

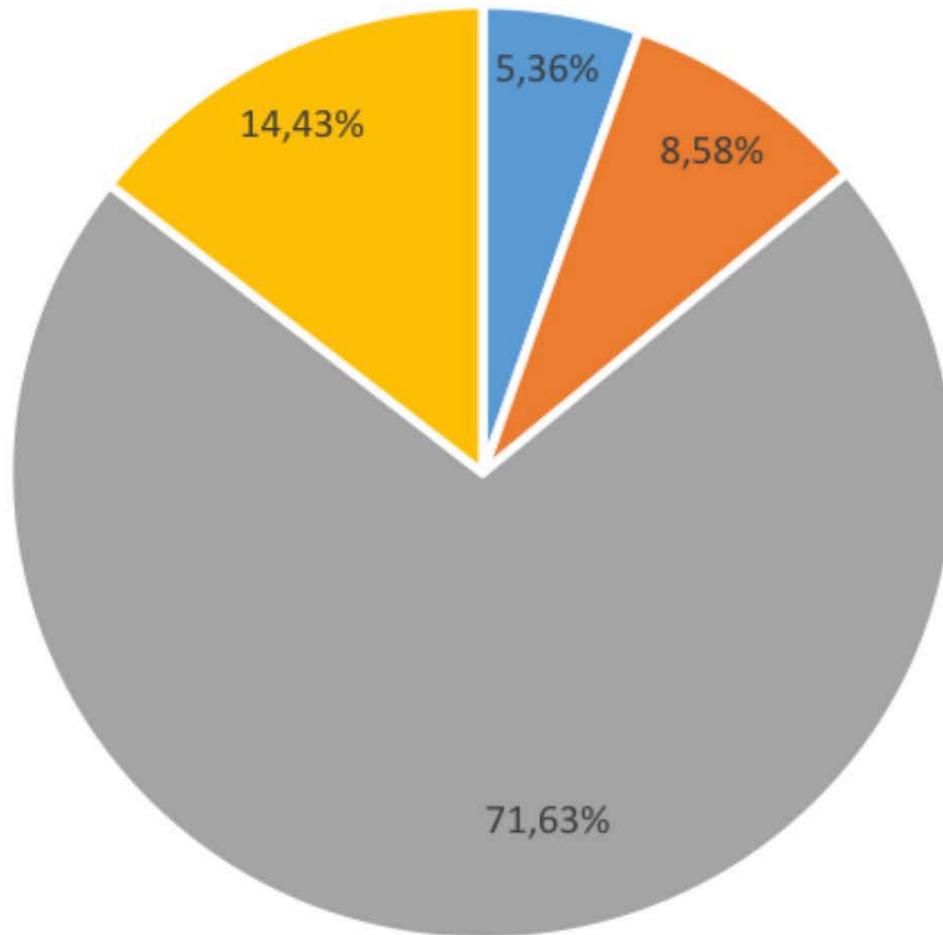
NWU Open Access Week 21 – 25 October 2019

Open Access in the Humanities: Their Value, Opportunities and the Role of Peer Review

Andries G. van Aarde

- Commissioning Editor: AOSIS Scholarly Books
- Member of ASSAF CSPiSA
- Member of DHET Specialist Panel for Evaluation of Books/Conference Proceedings
- Editor-in-Chief of ISI/Scopus open access mega-journal – most voluminous scholarly journal in Africa

Scholarly Book publications by broad field, 2016



- Business and Commerce
- Education
- Humanities
- SET

Importance of scholarly books in humanities

- Valued highly and recognised as **essential modes of research dissemination**
- Generate on average **three times more citations** than do journal articles
- Citations to books **take longer to register** (>2yrs), but have longer active citation life

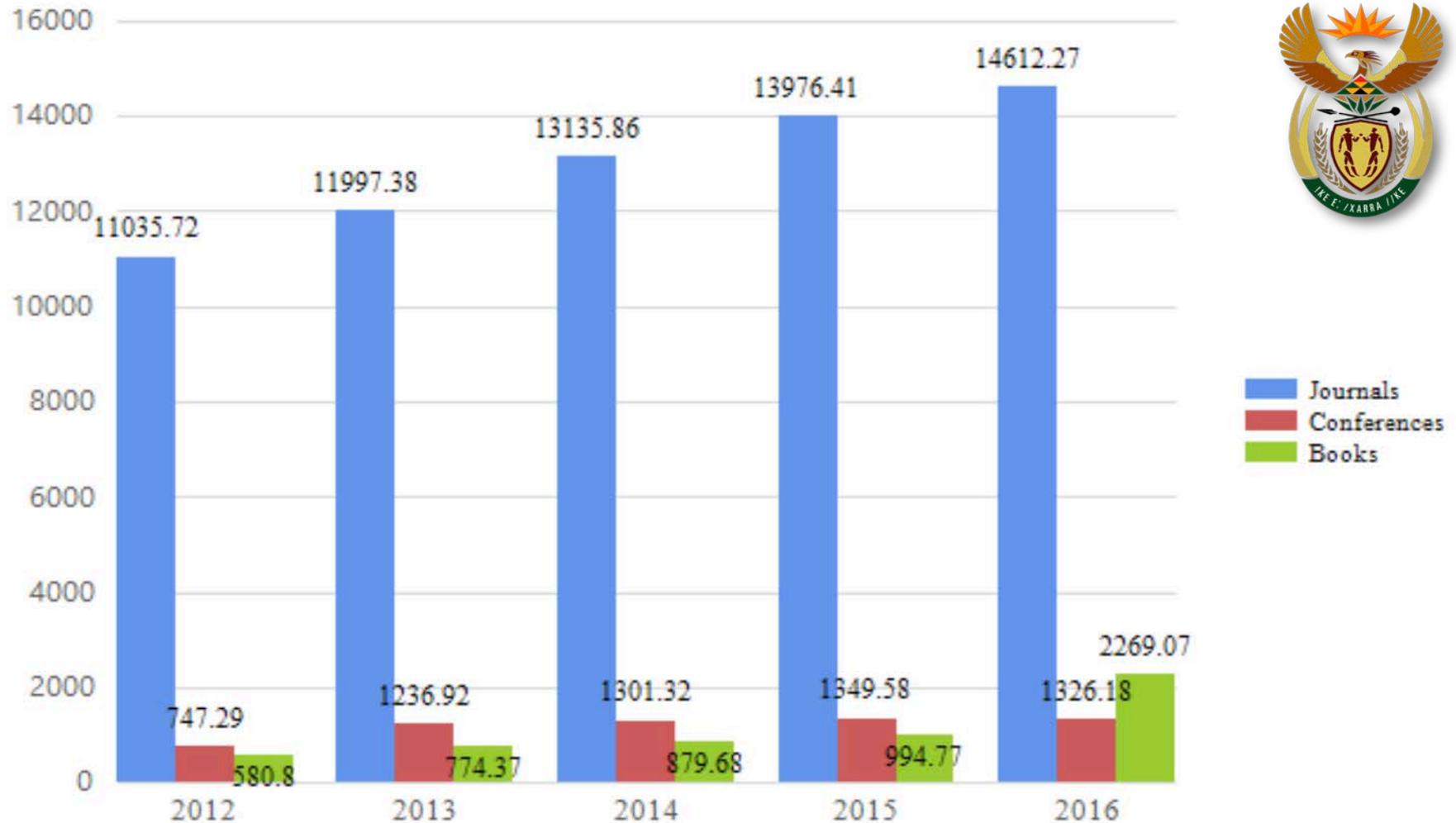
Scholarly Books:

Their Production, Use and Evaluation in South Africa Today

ASSAf, 2009

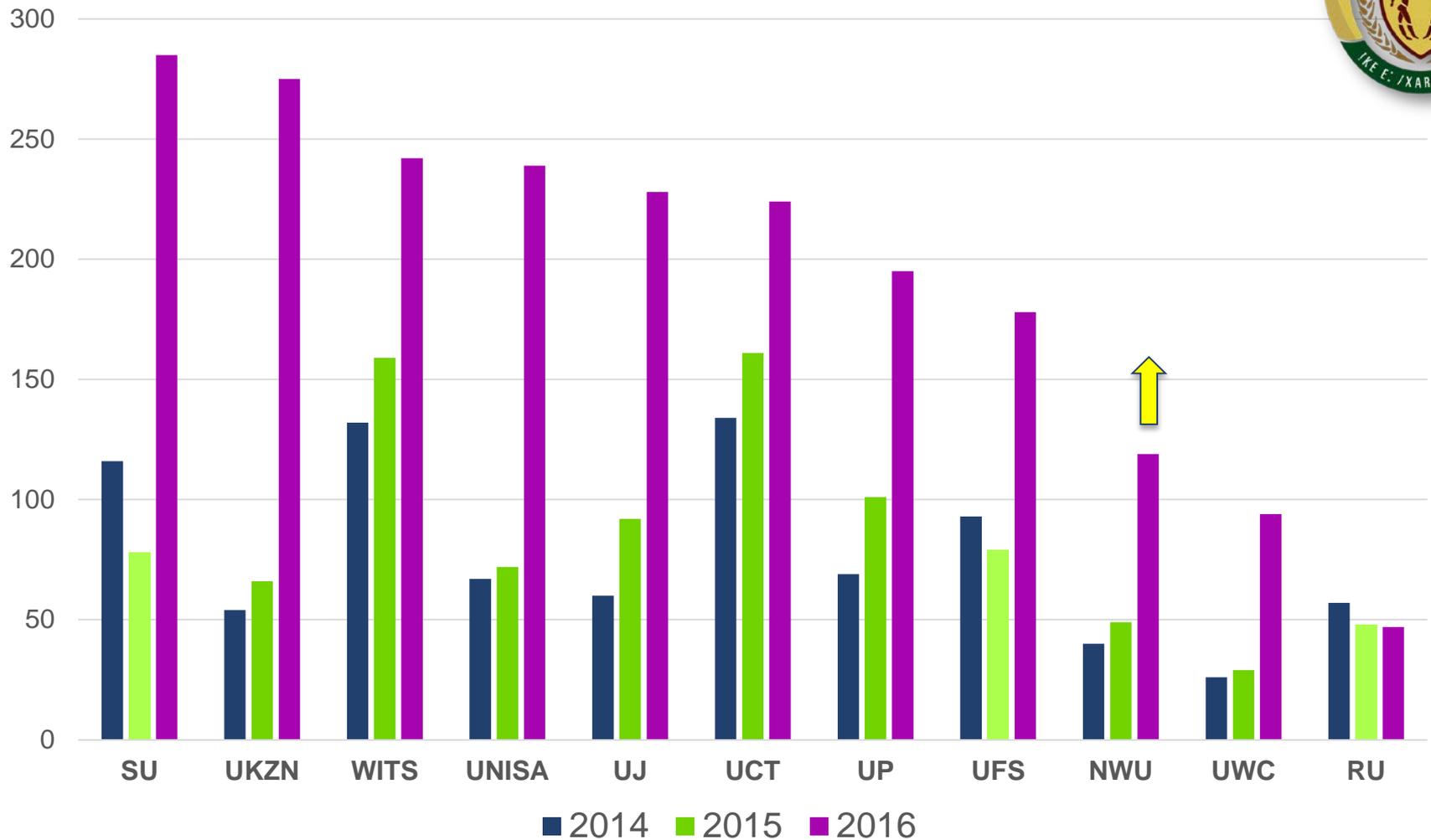
RSA Research Unit Output by Publication Type (2012 – 2018): 2016 = 18,207; 2018 - 19 421

R1,6bn



Report on the Evaluation of the 2016 Universities' Research Outputs. DHET March 2018

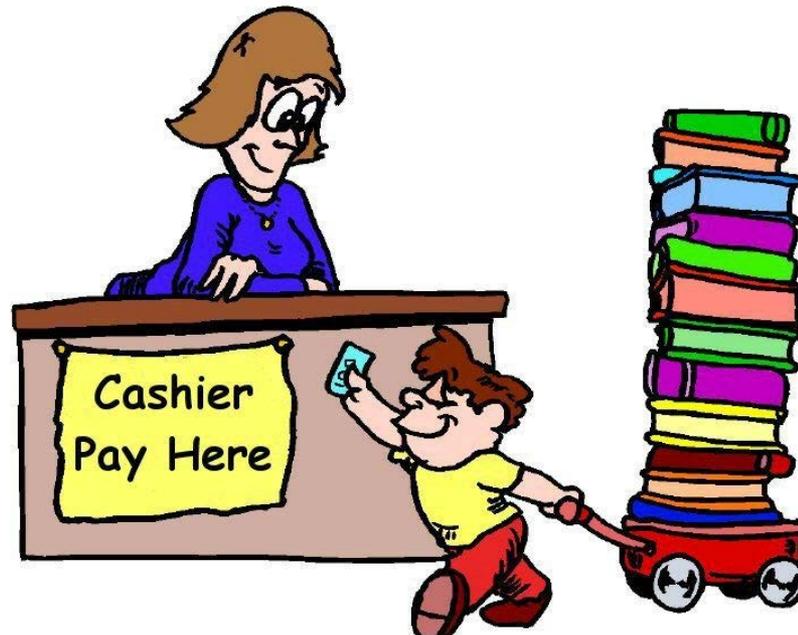
BOOK publication output units per HEI (2014 - 2016)



Traditional Scholarly Books model

Selection on sales potential

- **Output limited** by sales potential
- **Citations limited** by book sales/access



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Indexing - Web of Science

**Clarivate Analytics:
Book Citation Index (BkCI)
of Web of Science (ISI)**



**SCOPUS
Elsevier**



BOOKS: Main changes in 2016 policy



Books:

- Defined book types
- Peer review evidence
- Justification report
- Revised PhD's (>50% revision, new research)
- Doubled units, 5- > 10
- Evaluation process (discipline panels)

Scholarly books – opportunity

Solve dilemma of % cap on journals
– Move to books

Increase in no of books will reduce value of units in general (\times journal reliance)

Dissemination & digital preservation



INCREASING CITATION IMPACT

International Open Access Dissemination

OAPEN: EU – Open Access Publishing in
European Networks

DOAB: Directory of Open Access Books
Sponsor by Brill, SpringerNature,
and De Gruyter

Google Scholar

EPub; Kindle, Purchase at demand

CATEGORIES OF BOOKS ACCEPTED BY DHET

Monographs (maximum 300 pp, excl. introductions/findings/references/index registers/preface/acknowledgements)

Collected work (pro rata calculation)

Collective work

PhD (50% reworking)

2nd or 3rd editions of published work

Conference proceedings (> 50% of subsidy)

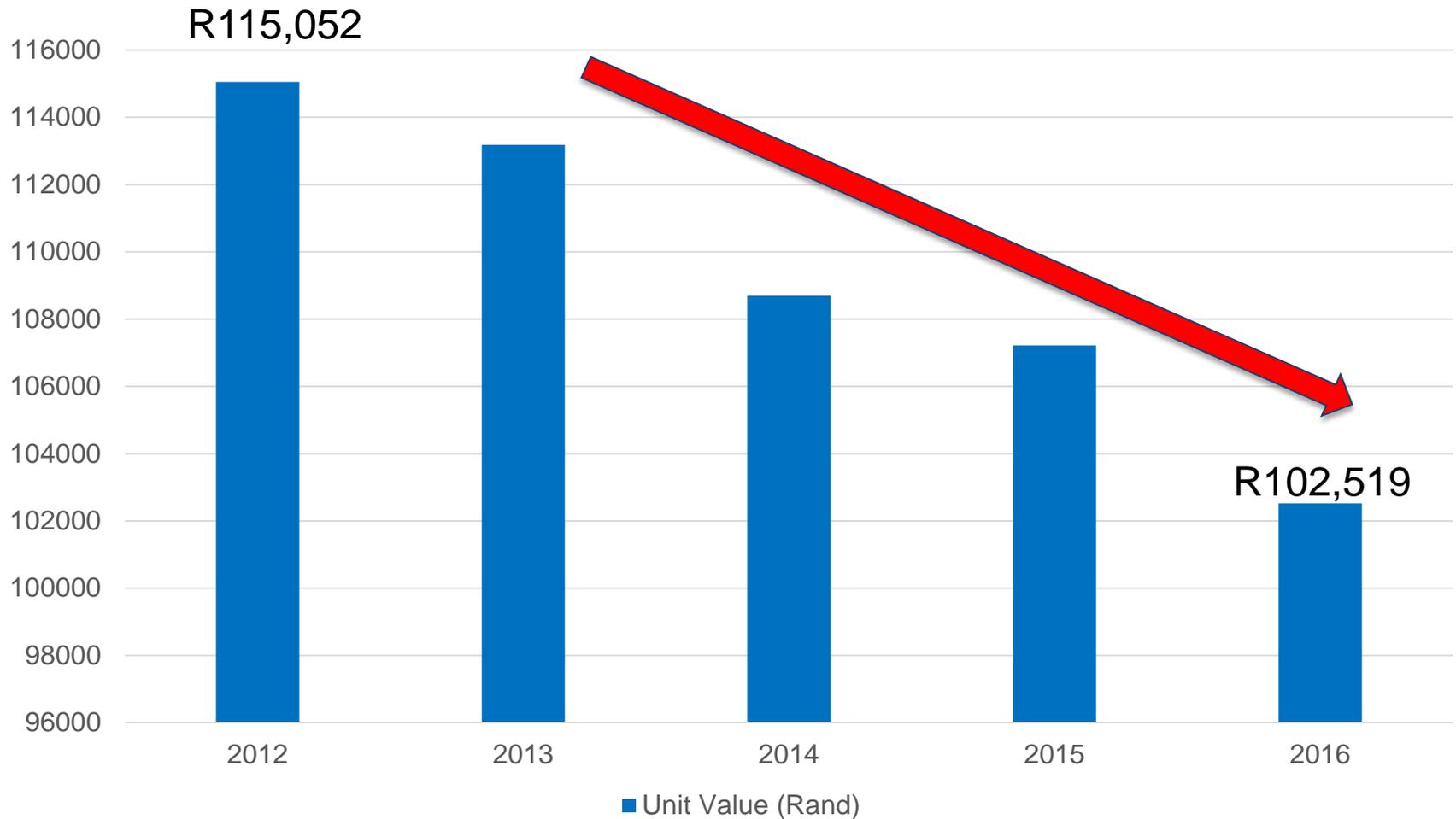
DHET BOOK pages unit allocation



- Chapter in a book = 1 unit (max)
-
- 60 pages to <90 pages = 2 units
 - 90 pages to <120 pages = 3 units
 - 120 pages to <150 pages = 4 units
 - 150 pages to <180 pages = 5 units
 - 180 pages to <210 pages = 6 units
 - 210 pages to <240 pages = 7 units
 - 240 pages to <270 pages = 8 units
 - 270 pages to <300 pages = 9 unit
 - >300 pages = **10 units (max)**

110 000 – 120 000 words

DHET Subsidy unit value (2012 -2016)



DHET Subsidy Unit Value (2018 -2020)

**2019/20 = R 121 871 (10.1% increase) – for
19 421 units ↔ increase 8.8%**

**R 1 218 710 maximum per book = 300 pages
= 110 000 – 120 000 words**

**NWU: DHET / DVC individual incentive for
one ISI article / book unit:**

R 44 000.00

Open Access Benefits for Books

Three performance benefits from publishing a book in Open Access

- Downloaded **seven** times more
- Cited **50%** more
- Mentioned online **ten** times more

Springer Nature white paper 7 November 2017: *The OA effect: How does open access affect the usage of scholarly books?*

DHET Policy Criteria

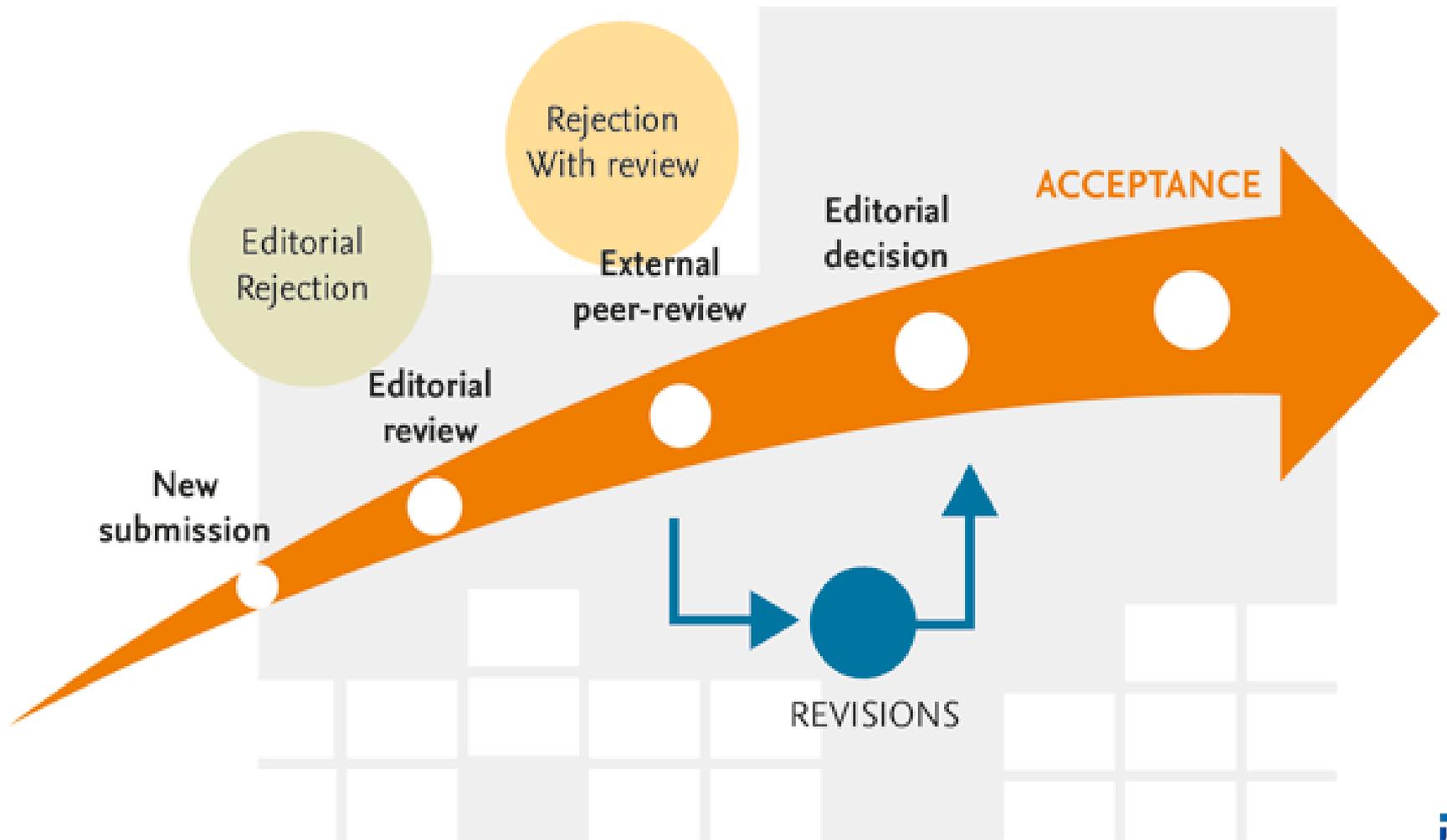
Author's Research Justification (500 words)

- contribution to discipline
- methodology
- target audience
- originality
- plagiarism

Publisher's Peer Review Declaration (blind or semi-blind)

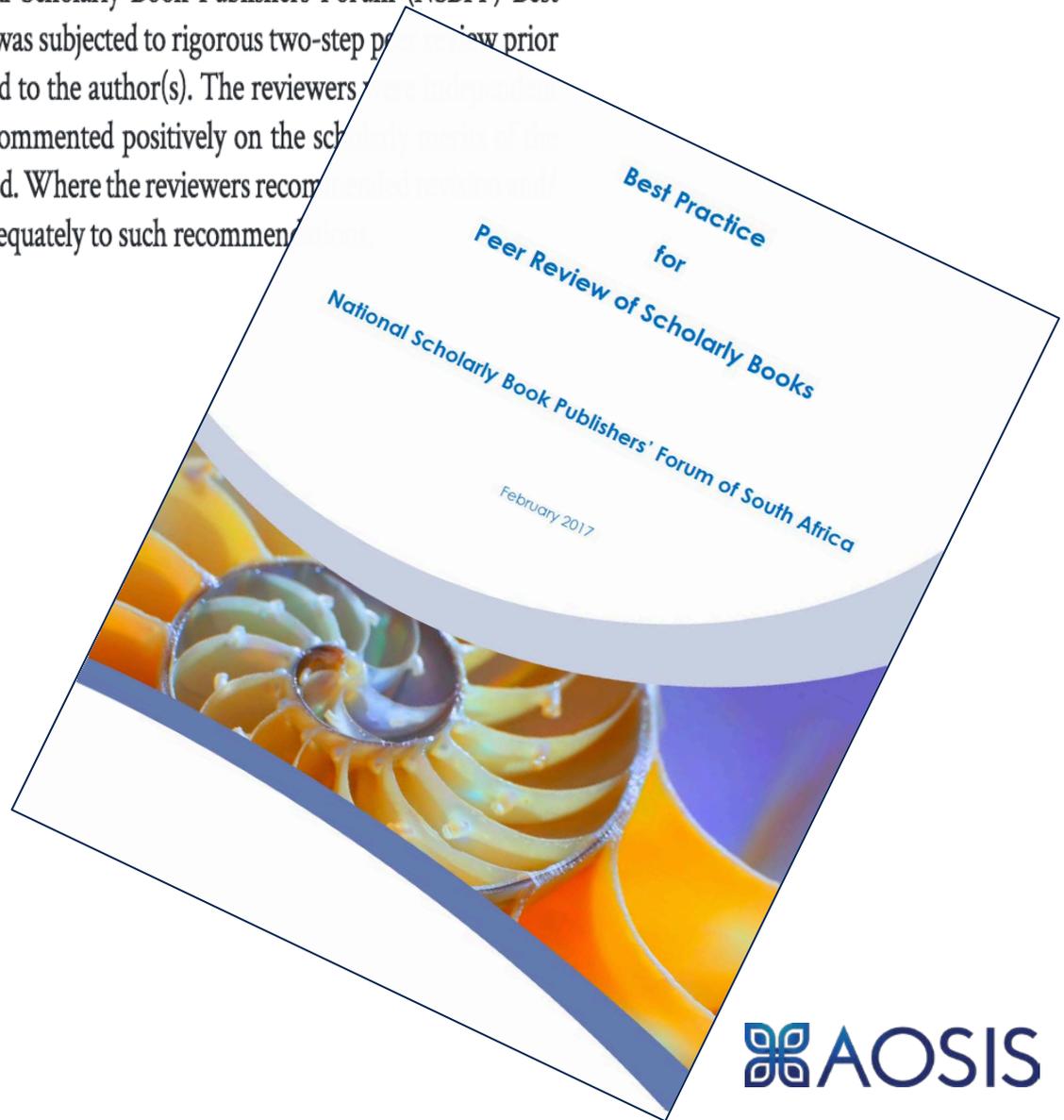
- AOSIS two (three) step of review

Peer review (two step)



Peer Review Declaration

The Publisher (AOSIS) endorses the South African 'National Scholarly Book Publishers Forum (NSBPF) Best Practice for Peer Review of Scholarly Books'. The manuscript was subjected to rigorous two-step peer review prior to publication, with the identities of the reviewers not revealed to the author(s). The reviewers were members of the publisher and/or authors in question. The reviewers commented positively on the scholarly manuscript, and recommended that the manuscript be published. Where the reviewers recommended minor improvements to the manuscript, the authors responded adequately to such recommendations.



What is Peer-reviewed Research?

1. Blind review: reviewer anonymous / author anonymous
2. Golden rule: independency
3. Two step review process – double peer-review: editorial board endorsed by external expert reviewers
4. Golden rule: originality or 50% substantial reworking of existing published research
5. Similarities analysis report and plagiarism

DHET Specialist Panel Evaluation

Prescribed documentation:

- 25%-75% capture w.r.t. articles not applied to books
- Peer Review Declaration
- Justification Report
- Not articles republished, but substantially reworked
- Sound and relevant methodology, study well-informed, findings correlate with objectives
- Target audience: not students, practitioners or public, but postgraduate researchers motivated
- Summary (-ies) in English if book (or chapters in book) is/are written in language other than English
- Appeal strictly in accordance of DHET communique to research offices/DVC Research

Appeal policy

- Commitment to quality research, ethical practices and the integrity of scholarship and research.
- Submitted in the immediate previous cycle.
- No appeals relating to technical requirements, but only content.
- No appeal for late submissions.
- Appeals must be accompanied by authorised DVC Research letter.
- Appeals must be supported by documentation and substantiation.

What does well-informed argumentation mean?

Preference for Harvard referencing orthography – why? Because of Scopus citation measurement – or consistency

Bibliography per chapter collected before index registers

Referencing in “in body text”, in foot (end) note, and in bibliography

Avoid naming of source without “date PLUS page numbers”

Sequencing of referencing: (implied) direct quote/rewording; “see” for detailed source; compare (“cf.”) source; [prior] edition plus date of referred source, e.g. Van Aarde ([1994] 2016:133); primary and secondary source; oldest to most dated source, e.g. Mentz (1968:15); Wolhuter (2018:131).

SUBMISSION AND REVIEWING

Time lines:

- **Book proposal pre-evaluation screening similarities analysis report (explanation and motivation)**
- **Book proposal internal international reviewing**
- **Author's/volume editor(s) quality management**
- **Manuscript submission similarities analysis report acknowledgements declaration**
- **Submission of final manuscript**
- **Approval of manuscript**

Similarities Analysis Report

Mar 12, 2012 8:11 AM PST

6,723 words • 230 matches • 3 sources

FAQ

Paper 1 of 1



Relation of Mass to Diameter in Neutron Stars

BY BARBARA ASAAROV

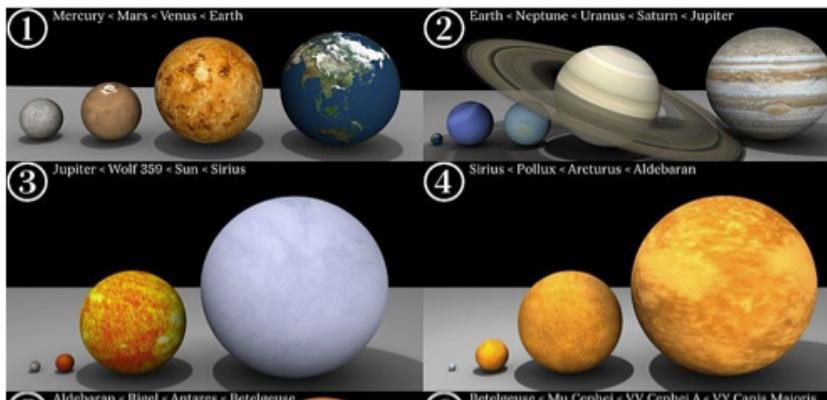
Quotes excluded
Bibliography included

37%
SIMILAR

Relation of Mass to Diameter in Neutron Stars

B. Asarov

The combination of the radius and the mass of a star determines the surface gravity. Giant stars have a much lower surface gravity than main sequence stars, while the opposite is the case for degenerate, compact stars such as white dwarfs. The surface gravity can influence the appearance of a star's spectrum, with higher gravity causing a broadening of the absorption lines.



Match Overview

- | | | |
|---|--|-----|
| 1 | Internet 465 words
crawled on 02-Sep-2011
citeulike.org | 16% |
| 2 | CrossCheck 221 words
Matthias Roth . "Review of the urban climate research in (sub)tropical regions", <i>International Journal of Climatology</i> , 11/30/2007 | 13% |
| 3 | Publications 72 words
Ken Jackeddy . "The Gears of Time", <i>Popular Mechanics</i> , 4/16/1983 | 8% |

Similarities Analysis Report

2

Retrospective analysis of hospital epi

Internet

www.pubmedcentral.nih.gov

PubMed LinkOut PubMed articles by: Kenwyn, P. Mercer, G. Scott
Published online 2008 [Open page in new window](#) h.a1837. PMID: PI
al 2008 **Retrospective analysis of hospital episode statistics, involun**
Health Act 1983, and number of psychiatric beds in England 1996-

DHET – UNIVERSITY RETURN ON INVESTMENT SHOLARLY BOOKS

DHET subsidy per unit:

2018/19 = R 110 665 – for 18 181 units ↔ increase 11.3%

2019/20 = R 121 871 (10.1% increase) – for 19 421 units ↔ increase 8.8%

R 1 218 710 maximum per book

AOSIS production costs 2020:

10 Unit book (300 body of text PDF pages/110,000 words, including references) will be R157,940.00 (excluding VAT). The additional cost for each PDF page (more than 300 PDF pages) will be R526.47 (excl VAT).

R 181 631 maximum per 300 pgs book

THANK YOU