NATIONAL ENDOWMENT FOR THE
Humanities

OFFICE OF DIGITAL HUMANITIES

February 25, 2013

MEMORANDUM

TO: Jim Leach, Chairman
Carole Watson, Deputy Chairman

FROM: Brett Bobley, Director
Office of Digital Humanities

VIA: Eva Caldera, Assistant Chairman for Partnerships

SUBJECT: Humanities Open Book Project

Humanities Open Book Project

What is it?

Humanities Open Book is an idea for a new grant program designed to make outstanding, out-of-print humanities books available to a wide audience. By taking advantage of low-cost "ebook" technology, this program will allow teachers, students, scholars, and the public to read thousands of humanities books that have been long out of reach. I'm proposing that Humanities Open Book be conducted as an NEH program in partnership with the Andrew W. Mellon Foundation, provided that NEH and Mellon can agree on the process and criteria of the grant program.

How will the books be made available?

Scholarly presses will receive a grant to "open" out-of-print humanities books from their backlist. For a typical book, the press would use the grant funds to accomplish several tasks:

a) digitize the book (if it isn't already digital – many will be);
b) ensure that all appropriate publication rights are secured and place a Creative Commons[1] license on the book to allow the public to download and read it at no charge;
c) add appropriate metadata to the book;
d) make the book available for download in the EPUB format so that it can easily be read by Kindles, IPads, Nooks, laptops, and other standard book reading devices.

[1] Creative Commons refers to a copyright license placed on a work of art that allows the copyright owner to stipulate which rights they reserve and which they waive. There are several versions of the CC license that the copyright owner can choose, but all of them allow, at minimum, others to redistribute the work for non-commercial purposes. CC is widely used by libraries (e.g. Europeana), in education (e.g. MIT's OpenCourseWare), and government (e.g. the White House website).

What is the problem we are trying to address?

Books are widely considered the most important academic "product" in the humanities. Traditionally, books have been the primary medium for expressing, communicating, and debating humanistic ideas. To that end, since its founding in 1965, one of the NEH's primary missions has been to fund research toward the publication of a book. According to a recent study conducted by the NEH's Division of Research, the NEH Fellowships program alone has led to the publication of more than 7000 books.

However, there is a flaw with this system: Namely, the vast majority of humanities books sell a small number of copies and then quickly go out of print. Sales go primarily to academic libraries (there are 125 academic libraries that belong to the Association of Research Libraries) and a small number of bookstores and then the book often drops out of sight. The vast majority of scholarship funded by the NEH since 1965 is found in books that are now out of print.

Of course, out of print doesn't mean the books are completely unavailable. Academics who are affiliated with a major university can find many out of print titles on library shelves or via interlibrary loan. However, more and more libraries are moving less-used books to offsite storage facilities, making it more difficult for even faculty to find humanities books. Outside of academia, access to humanities monographs is even more problematic. For independent scholars, high school teachers, students, educators in less-resourced nations, and interested members of the public, these books are largely unknown and go unread. Plus, as paper-only books, they cannot be searched nor easily discovered on the web (since they are still in copyright, they typically aren't available via Google Books, for example). This is a problem not unlike access to the newspapers that are part of Chronicling America. To quote David Ferriero, the Archivist of the United States at a recent DPLA meeting, "if it isn't online, it doesn't exist." Of course, he was being provocative with this statement. But he also puts his finger on an important point, which is that people do turn to online sources first – and if they can't "see" these out-of-print books online, they won't use them.

Why is Humanities Open Book important for the NEH?

The Open Book project directly addresses several of the NEH's core missions:

> Research: Helping to promote and disseminate humanities research – often in the form of books.
>
> Education: Getting humanities books into the hands of teachers and students. Because the books will be free to read, teachers can assign them to entire classes.
>
> Preservation & Access: Increasing the ability for scholars and the public to access humanities materials.
>
> Public Programs: Getting humanities materials into the hands of the general public. This would include not only scholarly books, but catalogues from museum exhibitions, most of which are also widely out-of-print.
>
> Digital Humanities: Using new technology in humanities-based projects.

Just as our Chronicling America project makes important, hard-to-locate newspapers readily available to the public, the Humanities Open Book project will do the same for scholarly books. These will be books that have stood the test of time – they were peer reviewed at the time of publication and will be peer reviewed again by the NEH before they are digitized and made available to the public (details of the evaluation criteria to be determined). So it will be a library

of remarkable texts in a wide variety of humanities subjects, all available for free, forever, to the world.

How Would the Program Work?

Applicants to the Humanities Open Book program would typically be academic or not-for-profit presses or other institutions (e.g. museums, scholarly societies) that publish scholarly books in the humanities. Presses would also be encouraged, if appropriate, to partner with other presses -- for example, if both presses have books along a similar theme (e.g. a group of books on the history of the American West), it might be more compelling for them to apply together. Or, they might team up to make a large collection of books available in an area of the humanities that is underserved in terms of digital resources. There is no way to predict what kinds of interesting proposals we may see.

In their narrative, the applicant would be asked to provide a list of the books they wish to make available to the public. For each book, they would provide:

> a) A brief abstract as well as author, number of pages, and original publication date.
> b) A brief narrative about the book's publication history – any awards it received, its reception at the time, the career of the author, how it might be relevant to today's readers, and other information about the book. They should also note any "value added" information – for example, a new preface by the author or editor to help contextualize the book.
> c) The book's current status (is it already digitized or does it need to be scanned from paper?)
> d) The cost to turn the book into an ebook, including a brief discussion and justification for how they arrived at that cost (e.g. discussion of images that need to be cleared, copyright status, etc.)

NEH peer reviewers would read each application and make recommendations on which grants to award. Peer reviewers would be given the option of recommending against particular titles, if appropriate (e.g. in some cases the NEH could give a reduced award to a press to only digitize a subset of the books they have proposed).

Once peer reviewed, grants would be made to the highly-rated applications. Under the proposed partnership with the Mellon Foundation, both organizations would receive joint credit for the awards. In order to keep administrative costs low, we would use a funding model first developed for the Digging into Data Challenge under which NEH and Mellon would make separate awards, rather than attempting to pool our money. This allows each funder to make grants using their normal rules and procedures and avoids the legal hassle of transferring funds between our organizations. It also affords us the flexibility to add additional foundations and partners in the future.

As we do with the Chronicling America program, NEH and Mellon staff would create a technical specifications document to include with the grant guidelines. This is to ensure that books are digitized and "opened" using commonly accepted international standards.

My general sense is that we would ask presses to propose books from any humanities discipline – the main criterion being excellence. That said, we could also consider suggesting one or more themes each year (e.g. "books about American literature" or "books about the history of science.") if we wanted to target a particular area.

How Would the Public Access the Books?

While the NEH would want to create a master directory of the opened books on its own website, by design, when a member of the public clicks on a book to download it, they would be taken to the publisher's website. The publisher would provide a description of the book and the proper links to download it in one or more formats. The press will also be encouraged to offer value added materials – for example, a new preface by the author or editor to help contextualize the book for today's audience. The press would also have the opportunity to offer print on demand versions of the book for those readers who need a printed edition. This potential print on demand revenue would be a benefit not only to the public (e.g. teachers, students), but also be an incentive to the publisher to participate in the Open Book program.

Because the books would have a Creative Commons license, we would also encourage other digital libraries to make copies. For example, we should consider asking the Digital Public Library of America (DPLA), Internet Archive, HathiTrust, and others to keep their own copies of the books not only to increase access, but also to add an element of long-term preservation. I'll note that in telephone conversations, both the HathiTrust and the Internet Archive have already expressed an interest in keeping copies of all the books.

Consultation with the Community

Before proposing the Humanities Open Book program, at the suggestion of Chairman Leach, I did a very wide consultation with the academic and publishing community. Here is a list of organizations/individuals with whom I consulted:

Alfred P. Sloan Foundation (Josh Greenberg, Information Technology Program)
Andrew W. Mellon Foundation (Don Waters and Helen Cullyer, Program for Scholarly Communications and Information Technology)
American Association of University Presses (Peter Givler, President)
Bloomsbury Academic (Francis Pinter, Publisher)
Duke University Press (Ken Wissoker, Editorial Director)
George Mason University, Center for History & New Media (Dan Cohen, Director)
Internet Archive (Peter Brantley, Director of the Bookserver Project)
Johns Hopkins Press (Matt McAdam, Editor, Humanities)
JSTOR (Kevin Guthrie, President & Laura Brown, Managing Director)
Kent State University Press (Will Underwood, Director)
MIT Press (Doug Sery, Senior Editor, New Media, Digital Humanities)
Modern Language Association (Rosemary Feal, Executive Director and Kathleen Fitzpatrick, Director of Scholarly Publishing)
National Council on the Humanities (Paula Duffy, former director of University of Chicago Press)
Project MUSE (Terry Ehling, Associate Director)
Purdue University Press (Charles Watkinson, Director)
Temple University Press (Alex Holzman, Director)
University of Chicago Press (Garrett Kiely, Director)
University of Michigan Press/HathiTrust (John Wilkin, Director)
University of Virginia, Scholars Lab (Bethany Nowviskie, Director)

Reaction from the Community Consultation

I first came up with the Humanities Open Book idea in July of 2012. I was thinking about the recent report issues by the NEH's Research division that found that our Fellowships program alone has helped to fund over 7000 scholarly books. That is a lot of books – and many, many millions of dollars in funds. Yet the vast majority of those books are out of print and rarely read. I

wondered how we might use technology to give these great books (as well as many other humanities books, not necessarily funded by the NEH) another life?

When I embarked on a mission to consult widely with the publishing and academic community, I was waiting for the moment when someone discovered some fundamental flaw with the idea behind the Humanities Open Book project. On the surface, it seemed like a simple calculation: We currently spend over $50,000 to fund a typical NEH Fellow to write a book. If an additional fee in the neighborhood of $1000 could ensure that book is widely and freely available to everyone in the world, forever, this seems like a wonderful investment.

To my great surprise, everyone with whom I consulted was extremely enthusiastic. No major pitfalls came up. Every consultant – which included not only presses, but also libraries, scholarly societies, foundations, and individual scholars -- suggested this was a worthy and admirable project. I received a great deal of positive feedback and many excellent suggestions on how we might make the program work smoothly. Here is some of the key feedback we received:

(b) (5)

Potential Partnership with the Mellon Foundation

In developing this project idea, I also felt it was very important to consult with the Mellon Foundation, which has been a strong supporter of digital initiatives in scholarly publications and which is, like NEH, committed to the dissemination of humanities scholarship. When I first contacted Don Waters at the Mellon Foundation, I was hoping he could give me his advice and feedback on the idea. Waters has directed his organization's scholarly communications office for many years and has made millions of dollars in grants to presses and for publishing-related projects. There are few people with more experience or knowledge in this area. After hearing about the Humanities Open Book project, Waters was immediately drawn to the idea and offered to work with NEH to craft this program so that it could be jointly sponsored by NEH and Mellon. Given that NEH and Mellon are the two major humanities funders in the U.S., such a collaborative effort could lend considerable weight to this project to open important works of humanities scholarship to readers everywhere. (b) (5)

I also feel that this program could be an excellent opportunity to seek other private funds. Just as Mellon has stepped forward to express a strong interest in participating, other funders who are interested in access to knowledge are likely to be supportive as well. (b) (5) This bodes well for other private contributions. I could imagine foundations that specialize in particular disciplines (e.g. art, art history, area studies) might be interested in participating as well.

Funding from the NEH

In my many years at the NEH, I have never before seen a proposed grant program receive so much positive feedback. I believe this is absolutely something that the NEH should fund – at least as a one-year pilot to see how it works. It has the potential to have a major impact at a very modest cost. We could potentially make thousands of outstanding books available within just a few years of running the program. In addition, I feel that once the grant encourages presses to develop work flows and procedures to begin digitizing backlists, it will drive down costs and inspire them to continue the work with other funding.

In terms of funding, one of the ideas behind a pilot is to help us calibrate the right grant size and evaluate the effectiveness and impact of the program. I would propose a one-year pilot and then undertake an assessment of the program to see if it makes sense to run it for a period of time (e.g. three – five years).

(b) (5)

(b) (5)

In terms of actually running the grant program, I'm happy to take the lead and do the bulk of the work. Ideally, I would like to do this in cooperation with a few program officers from across the Endowment. I'm pleased to say that the leadership of the Division of Public Programs has enthusiastically endorsed this program and has already volunteered to contribute two program officers to assist in running the program. Other divisions have also expressed a willingness to assist, on a time-available basis.

Possible Timetable

Assuming the Chairman's Office wishes to move forward, I might suggest a timeline like this:

February – April 2013: NEH staff drafts guidelines in consultation with staff from Mellon.
May 2013: Announce program.
June 2013: Run session about the grant program at the annual AAUP meeting in Boston.
September 2013: Applications due.
October 2013: Hold panels.
March 2014: Take to March Council.

This is an aggressive timeline, but doable.

During our discussions with Mellon we will, of course, make it clear to them that any joint grant program would be implemented pending the availability of funds in 2014, as it is difficult to predict what the funding landscape will look like next year.

Thank you.

Movie Script

Hello. I'm Brett Bobley, director of the Office of Digital Humanities here at the National Endowment for the Humanities. I'm here today to talk to you about a new pilot grant program being co-sponsored by the NEH and our colleagues at the Andrew W. Mellon Foundation. The program is called the Humanities Open Book Program. Needless to say, it is program all about….books. Books come in many different forms.

[Show hardcover, softcover, Kindle, phone]

In particular, this program is about humanities books. Humanities books are mostly written by college and university professors. In academia, they are often called "humanities monographs." If you were to walk into a university research library at a place like Harvard or Yale, you would find thousands and thousands of these books, covering practically every topic imaginable: the civil war; the history of computers; renaissance music; the life of Marie Curie; books about the works of Shakespeare; philosophy; the American Revolution; Chinese poetry; the history of science; the history of British Theater. Yes, think of a topic and there's a humanities book for that, written by an expert in the field.

But the odd thing about these books is that you normally won't find them in your local library or your local bookshop. Many of these books are really aimed solely at other academics. They might sell a few hundred copies and quickly go out of print. As a result, most members of the public don't have ready access to them and, frankly, may not know they exist.

But why keep all this incredible knowledge locked up? The Humanities Open Book Program aims to get these books into the hands of the public. We will do this by taking books like this [show hardcover] and turning them into books like this [show Kindle]. Each book will be converted to a high-quality electronic book that can be download, read, and shared absolutely free of charge.

Here's how the grant program will work:

The Humanities Open Book Program is open to academic publishers – anyone who publishes humanities books. We will ask you to send us a list of books from your backlist that you'd like to open up to the public. Books that you feel deserve a wider audience. Your proposal will be peer reviewed and if you win the grant,

we will give you money to track down and secure all appropriate rights and then digitize the books and turn them into high-quality ebooks that can be read on phones, laptops, or e-readers. Most importantly, we'll ask you to put a Creative Commons license on the ebook, making it free to download and share for everyone on earth, forever. And maybe other planets too.

Then we can begin sharing these wonderful humanities books with teachers, students, and the public, all around the world.

If you have any questions about this program or would like more information, please see our website, neh.gov. Thank you.

Why Humanities Open Book

Who we are working with at Mellon:

Scholarly Communications (Don Waters):

> Digital technologies have transformed how knowledge is embodied, organized, disseminated, and preserved. Use of these technologies has the potential to expand and equalize access to cultural and scholarly resources across sectors of society.
>
> The Scholarly Communications program assists research libraries, archives, museums, universities, presses, and arts organizations that seek to realize this potential, and thereby to further our collective understanding of societies and cultures around the world. The Scholarly Communications program promotes the common good by supporting the creation, dissemination, use, and preservation of original sources, interpretive scholarship in the humanities, and other scholarly and artistic materials. The program aims to develop the sustainable tools, organizations, and networks of scholars and other professionals needed for these purposes.

Three things that made me want to create this grant program:

1) JHU Story
2) Can technology help bring these back to life? (Long-tail of the Internet).
3) Number of copies sold (250)

Five Areas of Focus for Humanities Open Book

1) Shine a light on the huge backlog of great scholarship that has been published, but isn't available to the public, to independent scholars, to scholars at less-resourced schools around the world.
2) Make a strong case for the viability of high-quality, reflowable, searchable ebooks as the gold standard for scholarship. (Not Google books scans.)
3) Find out definitively what the actual costs are for securing rights, digitizing, and distributing out of print monographs. This is one of the key things that interested Mellon. We will be able to deliver to the field actual cost information for different types of books (philosophy, dance, etc.)
4) Using grant money to give presses a little push to encourage them to begin going through their backlists, investigating rights issues, putting a digitization workflow in place, defining best practices.
5) Testing the viability of making books "free" to the public. A recent Mellon-founded study found that it costs a university press an average of $27,000 to publish a monograph. That doesn't cover the time the scholar spent writing the book – it is mostly press staff time (copyediting, designing, indexing, etc). If a book only sells 250 copies at $25 each, they bring in $6250 – which is to say the press is losing $20,000 per title. In a nutshell, that's the so-called "crisis in scholarly publishing."

Also: a better relationship with Mellon.

We're asking the presses to do something that is still rather new: to take books that aren't making any money anymore and making them free, forever, as ebooks. What's in it for presses:

a. Presses can sell print-on-demand versions, opening up a new revenue stream.
b. Presses can market the books alongside their current titles to drive sales.
c. It disseminates scholarship – a core part of their mission. These are NOT for-profit presses.

But it may also open up further conversations. (b) (5)

These are the kinds of conversations I'd like to start with Council members, NEH staff, Mellon, and others.

FOIA 16-15 note: Four additional pages withheld under Exemption 5.

(b) (5)

NATIONAL ENDOWMENT FOR THE
Humanities

OFFICE OF **DIGITAL HUMANITIES**

HUMANITIES OPEN BOOK PROGRAM

FREQUENTLY ASKED QUESTIONS

Since some projects will be funded by NEH and some by Mellon, how will this affect indirect costs?

When filling out your budget spreadsheet, you should use your federally negotiated indirect-cost rate (if you have one) to determine your indirect costs. You will then list both your direct and indirect costs, taking care to ensure that the total amount requested does not exceed the grant maximum of $100,000. (Applicants may propose budgets exceeding $100,000 but must themselves defray any costs above $100,000 by cost sharing them.) Should you receive a grant from NEH, you will receive funds to cover both direct and indirect costs. Should you receive a grant from Mellon, in accordance with longstanding Mellon policy you will receive funds only for the direct costs.

I understand that the EPUB 3.0.1 ebook must be available for free download via one of the Creative Commons licenses. What about other formats?

Our base requirement is that the press produce an EPUB 3.0.1 ebook with a Creative Commons (CC) license, making that book free for downloading forever, in accordance with the terms of the chosen CC license. We would expect most presses also to produce other versions for the convenience of readers (for example, PDF, KF8/AZW3 for Kindle, etc.) that also have Creative Commons licenses. However, the press is entitled to charge a fee for any versions beyond the EPUB 3.0.1. Fees may also be charged for print-on-demand or other value-added editions.

What if my press receives a grant and we later learn that we are unable to secure the rights to one of the books we proposed to digitize?

If some of your proposed books can't be digitized, that is acceptable. We realize that when you submit the proposal you can't anticipate every rights issues that you might encounter. You may find that in some cases the copyright owner can't be located or simply doesn't wish the book to be digitized and made freely available. In other cases, you may discover that the costs of securing the right to a given title are simply too high. In such cases, you need not digitize the books.

May a non-U.S. institution or organization apply for a grant?

The Humanities Open Book Program does not provide support to foreign institutions or organizations. However, American institutions may apply to undertake cooperative projects involving U.S. and foreign individuals or organizations. If you are interested in submitting an application for a project involving international collaborators, please consult beforehand with the staff of the Office of Digital Humanities.

NATIONAL ENDOWMENT FOR THE Humanities

THE ANDREW W. MELLON FOUNDATION

MEMORANDUM OF UNDERSTANDING BETWEEN THE NATIONAL ENDOWMENT FOR THE HUMANITIES AND THE ANDREW W. MELLON FOUNDATION ON COOPERATION IN THE ENCOURAGEMENT OF HUMANITIES SCHOLARSHIP

This is a Memorandum of Understanding (hereafter "Memorandum") between the National Endowment for the Humanities (hereafter "NEH") and The Andrew W. Mellon Foundation (hereafter "Mellon"), collectively referred to herein as "the Participants."

I. Parties and Legal Authority

NEH is an executive-branch, independent grant-making agency of the United States dedicated to supporting research, education, preservation, and public programs in the humanities and in those social sciences that use humanistic methods. NEH accomplishes this mission by providing grants for high-quality humanities projects to cultural institutions, such as museums, archives, libraries, colleges, universities, public television and radio stations, and to individual scholars.

NEH is authorized by the National Foundation on the Arts and Humanities Act, as amended, 20 U.S.C. 956(c), to enter into arrangements that foster education in, and public understanding of, the humanities, and that support programs with substantial scholarly and cultural significance.

Mellon is a United States-based non-profit foundation that makes grants in five core program areas: Higher Education and Scholarship in the Humanities; Arts and Cultural Heritage; Diversity; Scholarly Communications; and International Higher Education and Strategic Projects.

Mellon represents that it has full power and authority to enter into this MOU and carry out the obligations contained herein.

II. Scope of Project

Recognizing their shared objective to foster the interchange of information and scholarly research in the humanities, the Participants intend to achieve this objective in the manner set forth below:

A. The Participants intend to conduct activities under this Memorandum in accordance with applicable laws and regulations and subject to the availability of funds for each Participant. Within this framework, the Participants are to make every effort to promote favorable conditions for the fulfillment of this cooperation.

B. The Participants intend to cooperate by co-funding a new grant program tentatively entitled "Humanities Open Book." This program is designed to digitize excellent humanities monographs. NEH and Mellon staff will collaborate and mutually agree on the details of this program, which will include the following features:

   i. Humanities Open Book will be a grant program offered to publishers (e.g. university presses, scholarly societies, and others who publish humanities books). In their proposals, applicants will submit a list of out-of-print humanities books to be digitized. If they receive the grant, the applicant will need to secure all appropriate publishing rights, digitize the book according to technical standards described in the grant guidelines, and make the book available for free download to the public using one of the Creative Commons licenses.

   ii. NEH and Mellon staff will mutually agree, in writing, on the details of the program to be described in the program guidelines.

   iii. NEH agrees to administer the program. This would include publishing the program guidelines, electronically receiving and processing grant applications via Grants.gov, and using the NEH's eGMS system for handling peer review.

   iv. Peer reviewers will be mutually chosen by NEH and Mellon staff. Highly-rated proposals may be funded by either NEH or Mellon. If a project is funded by the NEH, the grantee must follow the normal rules, policies, and reporting requirements typical for an NEH grant. If the project is funded by Mellon, the grantee must follow the normal rules, policies, and reporting requirements typical for a Mellon grant.

   v. The Participants will each make up to $500,000 per year available for funding ($1 million in total), assuming there are enough highly-rated proposals to merit the full expenditure. NEH's contribution is subject to the availability of federal appropriations. We anticipate both NEH and Mellon spending roughly equal amounts.

   vi. If the Participants mutually agree to use in-person peer reviewers (hence necessitating expenses for panelist travel and lodging), the Participants will equally share these costs. Should any unanticipated costs emerge, the Participants will discuss

them and decide on a mutually agreeable plan to cover those costs.

vii. The Participants will work together to jointly develop outreach plans, press releases, and other communications about this grant program.

III. Contacts

The lead NEH contact for this Memorandum is the Director, Office of Digital Humanities. This is currently Brett Bobley. The Mellon contact is the Senior Program Officer for Scholarly Communications. This is currently Donald J. Waters.

IV. **Acknowledgement of Support by Grantee.** All print, audio, video, digital or web-based materials for projects funded through this MOU shall contain an acknowledgement of the Participants' support, using language and logos mutually agreed upon by NEH and Mellon. NEH and Mellon will work collaboratively to develop appropriate acknowledgments including text, logos, and the placement thereof.

V. **Promotional materials.** As NEH and Mellon prepare media plans for promotion of activities covered by this MOU, the parties agree to exchange plans and consult about appropriate placement and prominence for mutual credit. Both parties shall submit in draft form for the other party's review and approval any media or public statements or promotional activities related to the activities described in this MOU. The parties shall refer to each other in all published materials and public statements that refer to the activities described in this MOU, using terminology and positioning that is acceptable to and approved in advance by both parties, which approval shall not be unreasonably withheld.

VI. Term, Modification, Termination

Cooperation under this Memorandum is to begin upon signature and continue for three years.

This MOU may be extended or amended upon written request of either of the parties and the subsequent written concurrence of the other.

Either Participant may, at its option, terminate this MOU with sixty (60) days written notice to the other Participant.

VII. Miscellaneous provisions.

This MOU constitutes a programmatic collaboration and not an endorsement of any of the parties or their other programs. This MOU does not restrict NEH or Mellon from participating in similar activities or arrangements with other entities.

Signed on the respective dates as noted below, in duplicate.

FOR THE NATIONAL ENDOWMENT FOR THE HUMANITIES:

Chairman

Date: 12.9.14

FOR THE ANDREW W. MELLON FOUNDATION:

Michele S. Warner
Vice President, General Counsel and Secretary

Date: 12/18/14

Bobley, Brett

From: Green, Caitlin
Sent: Wednesday, March 04, 2015 12:53 PM
To: Bobley, Brett
Cc: DeBose, Theola; Aiken, Timothy; Chapin, Courtney
Subject: Nice Humanities Open Book article!

Great job, Brett. Nice mentions of the 50th and the Common Good!!

http://lj.libraryjournal.com/2015/03/digital-resources/neh-mellon-foundations-humanities-open-book-program-to-revive-backlist-work/

NEH, Mellon Foundation's Humanities Open Book Program to Revive Backlist Work

By Lisa Peet on March 4, 2015 Leave a Comment

As part of a wider emphasis on digital publishing and the relevance of humanities scholarship, the Andrew W. Mellon Foundation and the National Endowment for the Arts (NEH) are giving new life to out-of-print humanities books. In January the two organizations announced a new joint pilot grant program, Humanities Open Book, which will help publishers identify important out-of-print works, secure rights to them, and convert them to EPUB format ebooks freely accessible under a Creative Commons (CC) license. Awards range from $50,000 to $100,000 per recipient, and will cover a period of one to three years.

Scholarly books and monographs in the humanities have a relatively short print run, and works published since 1923 are not in the public domain. While some emerging models, such as Knowledge Unlatched or the crowdfunded Unglue.it, aim to bring back out-of-print titles that are still under copyright as open access, DRM-free ebooks, the Humanities Open Book Program (HOB) calls specifically on academic presses, scholarly societies, museums, and other institutions that publish work of humanities scholarship to identify backlist items that they deem worthy of reviving.

During the past century, NEH stated, "tens of thousands of academic books have been published in the humanities, including many remarkable works on history, literature, philosophy, art, music, law, and the history and philosophy of science. But the majority of these books are currently out of print and largely out of reach for teachers, students, and the public. The Humanities Open Book pilot grant program aims to 'unlock' these books by republishing them as high-quality electronic books that anyone in the world can download and read on computers, tablets, or mobile phones at no charge."

Potential publishers are asked to provide a list of the books they wish to digitize, with brief descriptions of their content and scholarly value—according the program guidelines, they "must be of demonstrable intellectual significance and broad interest to current readers." Publishers must also give a history and overview of their organization, a description of the digitization service provider, a work plan, and a budget. The proposal deadline is June 10, with winners announced in December and projects commencing in January 2016.

Finished ebooks are to be formatted as EPUB 3.0.1 files (or a later version) in order to provide fully searchable and scalable text that will be readable on any device. Publishers may choose between six CC licenses, and are free to produce versions in additional formats such as PDF or KF8/AZW3 for Kindle, as well as charging a fee for any print-on-demand or value-added versions. Embedded metadata must be in conformance with the Book Industry Study Group (BISG) *Best Practices for Product Metadata*. Within these restrictions, says Brett Bobley, NEH chief information officer and director of the Office of Digital Humanities, finished books should be of high quality and accessible to the general public. "I want these to be eminently readable books," he told *LJ*, "so that when you look at [the book] you say, 'that's a great piece of scholarship,' and the fact that it's an ebook is immaterial. It's a great book, not just a great ebook."

JOINING FORCES

Bobley first conceived of HOB several years ago while considering NEH's 50th anniversary in 2015. "I was lamenting the fact that we have been funding, or helping to fund, all these amazing books over the last 50 years," he told *LJ*. NEH has sponsored the research and writing of thousands of scholars, "yet it seems like the vast majority of those books only sell a small number of copies and then rather quickly go out of print. I started thinking to myself, what are some ways that we could take all these terrific books and make them more widely available to people?"

Bobley began gathering input from publishers, librarians, scholars, and fellow funders, all of whom were enthusiastic. But when he spoke with Donald Waters, senior program officer of the Mellon Foundation's Scholarly Communications department, and program officer Helen Cullyer, they not only liked the concept but suggested that Mellon partner with NEH to administer the grants. NEH was eager to collaborate, said Bobley. "It doesn't happen too often that another funder wants to jump in, and likes an idea so much that they want to participate as well."

In December 2014 the Mellon Foundation board approved an initial commitment of $500,000, and a request for proposals (RFP) was issued in January. NEH and Mellon—the largest funders of humanities research in the United States—have jointly committed $1 million. They will divide the final applications, and process them according to each of their standard policies and procedures. Waters explained that "the biggest difference in the grantmaking policies of the two organizations is that NEH provides funding for overhead, while the Mellon Foundation does not. NEH and Mellon will ensure that potential grantees understand this and any other differences in grant conditions and requirements prior to final approval." Both will work together to choose outside peer reviewers.

INVESTING IN THE HUMANITIES

The Mellon Foundation has its own long history of supporting digital scholarship and innovation in the humanities. In 2001 it provided some $3.2 million in grants to help the University of Chicago Press (UCP) partner with a number of academic presses nationwide to develop BiblioVault—initially a repository to digitize and store backlist titles for print-on-demand. "The early funding had to do with getting books digitized," explained UCP director Garrett Kiely. "The first 15 or 17 thousand books were part of the funding. Then as time went on we developed a fee for those kinds of services," which allowed BiblioVault to become a self-sustainable operation, eventually evolving into an ebook storage repository and distribution center.

Another precursor, the American Council of Learned Societies (ACLS) History E-Book Project (HEB), received a five-year, $3 million grant from Mellon in 1999 to select, digitize, and license born-digital ebooks as well as backlist titles. According to Nina Gielen, HEB managing editor, the initial emphasis was on creating a replicable system for interactive titles with a strong research and development component to the grant. The project, renamed Humanities E-Book in 2007, has been self-sustaining for the past decade largely due to its

subscription model, and the fact that most of its 4,300 titles are composed of page image scans, rather than coded.

Gielen felt that the digitization work outlined in the HOB proposal might be challenging to sustain long-term, but could be offset by value-added features. "I think multiple formats might be a good way of… presses to monetizing their efforts in some other form," she suggested to *LJ*, adding that the outcome of the pilot will be interesting to follow.

On NEH's side, HOB is part of an agency-wide initiative, The Common Good: The Humanities in the Public Square, developed by new chairman William (Bro) Adams to highlight the importance and relevance of humanities scholarship to public life. The initiative's associated projects will frame the contemporary study of humanities through a series of questions on such matters as technology, security, biomedical issues, recent wars and conflicts, the country's changing demographics, and increasing political polarization.

While not required, NEH invites HOB applicants to propose books relating to these areas, and Bobley emphasizes that publishers should consider popular appeal as well as scholarly value. "There are plenty of people outside of academia who would love to read a lot of these humanities books, but I think they just have never been marketed to a general readership before. One thing the long tail of the Internet has taught us is that there are people who are interested in almost any topic you can think of. And I suspect that we will surface some books that will become really popular."

In addition to scholarly presses, Bobley wants to see libraries applying for grants. While he envisions university libraries approaching faculty members, he also imagines public libraries looking for local authors. "I can imagine libraries, for example, playing an aggregating role," he told *LJ*, "bringing together authors and digitizing their books as a group, and using [the program] to help fund that."

Bobley hopes that HOB ebooks will be well-publicized by publishers and academic institutions, and also as part of the Digital Public Library of America, HathiTrust, and the Internet Archive. "At the end of the day," said Bobley, "scholarly communications is about *communications*. It's about getting scholarly ideas out to an audience. Most humanities books are not best sellers…. Let's see if we can come up with creative ways of getting that material spread as widely as possible."

Humanities Open Book Program

The Humanities Open Book Program (HOB) is designed to make outstanding out-of-print humanities books available to a wide audience. By taking advantage of low-cost "ebook" technology, the program will allow teachers, students, scholars, and the public to read humanities books that have long been out of print. Humanities Open Book is jointly sponsored by the National Endowment for the Humanities and the Andrew W. Mellon Foundation, the two largest funders of the humanities in the United States.

Traditionally, printed books have been the primary medium for expressing, communicating, and debating humanistic ideas. However, most scholarly books printed since 1923 are not in the public domain and are not easily available to the general public. As a result, there is a huge, mostly untapped resource of remarkable scholarship going back decades that is largely unused by today's scholars, teachers, students, and members of the public, many of whom turn first to the Internet when looking for information. Modern ebook technology can make these books far more accessible than they are today.

This pilot grant program – the very first collaborative grant program funded by both NEH and Mellon – will not only bring hundreds of great books to wide audience, it will also help the field gain a better understanding of the costs and benefits of digitizing out-of-print scholarship and making it available, at no charge, to the general public.

List of Awarded Projects:

American Council of Learned Societies, *ACLS Participation in Humanities Open Book*. A pilot project to enable the ACLS to act as an intermediary for scholars who wish to digitally re-publish existing backlist titles as freely available ebooks. This pilot will leverage the existing established capacities of the ACLS Humanities E-Book program. ($15,770, funded by the Mellon Foundation).

The American Numismatic Society, *American Numismatic Society Humanities Open Book Program*. The digitization and creation of freely accessible ebooks for 89 exceedingly rare monographs on ancient coins and currency. They will also link these digital books with other ancient-world digital databases such as the Ancient World Mapping system, allowing scholars to read numismatic books linked by geography. ($47,050, funded by the Mellon Foundation).

Appalachian State University, *Appalachian Consortium Press: Digitizing the Early Years of Appalachian Studies*. A project to digitize and make openly accessible 73 classic works published by the Appalachian Consortium Press, a now-defunct press that published fundamental scholarship dedicated to the

documentation and preservation of the cultural heritage of Southern Appalachia. ($71,883, funded by the Mellon Foundation).

Cornell University, *Humanities Open Book Program - Cornell University*. The digitization and creation of freely-accessible ebooks for 20 classic humanities texts from Cornell University Press in the areas of Slavic Studies, German Studies, and literary criticism. ($83,635, funded by the NEH).

Northwestern University Press, *Enlightening the Dark Archive: Recovering Backlist Content for Scholars in the Digital Age*. A project to digitize 64 outstanding humanities titles from African studies, philosophy, and literary criticism. Each of these subjects corresponds to areas of both historical and current importance to the Press. ($73,006, funded by the Mellon Foundation).

Oregon State University, *Resurfacing At-Risk Works of the Feminist Small Press*. The digitization and creation of freely-accessible ebooks for 26 essential texts from women authors representing work originally published by the Oregon-based independent press CALYX. ($96,437, funded by the NEH).

University of Florida, *Books about Florida and the Caribbean: from the University Press of Florida to the World*. A project to digitize 30 books on the history and culture of Florida and the Caribbean and make them freely available as ebooks. The project will be done in partnership with the George A. Smathers Libraries and the Florida Humanities Council. ($77,774, funded by the Mellon Foundation).

University of North Texas, *Broadening access to books on Texas and Oklahoma*. The digitization and creation of freely-accessible ebooks for 146 books on the history of Texas and Oklahoma. The books were selected by the University of North Texas Press, the Oklahoma Historical Society, the Portal to Texas History, the Texas State Historical Association, and the UNT Libraries Scholarly Publishing Services. ($95,599, funded by the NEH).

Wayne State University Press, *Wayne State University Press and Library System Humanities Open Book Program*. A project to digitize 59 classic humanities titles in the areas of Jewish studies and Regional Detroit studies. ($87,481, funded by the Mellon Foundation).

Wesleyan University, *Reissue as Free epubs 18 Foundational Books in Dance and Theater*. The digitization and creation of freely-accessible ebooks for 18 essential texts from Wesleyan University Press on the history of dance and theater.

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The National Endowment for the Humanities is an executive-branch, independent grant-making agency of the United States dedicated to supporting research, education, preservation, and public programs in the humanities and in those social sciences that use humanistic methods. NEH accomplishes this mission by providing grants for high-quality humanities projects to cultural institutions, such as museums, archives, libraries, colleges, universities, public television and radio stations, and to individual scholars.

The Andrew W. Mellon Foundation is a United States-based non-profit foundation that makes grants in five core program areas: Higher Education and Scholarship in the Humanities; Arts and Cultural Heritage; Diversity; Scholarly Communications; and International Higher Education and Strategic Projects.

Published on *National Endowment for the Humanities* (http://www.neh.gov)

National Endowment for the Humanities and the Mellon Foundation Announce New Grants to Bring Back Essential Out-of-Print Books

3.jpg [1]

Credit:

National Endowment for the Humanities (NEH)

WASHINGTON (December 17, 2015) — The National Endowment for

the Humanities (NEH) and The Andrew W. Mellon Foundation, the largest funders of humanities research in the United States, announced more than $700,000 in new grants today that will give a second life to outstanding out-of-print books in the humanities by turning them into free e-books.

Under the new Humanities Open Book [2] program, NEH and Mellon are awarding grants totaling roughly $774,000 to publishers to identify great humanities books, secure all appropriate rights, and make them available for free, forever, under a Creative Commons license.

For centuries, printed books have been the primary written medium for expressing, communicating, and debating ideas in the humanities, which are defined as research and study on topics including history, philosophy, linguistics, and others. However, most scholarly books printed since 1923 are not in the public domain. As a result, today's scholars, teachers, students, and members of the public don't have access to a large swath of knowledge. Modern e-book technology can unlock the potential of these books. (See list of projects below).

The grants awarded were selected through a rigorous review process that measured how the digitized books would be of demonstrable intellectual significance and broad interest to current readers.

The new Humanities Open Book grant program is part of the National Endowment for the Humanities' agency-wide initiative *The Common Good: The Humanities in the Public Square* [3], which seeks to demonstrate and enhance the role and significance of the humanities and humanities scholarship in public life.

"The National Endowment for the Humanities is pleased to join with the Mellon Foundation in announcing the first round of Humanities Open Book grants," said NEH Chairman William D. Adams [4]. "These ten projects will put important out-of-print books into the hands of the

public, widening access to the ideas and information they contain, and inspiring readers, teachers, and students to use them in exciting new ways."

"Through modern technology, these titles can be far more accessible than they are today," said Earl Lewis, President of the Andrew W. Mellon Foundation. "These books represent an untapped resource for scholars, teachers, students, and members of the public, many of whom turn to the Internet as their first stop when looking for information."

In addition to making the books available, this new collaborative effort between NEH and Mellon will also better define the costs and benefits of digitizing out-of-print scholarship and making it available, at no charge, to the general public.

AWARDED PROJECTS

AWARDEE	AMOUNT	PROJECT DESCRIPTION
American Council of Learned Societies (ACLS) [5]	$16,500	Building on the ACLS Humanities E-Book program [6], a pilot project for scholars to work through ACLS to digitally republish existing backlist titles as free e-books.
The American Numismatic Society [7]	$47,500	Creating digital, free e-book versions of 89 exceedingly rare monographs on coins and currency that will also link to several Open Access online databases such as the Pleaides Gazetteer [8], which would allow

		scholars to learn about the geographic location of ancient coins.
Appalachian State University [9]	$88,000	Creating digital, free e-book versions of 73 classic works on the history and culture of Southern Appalachia published by the defunct Appalachian Consortium Press.
Cornell University [10]	$83,635	Creating digital, free e-book versions of 20 classic humanities texts from Cornell University Press [11] in the areas of Slavic Studies, German Studies, and literary criticism.
Northwestern University [12]	$73,000	Creating digital free e-books of 64 outstanding humanities titles in the historically and currently important areas for Northwestern University Press [13] of African studies, literary criticism, and philosophy.
Oregon State University [14]	$96,437	Creating digital, free e-book versions of 26 essential texts from women authors representing work originally published by the Oregon-based independent press CALYX [15].
		Creating digital, free e-book versions of 30

University of Florida at Gainesville [16]	$79,000	books on the history and culture of Florida and the Caribbean, in partnership with George A. Smathers Libraries [17] and the Florida Humanities Council [18].
University of North Texas [19]	$95,599	Creating digital, free e-book versions of 146 books on the history of Texas and Oklahoma, selected by the University of North Texas Press [20], Oklahoma Historical Society [21], Portal to Texas History [22], Texas State Historical Association [23], and UNT Libraries Scholarly Publishing Services [24].
Wayne State University [25]	$94,000	Creating digital, free e-book versions of 59 classic humanities titles on Jewish and regional Detroit studies from Wayne State University Press in partnership with the Library System.
Wesleyan University [26]	$100,000	Creating digital, free e-book versions of 18 essential texts from Wesleyan University Press [27] on the history of dance and theater.
TOTAL	**$773,761**	

The Andrew W. Mellon Foundation *Founded in 1969, the Andrew W.*

Mellon Foundation endeavors to strengthen, promote, and, where necessary, defend the contributions of the humanities and the arts to human flourishing and to the well-being of diverse and democratic societies by supporting exemplary institutions of higher education and culture as they renew and provide access to an invaluable heritage of ambitious, path-breaking work. Additional information is available at mellon.org [28]

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Common Good [30]

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