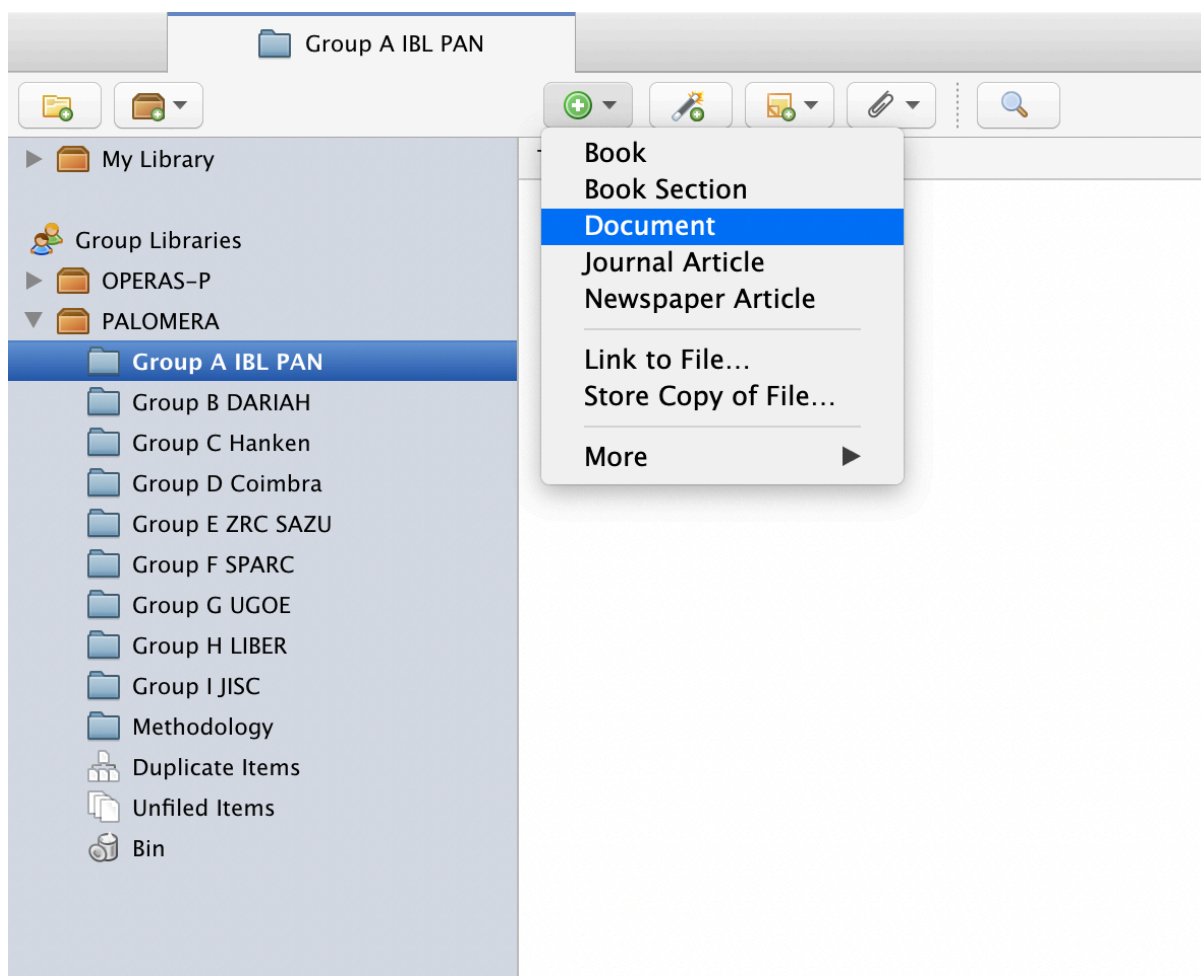
### WEB CONTENT ADDING

#### 1. Add new item

- 1.1. Navigate to PALOMERA Library on Zotero
- 1.2. Navigate to your group collection (e.g. Group A IBL PAN)



- 1.3. Create new item (you can use the “New Item” button –green plus), → type: document
- 1.4. If the document is not under any jurisdiction of the country from your organization group – add the document to the additional folder (Other countries)
- 1.5. If the document is more theoretical or methodological – add the document to the additional folder (General research)



1.6. NOTE: you can also create the item in your own library and later drag & drop it in the appropriate library and collection

2. **Fill out the required metadata fields:**

2.1. **Item Type:** Document

2.2. **Title:** [Full title in **original language**]

2.3. **Author:** [Leave empty unless actual person(s) authored the document]

2.4. **Abstract:** [Provide short, basic description of the document in English. The abstract will be elaborated in the collection phase]

2.5. **Publisher:** Organisation name in English

2.6. **Date:** [Date when the document was published – dd.mm.yyyy]

NOTE: if there is no data of the document, leave it blank. If there is only the month and year or just a year written on the document, fill it using the same format: mm.yyyy or yyyy

2.7. **Language:** type the code for a country [ISO 3166-1 alpha-2](#)

2.8. **Short title:** [Document title in English, if it is too long – abbreviate it]

2.9. **URL:** [link to the document]

2.10. **Rights:** [name the license, use “PD” for public domain]



**Info**

Notes

Tags

Related

Item Type Document

Title Zarządzenie Dyrektora Narodowego Centrum Nauki w sprawie ustalenia POLITYKI NARODOWEGO CENTRUM NAUKI DOTYCZĄCEJ OTWARTEGO DOSTĘPU

▼ Author (last), (first)

Abstract On May 31, 2020, the "NCN Policy on Open Access to Publications" was introduced. The policy applies to contracts signed from January 1, 2021 for projects selected in competitions announced on June 15, 2020 and later. The policy is consistent with Plan S, signed by the National Science Center in 2018. The Policy applies to all national competitions organized by the National Science Center (including the Miniatura competition). Applies to all types of publications, except for monographs, chapters in collective works and reviewed collected works.

Publisher NCN

Date 27.05.2020 d m y

Language PL

Short Title NCN\_Policy\_on\_open\_access

URL [www.ncn.gov.pl/sites/default/files/pli...](http://www.ncn.gov.pl/sites/default/files/pli...)

Accessed

Archive

Loc. in Archive

Library Catalogue

Call Number

Rights PD

Extra

Date Added 22/02/2023, 12:36:47

Modified 23/02/2023, 10:25:01

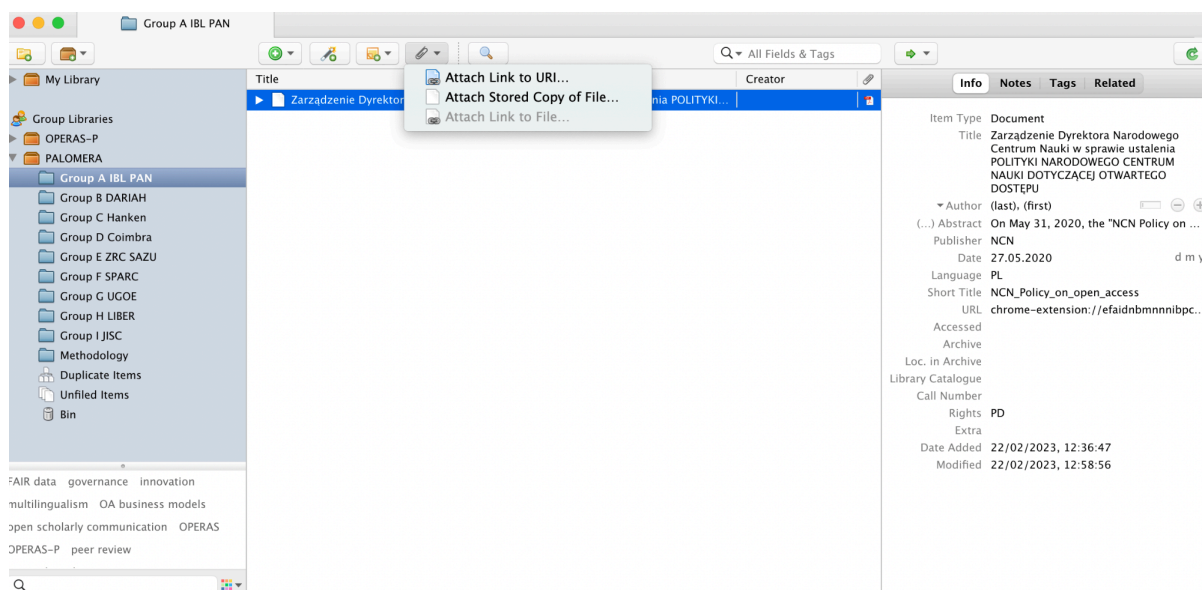
### 3. Add the document

- 3.1. Find the available PDF (it should work if you added URL to pdf)





- 3.2. If not: download the file to your computer and choose Add attachment / Attach stored copy of file



- 3.3. Rename the file according to the naming convention

**model:**

YYYY\_COUNTRY[ISO]\_STAKEHOLDER\_ORGANIZATION\_type-of-the-document

**example:**

2020\_PL\_RFO\_NCN\_open-science-policy.pdf

**4. Add the snapshot**

- 4.1. If the website where the policy is posted contains some additional information we can store it as a snapshot
- 4.2. Drag websites URL from your browser onto the Zotero item and drop it (do not worry if nothing happens – it takes an app. 5 seconds to update)

**5. Add appropriate tags**

- 5.1. You can do this either by dragging the document onto the tag in the left down corner, or by choosing the add option (be sure that you use suggested tags after typing few first characters, to ensure coherence)
- 5.2. Add country tags using ISO 3166-1 alpha-2
- 5.3. Add stakeholder tags (NOTE: the correct tags starting with a dot – “.”)

National science policy makers	.national science policy makers
Research Funding Organisations	.Research Funding Organisations
Research Performing Organisations	.Research Performing Organisations
Publishers	.publishers
Libraries & Infrastructure providers	.libraries & Infrastructure providers



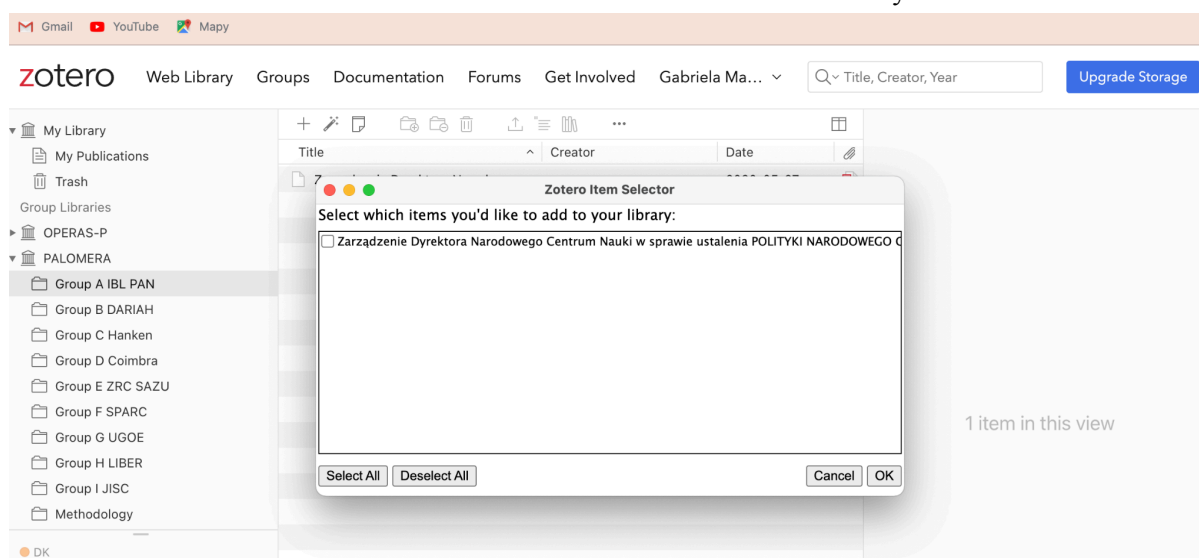
## STRUCTURED CONTENT ADDING

## 1. Add new item

- 1.1. Navigate to PALOMERA Library at Zotero
- 1.2. Navigate to your group collection (e.g. Group A IBL PAN)



- 1.3. In your browser navigate to the repository and click the connector button so the document metadata and full text will be added automatically



- 1.4. Optionally: use add item by Identifier option by providing a PID (ISBN, DOI or other).

- 1.5. If the document is not under any jurisdiction of the country from your organization group – add the document to the additional folder (Other countries)
- 1.6. If the document is more theoretical or methodological – add the document to the additional folder (General research)

**2. Check the relevant metadata fields**

- 2.1. **Item Type:** [according to the content: report, article, book chapter, etc. Note that the metadata fields vary across item types. Please check if anything is missing depending on the type]
- 2.2. **Title:** [Full title in **original language**]
- 2.3. **Author:** [Leave empty unless the actual person(s) authored the document. You can also assign different roles: author, translator, editor]
- 2.4. **Abstract:** [Provide short, basic description of the document in English. The abstract will be elaborated in the collection phase]
- 2.5. **Date:** [Date when the document was published – dd.mm.yyyy]

NOTE: if there is no data of the document, leave it blank. If there is only the month and year or just a year written on the document, fill it using the same format: mm.yyyy or yyyy

- 2.6. **Language:** type the code for a country ISO 3166-1 alpha-2
- 2.7. **Short title:** [Document title in English, if it is too long – abbreviate it]
- 2.8. **URL:** [link to the document]
- 2.9. **Rights:** [name the license, use “PD” for public domain]

**3. Add the document**

- 3.1. Check if the document was added automatically. If not proceed with the following options
- 3.2. If not: download the file to your computer and choose Add attachment/Attach stored copy of file
- 3.3. Rename the file according to the naming convention

**model:**

YYYY\_COUNTRY[ISO]\_AUTHOR\_type-of-the-document

**example:**

2020\_GB\_FATHALLAH\_Open-Access-Monographs.pdf

**4. Add the snapshot**

- 4.1. If the website where the document is posted contains some additional information we can store it as a snapshot (However, if its a simple repository website you don’t need to do it)
- 4.2. Drag websites URL from your browser onto the Zotero item and drop it (don’t worry if nothing happens – it takes an app. 5 seconds to update)

**5. Add appropriate tags**

- 5.1. You can do this either by dragging the document onto the tag in the left down corner, or by choosing the add option (be sure that you use suggested tags after typing few first characters, to ensure coherence)
- 5.2. Add country tags using ISO 3166-1 alpha-2
- 5.3. Add stakeholder tags (NOTE: the correct tags starting with a dot – “.”)

National science policy makers	.national science policy makers
--------------------------------	---------------------------------



Research Funding Organisations	.Research Funding Organisations
Research Performing Organisations	.Research Performing Organisations
Publishers	.publishers
Libraries & Infrastructure providers	.libraries & Infrastructure providers
Contextual documentation	.contextual document

## COLLECTION PHASE

### 1. Contextualized abstract (300-500 words)

- 1.1. Document's history (who issued the document, what was the purpose)
- 1.2. The gist of the document (1-2 sentences-long summary of the main points)
- 1.3. Open access policies to academic books (describe the relevance of the document to this topic)
- 1.4. Add it to the document metadata field (abstract)

### 2. Excerpts.

- 2.1. From each document choose those passages that are relevant to the project. If the entire document is relevant we can collect the whole document. There is no limit to the length of a single excerpt but try to keep it as meaningful as possible and the parts not relevant to the scope of the project omit irrelevant parts to make later coding more time-efficient (e.g. if a policy is dedicated solely to OA books we need the entire document but if OA books are just mentioned in one paragraph of a larger document, the relevant bit should be extracted). When in doubt, consult a country group coordinator or WP2 leaders.
- 2.2. Machine-translate the passages into (UK) English, using deepl. Check if the translation makes sense for the reader.
- 2.3. For each excerpt add a separate note to the document record in zotero library with following elements:
  - 2.3.1. Title: Excerpt #1, Excerpt #2, ..., Excerpt #n,
  - 2.3.2. Optionally add a short description of the excerpt, please mark it clearly as Abstract and keep in parentheses. E.g.: [ABSTRACT: This excerpt discusses policies regarding scholarly editions.]
  - 2.3.3. Paste the excerpt in English, **use quotation marks in a clear way, so we know that the text comes from the documents**, for the text left out use [...].
  - 2.3.4. Tag the excerpt with relevant PESTLE tags
  - 2.3.5. Example of a note added to Zotero:

Excerpt #1

[ABSTRACT: This excerpt deals with infrastructures for open books.]

“The text of the policy excerpt [...] with unimportant parts omitted.”

Tags: Political, Technological

## FAQs – Frequently Asked Questions

1. **Problems with disappearing tags** —> Click the little square of squared colors at the bottom left under the tags, and select "Show all tags in this Collection" or add the TEST ITEM to "your" Folder, then you have all the tagging options.

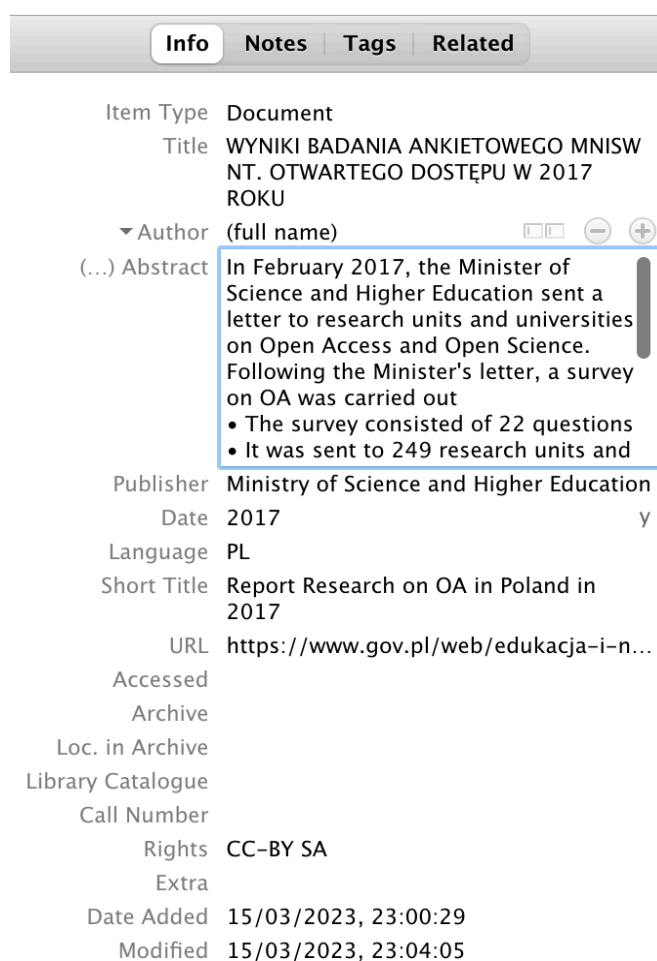


## A3 Excerpts creation guidelines

### COLLECTION PHASE

#### 1. Contextualized abstract (300–500 words)

- 1.1. Document's history (who issued the document, what was the purpose)
- 1.2. The gist of the document (1-2 sentences-long summary of the main points)
- 1.3. Open access policies to academic books (describe the relevance of the document to this topic)
- 1.4. Add it to the document metadata field (abstract)
- 1.5. **Check if all documents have an abstract in English**



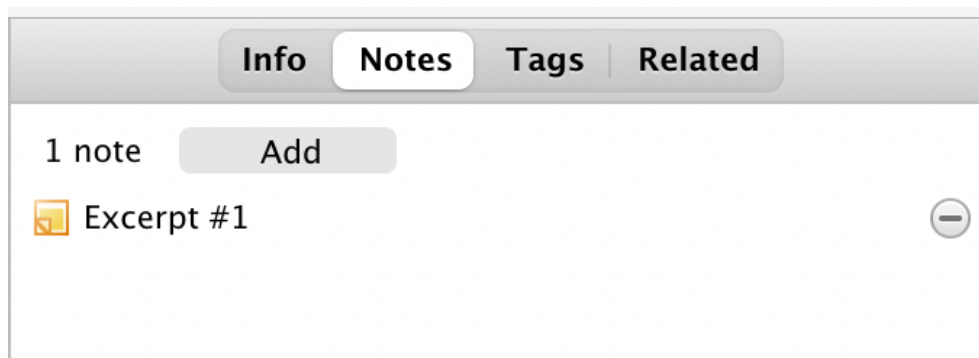
The screenshot shows a document metadata interface with tabs for 'Info', 'Notes', 'Tags', and 'Related'. The 'Info' tab is active. The document details are as follows:

Item Type	Document
Title	WYNIKI BADANIA ANKIETOWEGO MNISW NT. OTWARTEGO DOSTĘPU W 2017 ROKU
Author	(full name)
Abstract	In February 2017, the Minister of Science and Higher Education sent a letter to research units and universities on Open Access and Open Science. Following the Minister's letter, a survey on OA was carried out <ul style="list-style-type: none"><li>• The survey consisted of 22 questions</li><li>• It was sent to 249 research units and</li></ul>
Publisher	Ministry of Science and Higher Education
Date	2017
Language	PL
Short Title	Report Research on OA in Poland in 2017
URL	<a href="https://www.gov.pl/web/edukacja-i-n...">https://www.gov.pl/web/edukacja-i-n...</a>
Accessed	
Archive	
Loc. in Archive	
Library Catalogue	
Call Number	
Rights	CC-BY SA
Extra	
Date Added	15/03/2023, 23:00:29
Modified	15/03/2023, 23:04:05

#### 2. Excerpts

- 2.1. From each document, choose those passages that are relevant to the project. If the entire document is relevant, we can collect the whole document. There is no limit to the length of a single excerpt but try to keep it as meaningful as possible and the parts not relevant to the scope of the project omit irrelevant parts to make later coding more time-efficient (e.g. if a policy is dedicated solely to OA books we need the entire document but if OA books are just mentioned in one paragraph of a larger document, the relevant bit should be extracted). When in doubt, consult a country group coordinator or WP2 leaders.

- 2.2. If needed (the document is not in English) machine-translate the passages into (UK) English, using DeepL. Check if the translation makes sense for the reader.
- 2.3. For each excerpt, add a separate note to the document record in Zotero library with the following elements:
  - 2.3.1. Title: Excerpt #1, Excerpt #2, ..., Excerpt #n,



- 2.3.2. Optionally add a short description of the excerpt, please mark it clearly as abstract and keep in parentheses. E.g.: [ABSTRACT: This excerpt discusses policies regarding scholarly editions.]
- 2.3.3. Paste the excerpt in English, **use quotation marks in a clear way, so we know that the text comes from the documents**, for the text left out use [...].
- 2.3.4. Tag the excerpt with relevant PESTLE tags

Political	.political
Economic	.economic
Social	.social
Technological	.technological
Legal	.legal
Environmental	.environmental

- 2.3.5. Example of a note added to Zotero:

Excerpt #1

“The text of the policy excerpt [...] with unimportant parts omitted.”

Tags: .political, .technological

## Excerpt #1

" Pentru publicare în regim open acces:

- există documente doveditoare care atestă acceptarea articolului spre publicare într-o revistă indexată de Clarivate Analytics (denumire anterioară: Thomson Reuters) în Science Citation Index Expanded (Science), Social Sciences Citation Index (Social Sciences) sau Arts & Humanities Citation Index (Arts & Humanities) și plata taxei de publicare din fonduri personale;
- publicarea articolului în revistă se face după momentul lansării prezentei competiții." (P. 3)

☰ Translation with DeepL"

"For open access publication:

- there is supporting documentation that the article has been accepted for publication in a journal indexed by Clarivate Analytics (former name: Thomson Reuters) in Science Citation Index Expanded (Science), Social Sciences Citation Index (Social Sciences) or Arts & Humanities Citation Index (Arts & Humanities) and payment of the publication fee from personal funds;
- publication of the article in the journal is after the launch of this competition "

Related: [\[click here\]](#)

Tags: .political

### 3. Final step – confirmation

3.1. If the document is reviewed, add correctly to the Zotero and with excerpts – mark it with a green tag “done”.



The screenshot shows a file manager window with a sidebar on the left containing a hierarchical tree of folders. The main area displays a list of files with columns for 'Title' and 'Creator'. The 'Tags' tab is selected, showing a list of tags associated with the selected file. The tags include '.contextual document', '.national science policy makers', 'done', and 'PL'. The selected file is 'Kierunki rozwoju otwartego dostępu do publ...' with the creator 'Siewicz'.

Title	Creator
List Ministra Nauki i Szkolnictwa z dn. 10 luteg...	
Otwarty dostęp do publikacji naukowych. Kwes...	Siewicz
Kierunki rozwoju otwartego dostępu do publ...	
ZALECENIA KOMISJI z dnia 17 lipca 2012 r. w s...	
Stanowisko Prezydium KRASP i Prezydium PAN ...	
WYNIKI BADAŃ ANKIETOWEGO MNISW NT. O...	
Polityka otwartego dostępu Szkoły Głównej Ha...	
Uchwała senatu uniwersytetu gdańskiego z 14 ...	
Raport nta temat realizacji polityki otwartego d...	
USTAWA z dnia 20 lipca 2018 r. Prawo o szkol...	
Open Policy of the Polish Medical Platform	
ROZPORZĄDZENIE MINISTRA NAUKI I SZKOLNIC...	
Podpisana Deklaracja Planu S i Koalicji S	
DYREKTYWA PARLAMENTU EUROPEJSKIEGO I R...	
Instytucjonalna Polityka Otwartości Instytutu N...	
Instytucjonalna polityka otwartości Uniwersytet...	
POLITYKA OTWARTEGO DOSTĘPU W UNIWERSY...	
Polish Roadmap for Research Infrastructures	
Zarządzenie Rektora Uniwersytetu Wrocławskie...	
Zarządzenie Dyrektora Narodowego Centrum ...	
Polityka otwartego dostępu do publikacji nauk...	
Polityka Otwartości Instytutu Badań Literackich...	
Polityka otwartego dostępu do publikacji nauk...	
ZARZĄDZENIE Nr 83/2022 Rektora Uniwersytet...	
Wytyczne Rady Narodowego Programu Rozwoj...	
OA Policy University Library of the University of...	
Otwarta nauka w Bibliotece Uniwersyteckiej w ...	
Polityka otwartego dostępu w Instytucie Sławis...	
OA Policy of Adam Mickiewicz University in Po...	
Otwarta nauka w Polsce – rys historyczny	Bednarek-...

Tags: 4 tags: Add

- .contextual document
- .national science policy makers
- done
- PL





# A4 Interviewer Handbook

## PALOMERA Interviewer Handbook

1. General aims
  - 1.1. The interviews broaden our factual knowledge gathered from documents and surveys.
  - 1.2. They concern WHO & WHY of the OA policy creation and implementation. In the absence of a policy, we are equally interested WHY there's none and what are the factors behind it. We aim to understand the processes behind the policies.
  - 1.3. We ask our respondents in their professional capacities first and foremost about their immediate institutional experience as:
    - policy makers (national/regional policies),
    - research funding organisations (funders policies)
    - research performing organisations (institutional policies)
    - publishers (institutional policies)
    - librarians (institutional policies)
  - 1.4. We need to specify, if they're speaking about their institution or general national/European context. As a rule, we prefer them speaking about their immediate sphere of experience.
2. Interview scenario
  - 2.1. All interviews should be conducted with the use of the interview scenario. For the group interviews we will use a slightly different scenario, and will try to stick to more general questions (limiting the use of subquestions), so the interview is not too long.
  - 2.2. We prefer the interviews to be conducted in English. However, we may also conduct them in other languages, but it means a bit more work with proofreading the translation (check if happyscribe handles the automatic transcription in this language)
  - 2.3. For interviews conducted in other languages than English, the interviewer needs to translate the questions before the interview.
3. Sampling
  - 3.1. We aim at roughly 40 interviews, i.e. at least 35 individual interviews and 5 group interviews or focus groups (one per stakeholder group). Group interviews should cover up to 8 participants from different countries.
  - 3.2. General sample aims:
    - Roughly 4–6 interviews per country group (depending on the group size).
    - Each ERA country covered (ambitious, just like us)
    - App. 8 interviews per each of 5 stakeholder categories, incl. one group interview per category.
    - Gender balance (+/- 10%)
  - 3.3. WP2 leadership is responsible for the sampling and will instruct the country group leaders with regard to the expected demographic profile.
    - Country group leaders propose a set of interviewees with demographic data (gender, country, stakeholder type) not later than 2 weeks before the planned interview.
    - WP2 leadership approves or asks for some changes regarding the overall sample (e.g. different stakeholder type or gender).



- Once approved, WP2 leadership provides the country coordinator with a unique interviewee identifier (e.g. PAL01, PAL02, etc.) that should be used in handling the data.
    - If interviewee refuses, preferably find somebody else from the same country and the same stakeholder group.
4. Pre-Interview setup
- 4.1. Book the interview at least two weeks well in advance (in some cases it may take up to a couple of months, especially in the holiday period) using the PALOMERA Interview Invitation Letter.
  - 4.2. Information for Participation and Consent form
    - This document is a template, please copy it and send it to the interviewee by filling the yellow spaces (information about interviewer and interviewee) before.
    - Send a consent form and to the interviewee and ask for a signed copy (scan) to be e-mailed back before the interview (answer their additional questions, if needed, but mind 4.4 below).
    - Pass the consent form to the WP2 leadership as soon as you receive it (before the interview).
  - 4.3. Copy the link to the OPERAS Zoom meeting (Room 3, it is always the same link) and send it to the interviewee. You may also create a calendar event and invite the interviewee through this channel too.
    - In order to avoid double bookings, it is essential to add meetings@operas-eu.org to all Google calendar invites. There will be a shared calendar where you can double-check if that zoom room is being use for that time slots. In addition, in order to be able to see which zoom room is being used, you must add which Zoom account is being used directly to the meeting name of the calendar invite: [ZM#] PALOMERA WP# <Meeting Title>
  - 4.4. Make sure to send a reminder to your respondent approx. 48 h before the interview.
  - 4.5. Do not send questions nor an interview beforehand unless they ask for them to avoid difficulties in conducting the interview. Otherwise, your interviewee would wait for certain questions to be asked instead of concentrating on what you expect. The description in the consent form will be enough.
  - 4.6. Create your own Interview scenario (copy it from the document and then put to the INDIVIDUAL SCENARIO folder. Make sure that you put all the important information about the interviewee before the interview. You can adjust the scenario to the person, e.g. you can delete the questions which are only specified for some of the stakeholders group.
5. Technological setup
- 5.1. Be sure that you have a stable connection, quiet room and good microphone to facilitate the transcription.
  - 5.2. Use a recording option on Zoom (Zoom to cloud recording is recommended as it keeps on recording despite the quality of your internet connection).
    - Make yourself host of the meeting to record it.
    - Join the PALOMERA Zoom Room



- 5.3. Use back-up audio recording, either through internal software on your computer (e.g. Audacity) or an external device like a voice recorder or a mobile phone, to preserve the interview in case of the Zoom failure.
  - 5.4. Once the interview is finalized, the recording will be stored in the OPERAS cloud. Please, email ZOOM account administrator the Zoom account, that you conducted the interview and ask them to move the recording to the Google Shared Drive (GDPR restricted). In case of technical problems with the outputs, consult WP2 leadership.
6. Beginning of the interview
    - 6.1. Remind interviewee that we're recording (as stated in the consent form).
    - 6.2. Inform that we have scheduled one hour, and you'll do your best to finish on time. It is important that the interviewee knows that you are working towards keeping the time constraints, so they can cooperate.
7. Interview as a conversation
    - 7.1. The goal is not to ask all the questions, but to get all the answers.
    - 7.2. Repeating back what you heard when you're not 100% sure in a more complex argument can help - and makes them feel listened to. At the beginning, its also a good way to connect with the interviewee
    - 7.3. Your main task is to show your interviewee that you listen and this knowledge/experience is very important for you.
    - 7.4. When you ask a new question, relate it to the previous ones (e.g. you already mentioned X, now tell me about Y). You can also announce the start of a different topic (some prompts are already in the scenario).
    - 7.5. You can slightly modify questions, if you feel that a certain part was answered and other aspects not.
    - 7.6. Furthermore, you don't have to ask questions or sub-questions if what we need was already spelled out earlier. Move to the next questions, instead of having the interviewees repeating themselves.
    - 7.7. Follow-up questions are intended to be used if the interviewee's answers are short, and you need additional prompts to make them talk.
8. Clarity
    - 8.1. Ensure that all statements are self-evident and will be understood by transcript readers. If they refer to the shared knowledge between you and them, ask them to elaborate it (e.g. if the interviewee refers to the project both of you know, it would be good to ask for the explanation for the sake of the transcript and further analysis).
    - 8.2. If you're not sure if you understood something correctly, wait until they finish and ask a follow-up question (e.g. you said X, does it mean that Y, or... ). Don't be afraid to do this, they are usually happy to elaborate.
9. Timing
    - 9.1. For individual interviews we expect roughly 5 minutes per section, except for political aspects which should take about 10 minutes. In sum, that makes 45 minutes, so there's still room for slight elaborations within the hour you have. Please use this as a guide only – there may be interviewees with specialised knowledge on one of the sections and then the balance will be different.



- 9.2. For group interviews we may expect slightly longer discussion, and we'll work with the limit of 90 minutes. We don't expect everyone in the group to respond to each question, but rather to highlight general provisions. Try to facilitate in such a way that the quieter participants also contribute.
- 9.3. All throughout the conversation control time and progress in the questionnaire.
- You never know which question will take longer with this particular interviewee, so it's hard to time all the questions. But if we know that somebody's an expert in a particular field, make sure that they answered the set of questions relevant to their expertise.
  - Before the interview you can add specific times to the sections to remember, when you definitely need to move on.
  - Don't be afraid of short answers and quick interviews, as long as they remain on topic. (The longer the interview, the longer the transcript).
  - Throughout the interview use a dedicated copy or a printout of the questionnaire and cross out the questions asked or those that don't need to be asked because you already have answers (or know that the interviewee will not be able to answer).
- 9.4. The final section is optional. We should have time to ask whether there's something else worth mentioning, but we don't need it if timing doesn't permit.
10. Managing interviewees
- 10.1. Interviewees are willing to cooperate and to deliver the goods, so they will respond to your confident management of the interview.
- 10.2. If an interviewee gets off-topic or ventures into a digression you may say: that's very interesting, so please keep it in mind, and we'll get back to it later on. (And they are willing to cooperate and wait). Take a note and return to this issue in the last section.
- 10.3. If someone talks a bit too much about a topic and this conversation is not bringing anything new, you can cut it off politely using the argument of respecting their time (I promised to take 60 minutes of your time and really wouldn't want to bother you longer...).
11. Group interview
- Although all the information provided so far applies also to the group interviews, there are some additional issues to be discussed.
- 11.1. In the group interview we aim at getting the information about all the countries but also we want to have a group dynamics and comparison. So, you don't have to ask all the questions to all participants but rather have the first one responding in detail and then ask the rest if it looks similar in their countries or if they want to add something. Not everybody needs to respond.
- 11.2. Use the general questions and the follow up only to get the discussion going. There's a chance that they'll cover everything without prompting.
12. Transcription and translation
- 12.1. Tool: happyscribe (GDPR-compliant)
- 12.2. Interviewers request individual accounts from Gabriela (subaccounts to WP leader account) on happyscribe, where they may transcribe the content of interviews. Only interviewers see/listen to the interviews.



- 12.3. Once the transcription is finalized it will be stored by the interviewer in the dedicated folder for interview materials in the file named with PAL\_ID.
  - 12.4. If the interview was conducted in a non-English language, the interviewer uses DeepL to translate the interview into English and proofread it.
  - 12.5. Once the translation is finalized it will be stored by interviewer in the dedicated folder in the file named with PALOMERA\_ID and \_en
  - 12.6. The following conventions should be followed:
    - We use standard transcript procedures, i.e. transcribing what was said, without pause marks (like “yyyy...”, “mmm”, etc.) or timestamps.
    - Questions and comments by the interviewer should be clearly marked by “INTERVIEWER” and bold font.
- 
13. Publication
    - 13.1. Consent for publication
      - Interviewees will decide in the consent form whether they will later consider the publication of the interviews as open research data.
      - They should specify in the consent form whether they would expect the interview to be anonymised beforehand (i.e. removing all references to actual entities).
    - 13.2. The transcribed interview (anonymised) will be sent to the interviewee for the authorisation.
    - 13.3. The accepted version will be published in the Knowledge Base.
  
  14. After the interview
    - 14.1. Please, provide some notes right after the interview. It should be 3-5 most important points from the interview. It can be regarding the specificity of the country OA books landscape or other reflections concerning interview scenario (e.g. if the question was not clear for the interviewee etc.), or interviewee’s capacity (e.g. lack of knowledge in certain areas that could be important for us).
    - 14.2. Notes should be written on top of the Individual scenario file (document).

## A5 Interview invitation template

[To be pasted in to the body of the email]

SUBJECT: Invitation to expert interview for the EU-funded PALOMERA project

Dear [NAME SURNAME]

[Add a personal welcome if you know the person]

I am a researcher in the Horizon Europe project [PALOMERA](#), whose main objective is to speed up the transition to Open Access (OA) for academic books. We are developing a knowledge base with qualitative and quantitative data on the OA book policy landscape in Europe, which will form the basis for analysis and further recommendations for the European and national policy makers.

I would like to invite you to share your views and experience as part of an interview for the PALOMERA project. In particular, we wish to discuss the challenges behind developing and aligning policies for Open Access academic books.

You would be an excellent interviewee for PALOMERA because [ADD Personalized EXPLANATION e.g. your experience in OA in this country, or participation in important bodies, commissions, or prior research, or because your institution is a champion of OA in this country, etc.].

The interview will last no more than 60 minutes [90 for group interviews] and will be conducted via Zoom, preferably on [provide a time-span or suggested dates already]. Should you prefer a different date, we can accommodate such a request.

The interview will be transcribed and analyzed. We would like to publish the excerpts or the entire interview in the Knowledge Base. We will send you the transcript for review and after your approval of the transcript, we will confirm with you whether you give us permission to publish the interview under your name or in an anonymized version, and if so whether we can publish the entire transcript or extracts.

I attach the consent form with a detailed description of the research and personal data-handling. I will need you to return a signed copy via email prior to the interview.

Should you have any questions regarding the project, interview or data collection policies, do not hesitate to contact me.

I look forward to hearing from you

Signed by .....



## **A6 Interview information and consent form**

Information for Participation in PALOMERA Interviews

Interviewer: ..... (organization)

### Use of your personal data

We, as participants of the PALOMERA project, value your privacy and process your personal data in compliance with the EU General Data Protection Regulation.

Your personal data is any information related to you. Processing is any operation performed on the data.

According to the transparency principle, this document will provide you with information about the processing of your personal data as required by Articles 12, 13 and 14 of the General Data Protection Regulation.

ORGANIZATION NAME, partner in the H2020 Project PALOMERA, is acting as the data controller within the meaning of the General Data Protection Regulation. If you have any questions or concerns regarding the processing of your personal data, please contact NAME AND SURNAME (mail).

What information about you do we collect and process?

The following information about you are collected and processed within the Project:

Name, surname

E-mail address

Affiliation / professional situation / occupation

Audio and Video recording of the interview

Legal basis for the processing of your data



Your data is processed on the basis of your consent (Article 6.1(a) of the General Data Protection Regulation) which you give by accepting this Notice.

For how long do we keep your data?

Your personal data will be stored on a secured spreadsheet, stored on the G-Suite institutional drive of the PALOMERA coordinator (organization), until 31 December 2024. Your name will not be used in any project outputs or communication. Instead, a unique code will be applied when used in any publications and outputs from this project. During the project period, we will take all measures to keep your personal data safe and fully confidential.

Use of data and dissemination of research findings

The interviews will be transcribed and analyzed with support of Computer-Assisted Qualitative Data Analysis Software. Findings from the analysis will be published and made openly available.

The anonymized datasets, i.e. interview transcripts, will be made available for future research through a certified open data repository. Pseudonymisation means that your identity will be replaced with a pseudonym (a random ID generated by the research team). The deposited form of the data will be properly redacted to fully protect confidentiality, and available for reuse to the promotion of Open Science and FAIR Data Principles.

Benefits of participating

The direct benefits of participating in the research are that participants can share experiences and actively bring their knowledge; mostly, however, the benefits are indirect, they will be accrued by the SSH research community as a whole with a contribution to the development of scholarly information infrastructure.

Financial aspects

There is no remuneration paid for participation.

Supervision

The interviews are conducted by researchers at name of the organization during PALOMERA project. You can always contact the researcher overseeing the data collection with queries and comments regarding the interview.

The interviewer certifies that:



The terms of the present consent form are made clear to the participant, and any question they may have will be answered before the interview.

The interviewee is free to withdraw from the study at any time.

Consent Form

I agree that I have read and understood the Data Privacy Notice provided by [name of the Controller.....]

Based on this explanation, I, ..... [please provide your name and surname here] agree, by signing below, that the Joint Controllers may process my personal data as such: name and surname, e-mail address, including the data of special category like audio and video recording, in purpose to conduct the studies indicated in PALOMERA project (Grant #101094270) and to contact me in the future regarding this project.

Please, choose the applicable option for the data publication:

- I agree to the publication of the anonymized transcript of the interview, but I reserve the right to the final approval of the transcript. (In that case, the interviewer sends you the transcript and will publish it only with your approval or after introducing changes you demand).
- I agree to the publication of the anonymized transcript of the interview, and I waive the right to the final approval of the transcript. (In that case, the interviewer will not be bothering you with the transcript after the interview).
- I don't agree to the publication of the anonymized transcript of the interview.

.....  
[date, place]

.....  
[signature]



## A7 Interview scenario

Demographics

Gender: female / male / other / prefer not say

Stakeholder type (multiple choice):

- **policy makers**
- **research funding organisations**
- **research performing organisations**
- **publishers**
- **librarians and infrastructure providers**
- **other (specify)**

Country the interview is focused on: The Republic of Ireland

[In the case of group interviews, provide the information for all participants]

Interview questionnaire

This interview is conducted as a part of the PALOMERA project and focuses on policies regarding open access to academic books. In the interview we try to assess different aspects of the issue, that is political, economic, social, technological, legal and environmental.

### 1. General questions

Let us begin with a warm-up question.

- 1.1. Could you briefly introduce yourself and tell me how your professional experience relates to the issue of open access books?

Now, I would like to ask some contextual questions focused on the **national policies** in your country.

- 1.2. The PALOMERA project defines academic books as scholarly, peer-reviewed, books including: monographs, book chapters, edited collections, critical editions, and other long-form scholarly works.  
Does this definition differ from how the academic books are defined in your country, or your institutional context, or your discipline?
  - 1.2.1. *[Follow-up]* Do you feel that anything is missing in that definition? E.g. some type of publication that should be considered as an academic book.
  - 1.2.2. *[Follow-up]* Do books need to be peer-reviewed to be considered academic in your country?
- 1.3. Before I ask about your institution specifically, could you tell me what is the current status of national or regional policies or regulations concerning Open Access books in your country? Is there a national or regional policy?
- 1.4. Are there incentives for OA publishing in the national/regional system?

A note that we are shifting our focus now. The remainder of the questions will focus on your immediate institutional context (**note for the interviewer: does not apply to policy makers who are asked about the national context throughout the interview**)

### 2. Political component

This section focuses on the Political dimension of OA books publishing and policy. We focus on the process of the policy implementation, including the agenda-setting, policy formulation and evaluation.

- 2.1. Let me begin this section with questions about the relationship between the national (or regional) and institutional policies.

- 2.1.1. Are there any forms of support for policy creation or implementation from the institutions or central/ministerial or governmental level? E.g. recommendations, workshops, grants?
- 2.1.2. Who participates in the policymaking process? Are there consultations? If so, who is/was taken into consideration., e.g. what form of consultation has taken place?
- 2.2. Is there an open access policy regarding academic books in your institution? (**Note: policy makers are asked here about national or regional policies**)
  - 2.2.1. **IF YES (THIS ALSO CONCERNS A SECTION ON BOOKS IN THE GENERAL OA POLICY)**
    - 2.2.1.1. Could you describe step-by-step how the policy was conceived, drafted, agreed upon, and implemented?
      - 2.2.1.1.1. *[Follow up]* When was it established? Who proposed the idea?
      - 2.2.1.1.2. *[Follow up]* What was the process of drafting it? Who was involved and who chose those involved?
      - 2.2.1.1.3. Were there consultations, debates? What measures were discussed?
      - 2.2.1.1.4. *[Follow up]* How was the policy implemented? Who was responsible for implementation?
    - 2.2.1.2. What were the main difficulties to create and implement the policy?
    - 2.2.1.3. Was the policy updated and/or do you perceive a need for such an update currently?
  - 2.2.2. **IF THERE IS POLICY BUT NOT EXPLICITLY ABOUT BOOKS**
    - 2.2.2.1. To what extent the existing OA policies cover academic books?
    - 2.2.2.2. During the process of creating those OA policies, were there any attempts at addressing books specifically?
  - 2.2.3. **IF NO**
    - 2.2.3.1. Let us talk then about the prospect of establishing such a policy. Are there any existing policies or recommendations that might influence the development of open access book policy in the foreseeable future?
    - 2.2.3.2. Has the discussion about OA books policy already started in your institution, or has it been taken into consideration?

### 3. **Economic** component

In this section, we focus on the economic dimension of OA books publishing now, related to the funding instruments and models.

- 3.1. **General funding model.** Is there a difference in funding opportunities for OA and non-OA books??
  - 3.1.1. **[If there is a policy]** Is there a clear link between the policy and funding to implement it?
  - 3.1.2. Is there support (in the policy or elsewhere) for alternative business models, e.g. diamond, author accepted manuscript, delayed OA etc.
- 3.2. What are the **sources** of funding for OA academic books in the country on national/regional and institutional level?



- 3.2.1. [Follow up if not addressed]: How is the level of financial support determined/what are the criteria? Is it different if the books are not published OA?
- 3.2.2. Is the funding from those sources sufficient to publish OA books, e.g. based on Book Processing Charges, or requires the institution to look for additional funds or alternative publishing model.
- 3.2.3. Does the existing system incentivise authors to publish OA books?
  - 3.2.3.1. [Follow up] Are those resources available for scholars on all career levels, or only to specific groups?

### 3.3. Additional question depending on the stakeholder group

- 3.3.1. **For FUNDERS: [if they have an OA books policy]** How do you gain knowledge about issues related to implementation of the policy?
- 3.3.2. For PUBLISHERS:
  - 3.3.2.1. Does OA have an impact on book sales?
- 3.3.3. For RPOs: Who implements the funding in your institution, and what is the process? Does your institution have competencies and processes regarding distribution of funding, e.g. OA books publishing cost monitoring system?

## 4. Social component

We now focus on the Social dimension of OA books publishing and policy; e.g. publication venue and format priorities, research assessment, disciplinary differences, publication languages.

- 4.1. What is the role of academic books (in general) in national, institutional systems research assessment? Are OA books taken into consideration in the research performance assessment?
  - 4.1.1. [Follow-up] Are there differences in how much credit is given between different types of academic books (e.g. edited volumes, single author monographs, scholarly editions?)
  - 4.1.2. [Follow-up] Are there any differences depending on the discipline?
  - 4.1.3. [Follow-up] Are there any incentives to publish in the local language or rather in English?
- 4.2. Is there a relationship between open access and the perceived prestige of the publication? (e.g. OA books considered less or more prestigious).
  - 4.2.1. [Follow-up] Do publishers considered prestigious in your country offer open access options?
- 4.3. What are the key arguments used in the debates around OA to academic books in your country?
  - 4.3.1. [Follow-up] Do such topics as “bibliodiversity”, “multilingualism”, “support for smaller, ‘long-tail’ academic publishers” appear in the debate? If so, what are the arguments in the discussions?
  - 4.3.2. [Follow-up] Does the topic of OA books appear, or even get any momentum in the public discourse? (on the side of lack of/existence of official OA policies)
  - 4.3.3. [Follow-up] Do ethical considerations, such as equity, public funding focused on society, providing access to research funded with taxpayer’s money etc., appear in such discussions?

## 5. Technological component



In this section we ask about the Technological dimension of OA books publishing and policy, this focuses on the infrastructure; e.g: publishing platforms, content and metadata standard, preservations.

- 5.1. Is there any underlying technical infrastructure that might support the policy (or may support it when implemented)? Is it located on the level of national Research Infrastructure (e.g. publishing portal) or locally within research performing organisations or publishers?
  - 5.1.1. *[Follow-up]* What tools or systems are used for policy monitoring (or may be useful if a policy for policy development, implementation, evaluation) etc., e.g. for measuring impact and policy compliance etc.
- 5.2. Is there any technological support for innovative or experimental genres, i.e. academic books, beyond simple PDF/html formats (e.g. digital scholarly editions, extended monographs, linking publications with underlying data)?

## 6. Legal component

In this section we ask about the Legal dimension of OA books publishing and policy; e.g: regulatory requirements, copyrights, licensing.

### 6.1. If there is a policy

- 6.1.1. Is the implementation of the policy monitored? If so, by whom? Are there any results you can share?
- 6.1.2. Are there any consequences for non-compliance, (e.g. suspension of funding etc.)?
- 6.1.3. Is there a specific license required for OA books to be compliant with the policy? If yes, how did you decide on that specific license?

### 6.2. If there is no policy

- 6.2.1. What are the legal documents and policies guiding open access to books?
- 6.2.2. Are open licenses promoted? If so, which ones?

## 7. Environmental component

In this section we ask about the environmental dimension of OA books publishing understood narrowly as research environment and broadly as physical environment.

- 7.1. How do you assess the progress of the transition to open access books and what needs to be done to make it progress better?
- 7.2. In what ways, research environment of the institution is or should be supportive for OA academic books? By research environment we mean general conditions and environment for supporting research and enabling impact within the institution.
- 7.3. How is the digital only/digital and print issue perceived by stakeholders? What is the role of the printed book that is also available in OA?
- 7.4. Do you use environmental arguments to promote open access books?

## 8. Closing remarks

- 8.1. Is there anything you would like to add to the issue of Open Access Book policies in your institution or country which we might have omitted, but it is important?

Thank you very much for your time and participation.



## **A8 Data providers survey questionnaire**

PALOMERA survey questionnaire

### **GENERAL QUESTIONS**

1. What type(s) of institution(s) do you work for?
2. In which country are you located?
3. Are you professionally involved in open access (for example, supporting open access publishing as a publisher or librarian)?
4. How would you rate your expertise in the field of open access?

### **OPEN ACCESS POLICY**

5. Does your country have a national open access policy?
6. Are open access books included in this national open access policy?
7. Does your country have a policy exclusively dedicated to open access books?
8. Does your institution have an open access policy?
9. Are open access books included in this institutional open access policy?
10. Does your institution have a policy exclusively dedicated to open access books?
11. Which of the following policies/recommendations are you familiar with?

### **STAKEHOLDERS AND PLAYERS**

12. How important are the following stakeholders for the implementation of open access book policies in your country?
13. How important should the following stakeholders be for the implementation of open access book policies in your country?

### **ATTITUDES TOWARDS POLICY-DESIGN**

14. An open access policy for books on the national level changes academic publishing for the better.
15. An open access policy for books on the institutional level changes academic publishing for the better.
16. I am interested in participating in the design of an open access policy for books on a national level.
17. I am interested in participating in the design of an open access policy for books on an institutional level.
18. I am aware of opportunities to participate in the processes of shaping a policy for open access books.
19. I know which stakeholders are involved in designing a national open access policy for books.
20. I know which stakeholders are involved in designing an institutional open access policy for books.

### **ATTITUDES TOWARDS MEASURES TO PROMOTE OPEN ACCESS BOOKS**

21. Publishing an open access book (digital or print) and publishing a closed access book is equally prestigious.
22. Authors willing to publish an open access book in my country have sufficient information to do so.
23. Authors willing to publish an open access book in my institution have sufficient information to do so.
24. There are sufficient funding opportunities to publish an open access book in my country.
25. There are sufficient funding opportunities to publish an open access book in my institution.
26. There is sufficient technical infrastructure to support publishing an open access book in my country.



27. There is sufficient technical infrastructure to support publishing an open access book in my institution.

**POLICY MEASURES**

28. How important are the following measures for quality assurance for open access books?
29. How important are the following measures to increase visibility of open access books?
30. How important are the following measures for rights management in open access books?
31. How important are the following measures concerning data about the book (metadata, persistent identifier, usage-data)?
32. How important are the following properties for open access books?
33. How Important are the following economic measures for open access books?
34. How important are the following measures for open access books?

**FEEDBACK**

35. Thank you for your participation in the survey. Is there anything else you would like to share with us?





## A9 Data model for the Knowledge Base

Metadata mapping from the Zotero Library to the Knowledge Base		
Column number in the Zotero export file	Metadata in the Zotero export file	Dublin Core term for the Knowledge Base (DSpace)
2	Item Type	dc.type
3	Publication Year	dc.date.issued
4	Author	dc.contributor.author
5	Title	dc.title
6	Publication Title	dc.source
7	ISBN	dc.identifier.isbn
8	ISSN	dc.identifier.issn
9	DOI	dc.identifier.doi
10	Url	dc.identifier.uri
11	Abstract Note	dc.description.abstract
15	Access Date	dc.date.snapshot
17	Num Pages	dc.format.extent
18	Issue	dc.bibliographicCitation.issue
19	Volume	dc.bibliographicCitation.volume
21	Journal Abbreviation	dc.bibliographicCitation.journalabbreviation
22	Short Title	dc.type.description
23	Series	dc.relation.ispartofseries
26	Series Title	DISCARD
27	Publisher	dc.publisher
28	Place	dc.publisher.place
29	Language	dc.language.iso
30	Rights	dc.rights
31	Type	dc.type.description
36	Extra	DISCARD
37	Notes	SEPARATE FILE IN DSPACE ITEMS
39	Link Attachments	dc.identifier.uri
40	Manual Tags	dc.subject.stakeholder; dc.subject.country; dc.subject.tag
41	Automatic Tags	DISCARD



42	Editor	dc.contributor.editor
45	Contributor	dc.contributor
48	Cast Member	dc.contributor
60	Number	DISCARD
61	Edition	DISCARD
62	Running Time	dc.format.extent
72	Conference Name	dc.relation.conference

*Table 4.* The metadata mapping, based on non-empty metadata in the Zotero export file (as of November 2023)

