Open Access Monographic Publishing in the Humanities - OAPEN

APE Berlin, January 20, 2010

Eelco Ferwerda
Amsterdam University Press
Open Access Monographs

- The academic publishing market – snapshot
- The monograph crisis
- Why open monographs make sense
- Examples
- Business models
- OAPEN
- OAPEN’s approach OA books
- Calculating & funding OA publication fees
- Achieving a European framework for OA books
Monograph and Serial Expenditures in ARL Libraries, 1986-2005

Serial Expenditures (+302%)
Serial Unit Cost (+167%)

Monograph Unit Cost (+81%)
CPI (+78%)
Monograph Expenditures (+59%)
Serials Purchased (+42%)
Monographs Purchased (-7%)

*Includes electronic resources from 1990-2009 onward.
Traditional Monographs

Sales have been declining steadily since the 70’s

– Greco & Wharton: library purchases
  • 70’s: 1500
  • Now: 200-300

– Thompson: print runs & sales
  • 70’s: 2000-3000 (print runs)
  • Now: 50% < 500 – majority < 750 (sales)
Amsterdam University Press

Average print runs last 5 years:
» 600

Percentage of books in PoD:
» 50%
Open access publishing

Becoming mainstream for journals
  – DOAJ: 4500 OA Journals

Very recent for academic books
  – Many new experiments and projects
Why Open Monographs make sense

• Worldwide audience, increasing visibility & impact (Authors)
• Full text search, unrestricted access & connections across platforms (Researchers)
• Advance the spread of knowledge, increase ROI in research (Funding agencies)
• Answer user needs, improve services (Libraries)
• Effective knowledge dissemination (Publishers)
Open Monographs: examples

Open Humanities Press
OpenBook Publishers
ASSAf
Bloomsbury Academic
The National Academies Press
ANU
The Australian National University
AU Press
Rice University Press
The University of Michigan Press
Open Monographs: business models

• OA edition + sold edition – All
• Institutional support for press – Most
• Library-Press collaboration – Increasing
• Value added services – Few
• Publication fee – None
OAPEN
Open Access Publishing in European Networks

- Developing an OA publication model for peer reviewed academic books in Humanities and Social Sciences
- Creating a large, freely available collection of current books in European languages in various fields of HSS
- Duration: 30 months
- Start: September 1, 2008
- Consortium: 7 University Presses and 2 Universities
- Coordinator: Amsterdam University Press, the Netherlands

*Actions undertaken under the eContentplus Programme (2005-2008) to make digital content in Europe more accessible, usable and exploitable*
Objectives

• **Improve accessibility and impact** of European research in HSS through promotion of OA for primary publications (monographs and edited volumes)
• Create and aggregate freely available peer reviewed HSS publications from across borders in an **Open Access Library**
• **Engage stakeholders** in the publication process
• Develop **common funding models** for OA books
• Adopt common standards and metadata to **improve retrievability and visibility** of HSS publications
• Reuse and **share infrastructure** (OAPEN platform)
The Consortium

- Six countries (Denmark, France, Germany, Great Britain, Italy and the Netherlands)
- Seven university presses as content providers
- Two universities, as technology and research partner
- Aimed at Academic publishers in Humanities and Social Sciences
- Building a network around OA publishing for stakeholders within the academic community
The Network

- Association of American University Presses - AAUP
- Scholarly Publishing and Academic Resources Coalition - SPARC
- IMISCOE - International Migration Integration Social Cohesion
- Arbeitsgemeinschaft der Universitätsverlage
- Purdue University Press
- Atlantis Press
- Institute of Economic Analysis & Prospective Studies at Al Akhawayn university
- Igitur, Utrecht Publishing & Archiving Services
- National Hellenic Research Foundation
- Open Book Publishers
- Universitat de Valencia
- Aarhus University Press
- Pickering & Chatto Publishers
- Aksant
- Université Libre de Bruxelles
- Editions de l’Université de Bruxelles
- Verlag der Österreichischen Akademie der Wissenschaften
- Polimetrica
- Ledizioni - Ledipublishing
- Forlaeggerforeningen - Danish Publishers Association
- Open Humanities Press
- Academia Press
- Unipub - Oslo Academic Press
- Akademie Verlag
- Brill
- IOS press
- KITLV Press
- Oxford University Press
- SARC
- JISC Collections
- Athabasca UP
OAPEN: main results

- Production Centre
- OA Publication Model
- OA Library
OAPEN: OA model

- Guidelines
- Calculation Model
- Quality Assurance
- Licensing Toolkit

OA Publication Model

Production Centre

OA Library
OAPEN’s approach

- Hybrid model: Online and Print
  - Basic online edition is free (OA edition)
  - Other editions (print or PoD, e-reader?) are sold
- Publishers can charge publication fee for OA edition
- License to publish (author retains copyright)
- Long term availability online
  - Based on repository infrastructure
OAPEN’s approach

- **Who pays publication fee?**
  - Research funder
  - University or research institute
  - Library or library consortia

- **Why?**
  - To ensure publication of peer reviewed research results
  - To ensure effective dissemination and unrestricted access
  - To advance scholarly communication and promote the spread of knowledge
Funding OA Books: principles

Research and dissemination of results belong together:
• Research funding should include dissemination costs
Funders’ OA policies should be extended to include OA publishing (green and gold):
• Budgets for OA publishing should be open for articles and books

Publishers should develop OA Publishing as a service to the Scholarly community
Publishing OA Books: collaboration

**Publishers:**
- Organise peer-review
- Offer services for OA publication based on calculation of costs
- Publish and sell other editions
- Share revenues on sales with funders?

**Funders:**
Set criteria for OA publications:
- Quality standards
- Reasonable publication fee, or
- Model for calculating publication fee
Provide publication funds
Calculating the OA edition

**OA edition:**
- Organising peer review
- Editing
- Formatting
- E-platform costs
- Basic Marketing
- Overhead

**Printed (PoD) edition:**
- Design
- Printing (uploading)
- Distribution
- Marketing & sales
- Royalties
- Overhead
### Calculating the OA edition at AUP

<table>
<thead>
<tr>
<th>Example</th>
<th>paperback monograph</th>
</tr>
</thead>
<tbody>
<tr>
<td>part of series - existing format</td>
<td></td>
</tr>
<tr>
<td>no illustrations, tables, graphics</td>
<td></td>
</tr>
<tr>
<td>250 pages</td>
<td></td>
</tr>
<tr>
<td>semi automated production</td>
<td></td>
</tr>
<tr>
<td>OA edition</td>
<td>print</td>
</tr>
<tr>
<td>print runs</td>
<td>500</td>
</tr>
<tr>
<td>copies sold</td>
<td>150</td>
</tr>
<tr>
<td>print</td>
<td>pod</td>
</tr>
<tr>
<td>pages</td>
<td>250</td>
</tr>
<tr>
<td>copies</td>
<td>750</td>
</tr>
<tr>
<td>list price</td>
<td>€ 39.50</td>
</tr>
<tr>
<td>printing</td>
<td>€ 45.00</td>
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<tr>
<td>peer review</td>
<td>400</td>
</tr>
<tr>
<td>cover</td>
<td>275</td>
</tr>
<tr>
<td>printing</td>
<td>1550</td>
</tr>
<tr>
<td>marketing &amp; sales</td>
<td>746.55</td>
</tr>
<tr>
<td>printing</td>
<td>975</td>
</tr>
<tr>
<td>e-platform</td>
<td>750</td>
</tr>
<tr>
<td>distribution</td>
<td>1067</td>
</tr>
<tr>
<td>distribution &amp; uploads</td>
<td>675</td>
</tr>
<tr>
<td>basic marketing</td>
<td>300</td>
</tr>
<tr>
<td>indirect personnel co</td>
<td>1300</td>
</tr>
<tr>
<td>indirect personnel co</td>
<td>1550</td>
</tr>
<tr>
<td>indirect personnel co</td>
<td>1550</td>
</tr>
<tr>
<td>overhead</td>
<td>575</td>
</tr>
<tr>
<td>overhead</td>
<td>1058</td>
</tr>
<tr>
<td>overhead</td>
<td>790</td>
</tr>
<tr>
<td>total costs</td>
<td>5850</td>
</tr>
<tr>
<td>copies sold</td>
<td>450</td>
</tr>
<tr>
<td>list price</td>
<td>€ 39.50</td>
</tr>
<tr>
<td>list price</td>
<td>€ 45.00</td>
</tr>
<tr>
<td>turnover</td>
<td>17775</td>
</tr>
<tr>
<td>turnover</td>
<td>5750</td>
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<tr>
<td>commission</td>
<td>7110</td>
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<tr>
<td>commission</td>
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<tr>
<td>net turnover</td>
<td>10665</td>
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<tr>
<td>net turnover</td>
<td>16530</td>
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<tr>
<td>costs</td>
<td>6346</td>
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<tr>
<td>costs</td>
<td>4737</td>
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<tr>
<td>royalties</td>
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<tr>
<td>royalties</td>
<td>675</td>
</tr>
<tr>
<td>profit/loss</td>
<td>3253</td>
</tr>
<tr>
<td>profit/loss</td>
<td>1338</td>
</tr>
<tr>
<td>net profit/loss</td>
<td>-2597</td>
</tr>
<tr>
<td>net profit/loss</td>
<td>-4512</td>
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</tbody>
</table>

**40% funding**
### Funding examples

Based on example 1 (paperback print and PeD)

<table>
<thead>
<tr>
<th>OA edition</th>
<th>print</th>
<th>POD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>print runs</td>
<td>500</td>
</tr>
<tr>
<td></td>
<td>print</td>
<td>750</td>
</tr>
<tr>
<td></td>
<td>copies</td>
<td>500</td>
</tr>
<tr>
<td></td>
<td>list price</td>
<td>€ 39.50</td>
</tr>
</tbody>
</table>

1. **excluding funding**
   - profit/loss: **0.2597**
   - 1167

2. **full funding of OA edition**
   - funding: **5850**
   - profit/loss: **3253**

3. **revenue sharing**
   - net funding: **4224**
   - 2342
   - profit/loss: **1626**

4. **fixed percentage**
   - 50% of OA edition
   - funding: **2925**
   - profit/loss: **328**

5. **fixed fee**
   - € 4000
   - funding: **4000**
   - profit/loss: **1403**
# Research funders' open access policies

Use this page to find a summary of policies given by various research funders as part of their grant awards. Information about JULIET, and the breakdown of funders’ policies is given in the Key below the table. Please use our Notification Form to submit details of new policies.

<table>
<thead>
<tr>
<th>Funding Organisation (linked to their JULIET summary)</th>
<th>Publications Policy</th>
<th>Data Archiving Policy</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Académie suisse des sciences humaines et sociales (ASSH) see: Schweizerische Akademie der Geistes- und Sozialwissenschaften (SAGW)</td>
<td>🗸 — —</td>
<td>—</td>
<td>Switzerland</td>
</tr>
<tr>
<td>Agence Nationale de la Recherche (ANR)</td>
<td>🗸 — —</td>
<td>—</td>
<td>France</td>
</tr>
<tr>
<td>Alliance canadienne pour la recherche sur le cancer du sein (ACRCS) see: Canadian Breast Cancer Research Alliance (CBCRA)</td>
<td>🗸 🗸 —</td>
<td>—</td>
<td>Canada</td>
</tr>
<tr>
<td>Arthritis Research Campaign (arc)</td>
<td>🗸 🗸 —</td>
<td>—</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>Arts and Humanities Research Council (AHRC)</td>
<td>🗸 — —</td>
<td>—</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>— — — —</td>
<td>—</td>
<td>Australia</td>
</tr>
<tr>
<td>Austrian Science Fund see: Fonds zur Förderung der wissenschaftlichen Forschung (FWF)</td>
<td>— — — —</td>
<td>—</td>
<td>Austria</td>
</tr>
<tr>
<td>Autism Speaks</td>
<td>🗸 — —</td>
<td>—</td>
<td>United States</td>
</tr>
<tr>
<td>Biotechnology and Biological Sciences Research Council (BBSRC)</td>
<td>🗸 🗸 —</td>
<td>🗸 🗸</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>British Heart Foundation (BHF)</td>
<td>🗸 🗸 — —</td>
<td>—</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>Canadian Breast Cancer Research Alliance (CBCRA)</td>
<td>🗸 🗸 — —</td>
<td>—</td>
<td>Canada</td>
</tr>
<tr>
<td>Canadian Cancer Society (CCS)</td>
<td>🗸 — — 🗸</td>
<td>—</td>
<td>Canada</td>
</tr>
</tbody>
</table>
Research funders’ OA policies

• OA Archiving (Green OA):
  • 38 Research funders (15 countries)
  • 16 National research councils

• OA Publishing (Gold OA):
  • 21 Research funders
  • 8 National research councils
  • 1 includes books: Austrian Science Fund (FWF)
Support for Scientific Publications and for Science Communication

Peer-Reviewed Publications

Target group

Scientists of any discipline

Goals

Grants to cover the costs of peer-reviewed publications that result from projects supported by the FWF, up to a limit of 3 years after conclusion of the project (generally costs for Open Access, page charges, submission fees, figures etc.)

Requirements

a) formless application (see application information)

b) Open access: Timely open access to publications must be ensured. Proceedings, collections of papers and monographs are only subsidized in cases where open access is ensured; for journals, this also refers to page charges, submission fees, illustrations and the like. For more information, please refer to the FWF’s Open Access Policy

c) Peer Review I: Publications can only be subsidized if they are subjected to an international peer review procedure. For proceedings, collections and monographs, the publishing organization or publisher must
d) Peer Review II: Publications are considered peer-reviewed if they make use of an international editorial board which obtains external reviews in writing. In very specific subject areas, written reviews may be prepared by the editorial board. Such cases require that the editorial board is sufficiently large (at least 10 members) and that at least half of its members do not reside in Austria. The review process must be described in a transparent manner on the Web site of the publishing organization or publisher.

**Length**

Dependent on the form of the publication; in any case, an economical arrangement should be negotiated. As a rule, the costs of journal articles should not exceed EUR 3,000.00. For proceedings, collections and monographs, an additional amount of up to EUR 8,000.00 can be requested if an identical open-access copy of the publication is published simultaneously, up to EUR 6,000.00 if the open-access copy is made available within a maximum of one year of the print publication date.

**Applications**

accepted continuously

**Allocation**

continuous

**Processing time**

approx. 4-8 weeks

**Contact**

**Journal Publications**

Dr. Bettina Reitner
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+43-1-505 67 40 ext 8203

**Monographs, collections, proceedings**

Mag. Doris Haslinger
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+43-1-505 67 40 DW 8305
Next steps for books

OAPEN proposal for pilot in OA book publishing:

• **Goal:** Establish a European framework for OA books
  – Set up limited publication funds for books (3 years)
  – In various European countries
  – Collaboration of research funders and publishers
  – Test models, compare and evaluate results
  – Come up with recommendations for an OA framework for books
Open Access Publishing in European Networks

Publishing humanities monographs in Open Access

OAPEN is a project in Open Access publishing for humanities and social sciences monographs. The consortium of University-based academic publishers who make up OAPEN believe that the time is ripe to bring the successes of scientific Open Access publishing to the humanities and social sciences.

The OAPEN partners are all active in the Open Access movement already, with details available on their pages on this site and on their own websites.

The project will find useful, exciting and beneficial ways of publishing scholarly work in Open Access, enhancing access to important peer reviewed research from across Europe. Most importantly it will find a financial model which is appropriate to scholarly humanities monographs, a publishing platform which is beneficial to all users and create a network of publishing partners across Europe and the rest of the world.

The partners:

Amsterdam University Press

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OAPEN.org
Join our network!

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