Changing Publication Cultures in the Humanities - OAPEN

Budapest, November 27, 2009

Eelco Ferwerda
Amsterdam University Press
Open Access Monographs

Traditional Monograph Publishing
Why Open Monographs make sense
Examples
Business models
OAPEN
OAPEN’s approach OA books
Calculating OA publication fees
Funding publication fees
Achieving a European framework for books
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%
Why Open Monographs make sense

• Worldwide audience, increasing visibility & impact (Authors)
• Full text search & unrestricted access (Researchers)
• Increasing ROI in research (Funding agencies)
• Answering user needs (Libraries)
• Effective knowledge dissemination (Publishers)
Open Monographs: examples
Open Monographs: business models

- OA edition + sold edition – All
- Library-Press collaboration – Some
- Institutional support for press – Some
- Value added services – ?
- Publication fee – ?
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 Europe
- 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

OA Publication Model

Production Centre

OA Library
OAPEN: OA model

OA Publication Model

• Guidelines
• Calculation Model
• Quality Assurance
• Licensing Toolkit
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
  – Library (consortia)

• **Why?**
  – To ensure publication of peer reviewed research results
  – To ensure effective dissemination and unrestricted access
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 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>
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<tr>
<th>OA edition</th>
<th>print</th>
<th>pod</th>
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<tbody>
<tr>
<td></td>
<td>copies</td>
<td>list price</td>
</tr>
<tr>
<td>pages</td>
<td>250</td>
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<td>peer review</td>
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<td>2100</td>
<td>printing</td>
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<td>formatting</td>
<td>450</td>
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<td>distribution</td>
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<td>total costs</td>
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<table>
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<th>commision</th>
<th>net turnover</th>
<th>costs</th>
<th>royalties</th>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>1338</td>
</tr>
<tr>
<td>no funding</td>
<td>-2597</td>
<td>1167</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-4512</td>
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</table>

100% funding: profit/loss = 3253 - 6346 = 1338
No funding: profit/loss = -2597 - 6346 = -4512
## Funding examples

Based on example 1 (paperback print and PoD)

<table>
<thead>
<tr>
<th>OA edition</th>
<th>print</th>
<th>pod</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>copies</td>
<td>printing</td>
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<tr>
<td>print runs</td>
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<td>750</td>
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### 1 excluding funding

<table>
<thead>
<tr>
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<tr>
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<td>full funding of OA</td>
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<td>edition</td>
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<td>5850</td>
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<tr>
<td>2342</td>
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<td>3508</td>
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<td>percentage</td>
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<td>revenue sharing</td>
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<td>50% of profit returned</td>
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<tr>
<td>5181</td>
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<td>669</td>
<td></td>
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<tr>
<td>fixed percentage</td>
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<td></td>
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<tr>
<td>2925</td>
<td></td>
</tr>
<tr>
<td>profit/loss</td>
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<td>5167</td>
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### 2 full funding of OA edition

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<td>5850</td>
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<td>1338</td>
<td></td>
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### 3 revenue sharing

<table>
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<th>profit/loss</th>
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<tbody>
<tr>
<td>5181</td>
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<tr>
<td>669</td>
<td></td>
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</tbody>
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### 4 fixed percentage

<table>
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<tr>
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<th>profit/loss</th>
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<td>2925</td>
<td></td>
</tr>
<tr>
<td>2925</td>
<td></td>
</tr>
<tr>
<td>-1587</td>
<td></td>
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### 5 fixed fee

<table>
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<th>profit/loss</th>
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</thead>
<tbody>
<tr>
<td>4000</td>
<td></td>
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<tr>
<td>4000</td>
<td></td>
</tr>
<tr>
<td>-512</td>
<td></td>
</tr>
</tbody>
</table>
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
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>
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<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>
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<td>❌</td>
<td>United Kingdom</td>
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<tr>
<td>Canadian Breast Cancer Research Alliance (CBCRA)</td>
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<td>Canada</td>
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<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: 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

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Mag. Doris Haslinger
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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

View a PowerPoint demonstration about the OAPEN eContentplus project. View now.
Funding OA Publications

• The need for an OA funding mechanism is being recognised (*for OA Journals*)

• March 2009 report from Research Information Network / UK Universities:

  ‘Paying for Open Access Publication Charges’
  Guidelines for Higher Education and Research Institutions, Publishers and Authors
Some Key Recommendations

• **Higher Education Institutes** should:
  Establish dedicated budgets to which researchers can apply for funds to meet the costs of publication fees

• **Funders** should:
  Clarify how they will provide support for researchers in meeting their open access policies in general, and the payment of publication fees in particular