



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

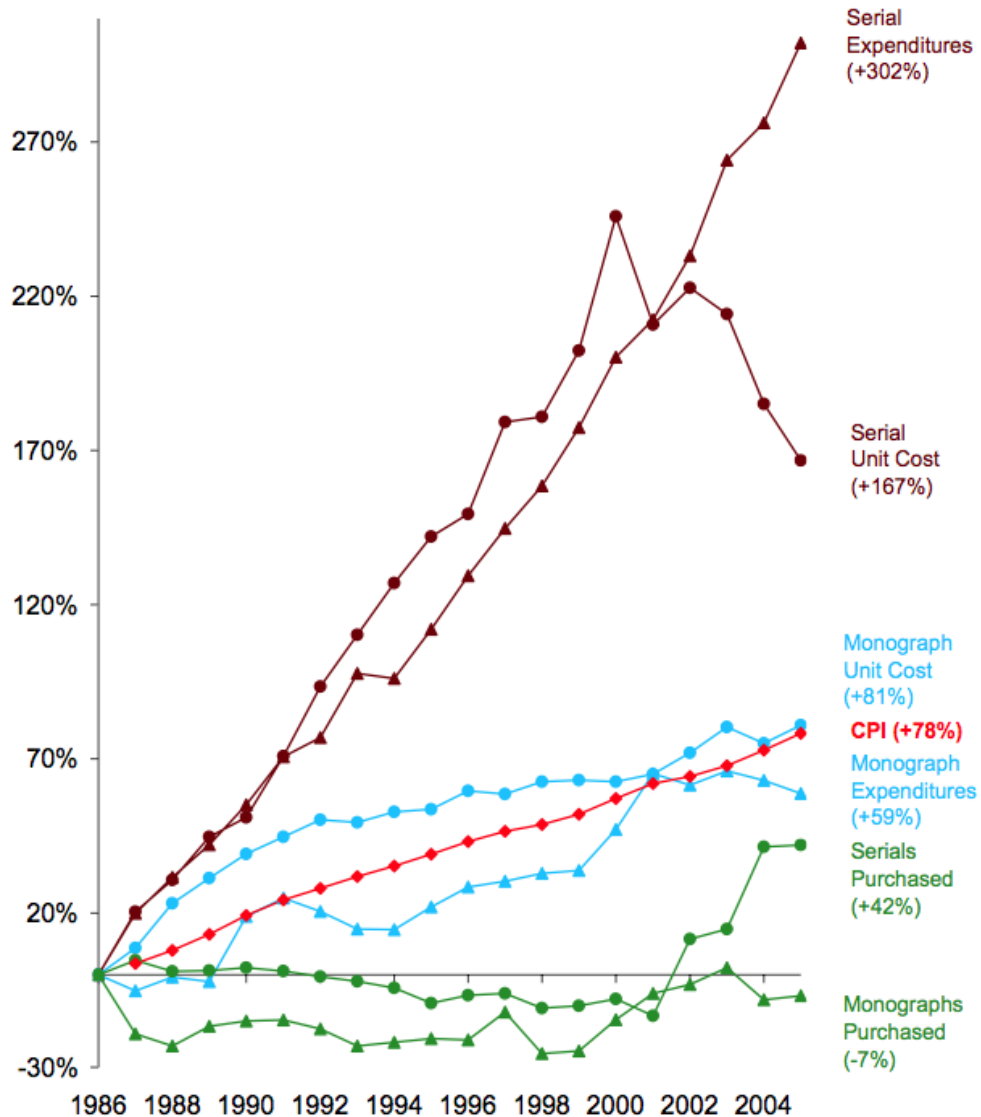
– Greco & Wharton: library purchases

- 70's: 1500
- Now: 200-300

– Thompson: print runs & sales

- 70's: 2000-3000 (print runs)
- Now: 50% < 500 – majority < 750 (sales)

Monograph and Serial Expenditures in ARL Libraries, 1986-2005*



Source: ARL Statistics 2004-05, Association of Research Libraries, Washington, D.C.

*Includes electronic resources from 1999-2000 onward.

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)

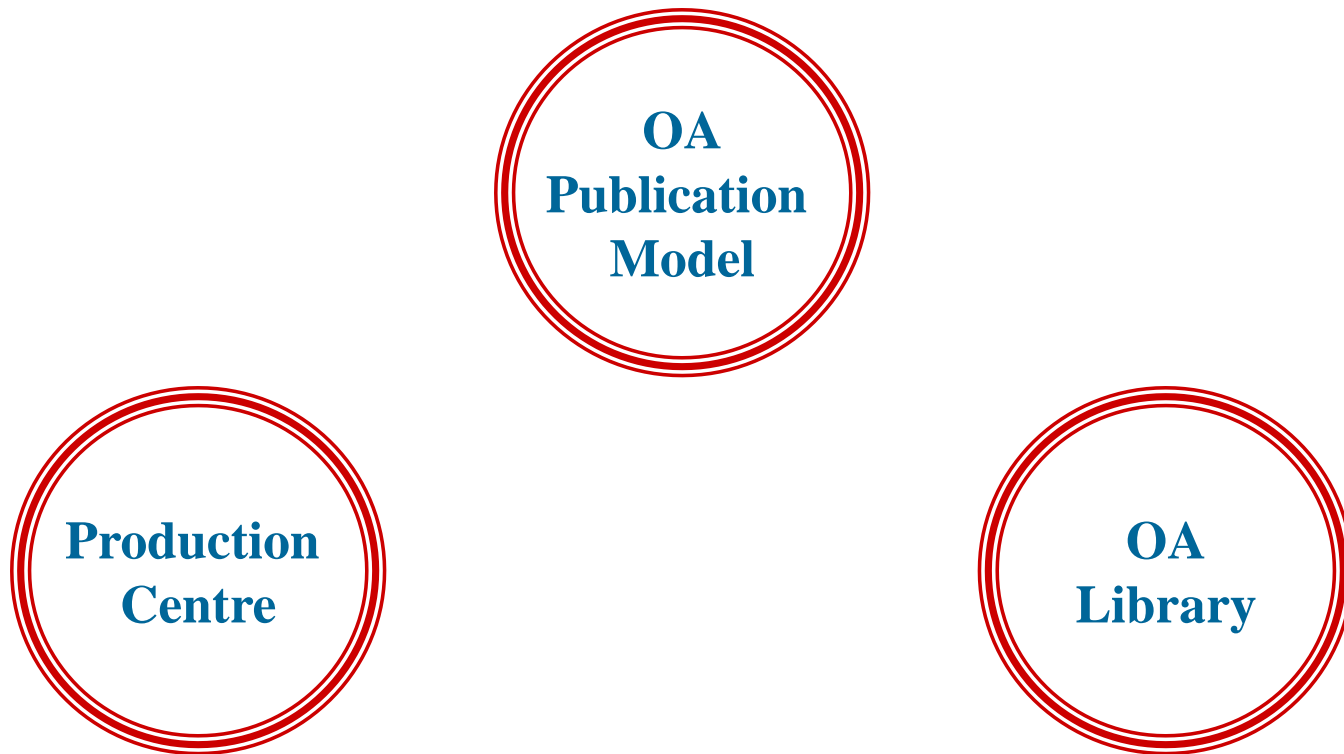
The Consortium

- 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



OAPEN: OA model

**OA
Publication
Model**

- **Guidelines**
- **Calculation Model**
- **Quality Assurance**
- **Licensing Toolkit**

**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
 - 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

Example

paperback monograph
part of series - existing format
no illustrations, tables, graphics
250 pages
semi automated production

print runs 500 750
copies sold 150

OA edition

print

pod

pages	250	copies list price	500 € 39,50	750 € 39,50	printing	6,5 per copy € 45,00
peer review	400	cover	275	275	cover	275
editing	2100	printing	1650	1950	printing	975 150 copies
formatting	450	marketing & sales	746,55	1161,3	marketing & sales	472,5
xml to pdf	300	distribution	1067	1659	distribution & uploads	675 150 copies
e-platform	25					
basic marketing	300					
indirect personnel co	1300	indirect personnel co	1550	1550	indirect personnel co	1550
overhead	975	overhead	1058	1319	overhead	790
total costs	5850		6346	7914		4737

copies sold	450	700	copies sold	150
list price	€ 39,50	€ 39,50	list price	€ 45,00
turnover	17775	27650	turnover	6750
commision	7110	11060		
net turnover	10665	16590		
costs	6346	7914	costs	4737
royalties	1067	1659	royalties	675
profit/loss	3253	7017	profit/loss	1338
profit/loss	-2597	1167	profit/loss	-4512

100% funding

no funding

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	
1																
2		Funding examples														
3																
4		Based on example 1 (paperback print and PoD)						print runs		500		copies sold		150		
5									750							
6			OA edition				print				pod					
7									250				250			
8							copies		500	750		printing	6,5	per copy		
9							list price		€ 39,50	€ 39,50			€ 45,00			
10																
11																
12			1 excluding funding					profit/loss		-2597	1167			-4512		
13																
14			2 full funding of OA edition					funding		5850	5850			5850		
15																
16							profit/loss		3253	7017			1338			
17																
18			3 revenue sharing					net funding		4224	2342			5181		
19			50% of profit returned to funder													
20							profit/loss		1626	3508			669			
21																
22			4 fixed percentage					funding		2925	2925			2925		
23			50% of OA edition													
24							profit/loss		328	4092			-1587			
25																
26			5 fixed fee					funding		4000	4000			4000		
27			€ 4.000													
28							profit/loss		1403	5167			-512			
29																
30																
31																
32																
33																
34																

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



... opening access to research

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Research funders' open access policies

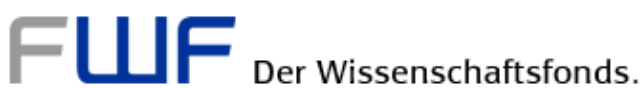
Use this page to find a summary of policies given by various research funders as part of their grant awards. Information [about JULIET](#), and the breakdown of funders' policies is given in the [Key](#) below the table. Please use our [Notification Form](#) to submit details of new policies.

Click on the relevant column heading to re-sort by Country

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

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)



- Funding Programs
- > Call Overview
- > Principles of the decision-making Procedure
- > Application
- > Evaluation Standards
- > FAQs
- > Project Database
- > Mailing List
- > Job Market
- > 'Info' Magazine

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



Shortcut

select a funding program...

Related Links

> [Board meetings](#)

Download

> [Application information \(word and pdf\)](#)

Search

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**

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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


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co-funded by the
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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