

**OAPEN-NL**

**A project exploring  
Open Access monograph  
publishing in the  
Netherlands**

*Final Report*

**Eelco Ferwerda | Ronald Snijder | Janneke Adema**

**OAPEN-NL**

**A project exploring  
Open Access monograph  
publishing in the  
Netherlands**

*Final Report*

**Eelco Ferwerda | Ronald Snijder | Janneke Adema**

# Colophon

OAPEN-NL - A project exploring Open Access monograph publishing in the Netherlands : Final Report

OAPEN Foundation  
Prins Willem-Alexanderhof 5  
PO Box 90407  
2509 LK The Hague  
The Netherlands

## Contact:

Eelco Ferwerda  
e.ferwerda@oapen.org  
+31(0)629565168

## Authors

Eelco Ferwerda (OAPEN Foundation)  
Ronald Snijder (OAPEN Foundation, Amsterdam University Press)  
Janneke Adema (Coventry University)

## About OAPEN-NL

OAPEN-NL was conducted by OAPEN Foundation, NWO and SURF  
OAPEN-NL was supported by the Ministry of OCW, through the national subsidy program PRIMA (Programma Implementatie Agenda ICT-beleid), and by NWO, the Netherlands Organisation for Scientific Research.

OAPEN-NL – Open Access publicatie van wetenschappelijke boeken in Nederland  
Agentschap-NL referentienummer: PR10006

## Design

Maedium.nl

## Print

Repro Utrecht

OAPEN Foundation is dedicated to Open Access for peer reviewed books. OAPEN Library ([www.oapen.org](http://www.oapen.org)) is a deposit service for the full text dissemination of Open Access books and provides services to publishers and libraries around quality control, deposit and discovery. In addition, OAPEN manages the Directory of Open Access Books (DOAB, [www.doabooks.org](http://www.doabooks.org)), a discovery service for OA books modelled after DOAJ.

© OAPEN Foundation  
October 2013

This report is licensed under a Creative Commons Attribution 3.0 Unported License.



# 1 Executive summary

---

## 1.1 Open Access monographs

Monographs still play an important role in scholarly communication, particularly in the Humanities and Social Sciences. The availability of publication outlets for research monographs is crucial to the careers of researchers and to research assessment opportunities for universities with departments in those disciplines. Humanities and Social Sciences have suffered from the serials crises, as library funds for the purchase of monographs came under pressure.

The Open Access model addresses the monograph crisis in two ways. By making a digital edition freely available through the Internet the access to and discoverability of the monograph are greatly improved. The Open Access model also provides the opportunity to find a new sustainable business model for monographs, based on the reduced production costs of the digital edition and building on emerging business models for Open Access journals. Open Access models for monographs differ from the models for Open Access journals, because the Open Access version of a monograph does not substitute printed books in the same way that e-journals are substituting printed journals. But although the business models may differ, there are no obstacles to achieve Open Access for books. There are clear benefits to the academic community and society at large and both publishers and funders are experimenting with a variety of models to enable Open Access to monographs.

## 1.2 The OAPEN-NL pilot

OAPEN-NL was a project to gain experience with Open Access publication of monographs in the Netherlands. Between June 2011 and November 2012, 50 Open Access monographs in various subject areas were published in Open Access by 9 participating publishers. For every Open Access title, the publishers provided a similar title that was published in the conventional way. The general model and protocols developed within the OAPEN EU funded project were used in OAPEN-NL in order to gain knowledge and experience of both the publication and funding of Open Access books in the Dutch context. Data were collected about usage, sales and costs, to study the effect of Open Access on monographs. OAPEN-NL consisted of a quantitative and a qualitative research component, measuring the effects of Open Access publishing and the perceptions and expectations of publishers and authors.

OAPEN's model is based on a hybrid approach to Open Access books, publishing both an Open Access edition and conventional editions that are offered for sale. The cost of the Open Access edition is calculated as the first copy costs of a book, based on all the costs that go into producing the digital file of the publication. Publishers charge a publication fee for the Open Access edition based on the first copy costs and recover all other costs through sales. In order to ensure the quality of publications, OAPEN-NL reviewed all peer review reports of the publications and required publishers to make available a description of their peer review process.

## 1.3 Perceptions of authors and publishers

OAPEN-NL examined user needs and perceptions about OAPEN's publishing model for Open Access monographs. On average, publishers found the calculation model for Open Access monographs to be accurate, although there was a wide range of opinions, also other models to calculate the costs may be suitable as well. The participating publishers were unanimous in their opinion that the peer review criteria were sufficient and necessary. However, peer review (criteria) alone may not be sufficient to establish the quality of a scholarly book.

With respect to the business model there was some ambivalence and insecurity about its sustainability, especially in an international framework. Some publishers suggested that there should be more research done and more experience gained with the model. There was also some scepticism about the flexibility of the model to accommodate non-standard formats, the international context and different disciplines, as well as the ability to recover the costs through print-sales.

## 1.4 The costs of monographs

OAPEN-NL examined the costs of monograph publishing in the Netherlands. Based on the budgets of 50 books – published by nine different publishers – a model was created of the costs involved. On average, the total costs for creating a monograph in the Netherlands is slightly over € 12,000; approximately half of that amount is spent on creating a first digital copy. Printing and binding paper copies are responsible for about one-third of the total costs.

OAPEN-NL developed four models for cost recovery: two models based on the common practise of dual edition or hybrid publishing, in which publishers produce an Open Access edition and a printed edition, and two models based on the principle that publishers would only publish an Open Access version. In each of these cases (hybrid and Open Access only) one model took into account the varying volume of the books, introducing a cost per page.

If publishers use a hybrid publication model, with paper copies being sold next to the Open Access edition, the adjusted model funds a sizable portion of the first copy costs. It does not cover all costs for the Open Access edition, but due to its flexibility more expensive books receive more funding, on average.

OAPEN-NL chose a different approach for books that were published as an Open Access edition only. In this case the model was based on the total costs minus printing, binding and distributing paper copies. Again, the adjusted model, which takes the volume of the book into account, best matches the real costs of the books in the project. In both models, a balance is sought between covering all costs of publishing a monograph and a reasonable publication charge for the Open Access edition.

## 1.5 The effects of Open Access on sales and scholarly impact

OAPEN-NL found no evidence of an effect of Open Access on sales. Books with Open Access editions were sold in the same amounts as the conventional books in the control group. Neither was there evidence of the effect of Open Access on citations: books with an Open Access edition did not get cited more than the books in the control group. This may be due to the relatively short period (seventeen months on average) that these books were available.

There was a clear effect on online usage. Online usage – measured through Book visits and Page views in Google Books – improved for the Open Access books. On average, discovery of Open Access books, measured as Book visits in Google Books, increased by 142%, and online usage, measured as Page views in Google books, increased by 209%. The effect of Open Access on online discovery and usage is also very clear when comparing average sales to average downloads for all Open Access books: 144 copies sold versus 2800 downloads.

## 1.6 Recommendations

The objective of these recommendations is to improve Open Access for monographs, and is aimed at all stakeholders in academic book publishing. Some of these recommendations have wider implications, but are included here because they will also benefit Open Access monographs.

### 1.6.1 Overall recommendations

- ▷ Monographs (peer reviewed academic books), particularly books that are the result of publicly funded research, should be made available in an Open Access edition.
- ▷ Funders and libraries should accept CC-BY-NC licenses, to allow publishers to sell premium editions.
- ▷ Funders and libraries with a preference for Open Access deposit (green Open Access) should allow a reasonable embargo period, to allow publishers cost recovery of publications.
- ▷ Funders and libraries with Open Access publication funds should require transparent fee structures for publication charges.
- ▷ Funders and libraries with policies for Open Access monographs should encourage or require deposit in a central, dedicated repository for monographs.
- ▷ There remains a need for awareness building and further education and dissemination of information about Open Access publishing. Continued advocacy towards authors and other stakeholders by funders, publishers and libraries as well as by authors themselves is needed to battle the misconceptions that exist about Open Access publishing.

### 1.6.2 Recommendations for funders

- ▷ Funders without separate Open Access publication funds should allow Open Access publication charges to be paid out of research grants. These charges should be payable after the close of the research funding period.
- ▷ Funders that do have Open Access publication funds should extend these funds to include Open Access monographs.
- ▷ Funders with Open Access publication funds open for monographs should require Open Access as a condition for paying publication charges.
- ▷ Funders that already provide financial support for monograph publishing should encourage Open Access availability or consider changing their policies to require an Open Access edition.

### 1.6.3 Recommendations for libraries

- ▷ Libraries that have the means to do so should consider setting up Open Access publication funds.
- ▷ Libraries that already have Open Access publication funds should extend these funds to include Open Access monographs.
- ▷ All libraries (with or without Open Access funds) should consider reserving part of their acquisitions budget in support of Open Access initiatives (Open Access publications and Open Access service infrastructures).
- ▷ Libraries should consider joining consortium based models designed to support Open Access publishing (such as KU, OpenEditions, OLH).
- ▷ Libraries supporting campus based publishing should encourage Open Access publication and consider Open Access mandates, allowing a reasonable embargo period in the case of books.

### 1.6.4 Recommendations for publishers

- ▷ Publishers should provide Open Access monograph publishing as a service to their authors and to research funders and universities.
- ▷ Publishers providing Open Access monograph publishing as a service should develop clear and transparent policies for quality assurance, licensing and Open Access fees.

- ▷ Publishers should consider joining DOAB to increase discoverability of their Open Access books and contribute to an authoritative list of Open Access book publishers.
- ▷ Publishers should consider making back list and out of print titles available Open Access.
- ▷ Publishers can consider promoting Open Access for monographs by encouraging contributions from their stakeholders and supporters to fund Open Access publications.

### 1.6.5 Recommendations for authors

- ▷ Authors should seek a reputable Open Access publisher for their manuscript (such as listed in DOAB).
- ▷ When negotiating an agreement with publishers, authors should retain their copyright, grant publishers the right to publish under CC-BY or CC-BY-NC licenses, and retain the right to self-archive the published Open Access edition in a repository after a reasonable embargo period.
- ▷ Authors should not demand a CC-BY-ND license, unless there are justifiable concerns of controversy or misuse or by third parties.

### 1.6.6 Recommendations for future research

- ▷ Research into scholarly and societal impact and altmetrics for Open Access monographs.
- ▷ Research into transparent approaches to publication charges for hybrid publishing models.
- ▷ Research into added value of premium e-book offerings.
- ▷ Research into existing quality assurance practises for monographs and future models for quality assurance for Open Access publications.
- ▷ Research into sustainable business models for Open Access monographs, to counter the ambivalence and insecurity that still exists about their sustainability, especially in an international framework.

### 1.6.7 Recommendations for OAPEN

- ▷ OAPEN should work with publishers to improve quality assurance, using a flexible approach in light of changing practices and remaining open to alternative forms of peer review such as open or peer-to-peer review.
- ▷ In light of the users need for clear but flexible peer review criteria, it is recommended that CrossMark is further introduced as a transparent system to improve quality assurance for Open Access books.
- ▷ The OAPEN calculation model needs to remain open to change. Although the OAPEN model was overall seen as accurate, other models may also be suitable.

## 2 Samenvatting

---

### 2.1 Open Access monografieën

Monografieën spelen nog steeds een belangrijke rol in wetenschappelijke communicatie, met name in de Geestes- en Sociale wetenschappen. De beschikbaarheid van publicatiemogelijkheden voor monografieën is cruciaal voor de carrières van onderzoekers en de mogelijkheid voor universiteiten om onderzoek te beoordelen. De Geestes- en Sociale wetenschappen hebben te lijden onder de *serial crisis*, waardoor bibliotheekfondsen voor de aankoop van monografieën onder druk kwamen te staan.

Het Open Access-model gaat op twee manieren de *monograph crisis* te lijf. Door het vrij beschikbaar maken van een digitale editie via het internet wordt de toegang tot en zichtbaarheid van de monografie sterk verbeterd. Het Open Access-model biedt ook de mogelijkheid om een nieuw duurzaam business model voor monografieën te vinden, op basis van de lagere productie van de digitale editie en voortbouwend op opkomende business modellen voor Open Access tijdschriften. Open Access modellen voor monografieën verschillen van de modellen voor Open Access tijdschriften; de Open Access-versie van een monografie is geen vervanging voor gedrukte boeken zoals e-journals gedrukte tijdschriften vervangen. Maar hoewel de bedrijfsmodellen kunnen verschillen, zijn er geen belemmeringen om Open Access voor boeken mogelijk te maken. Er zijn duidelijke voordelen voor de academische gemeenschap en de maatschappij in het algemeen en zowel uitgevers als financiers zijn aan het experimenteren met een verscheidenheid van modellen om Open Access monografieën uit te geven.

### 2.2 De OAPEN-NL pilot

OAPEN-NL was een project om ervaring te krijgen met Open Access publiceren van monografieën in Nederland. Tussen juni 2011 en november 2012, werden 50 Open Access monografieën in verschillende vakgebieden gepubliceerd in Open Access door 9 deelnemende uitgevers. Voor elke Open Access titel, publiceerden de uitgevers een soortgelijke titel op de conventionele manier. Het algemene model en protocollen die binnen het OAPEN EU gefinancierde project zijn ontwikkeld, werden gebruikt in OAPEN-NL om de kennis en ervaring te krijgen met zowel de publicatie als de financiering van Open Access boeken in de Nederlandse context. Er werden gegevens verzameld over het gebruik, de verkoop en de kosten, om het effect van Open Access op monografieën bestuderen. OAPEN-NL bestond uit een kwantitatieve en een kwalitatieve onderzoekscomponent, het meten van de effecten van Open Access publiceren en de percepties en verwachtingen van uitgevers en auteurs.

Het OAPEN model is gebaseerd op een hybride benadering van Open Access boeken, het publiceren van zowel een Open Access-editie en conventionele edities die te koop worden aangeboden. De kosten van de Open Access editie worden berekend op basis van de kosten voor het eerste exemplaar van een boek, op basis van alle kosten die gemaakt worden voor het produceren van het digitale bestand van de publicatie. Uitgevers rekenen een publicatievergoeding voor de Open Access editie op basis van de kosten voor het eerste exemplaar en recupereren alle overige kosten door middel van verkoop van papieren exemplaren. Om de kwaliteit van de publicaties



te waarborgen, heeft OAPEN-NL peer review beschrijvingen van de publicaties beoordeeld en de uitgevers stelden een omschrijving van het peer review proces ter beschikking.

## 2.3 Percepties van auteurs en uitgevers

OAPEN-NL onderzocht de behoeften en percepties over het uitgeefmodel voor Open Access monografieën. Gemiddeld genomen vonden de uitgevers het rekenmodel voor Open Access monografieën nauwkeurig, hoewel er een breed scala van meningen en andere modellen voor het berekenen van de kosten even geschikt kunnen zijn. De deelnemende uitgevers waren unaniem in hun oordeel dat de peer review criteria noodzakelijk en voldoende waren. Echter, peer review (criteria) alleen zijn niet voldoende om de kwaliteit van een wetenschappelijk boek vast te stellen.

Met betrekking tot het business model was er enige ambivalentie en onzekerheid over de duurzaamheid, vooral in een internationaal kader. Sommige uitgevers suggereerden dat er meer onderzoek gedaan moet worden en meer ervaring met het model zou moeten worden opgedaan. Er was ook enige scepsis over de flexibiliteit van het model met betrekking tot niet-standaard formaten, de internationale context en de verschillende disciplines, alsook de mogelijkheid om de kosten te recupereren via print-omzet.

## 2.4 Monografiekosten

OAPEN-NL onderzocht de kosten van het publiceren van monografieën in Nederland. Op basis van de begrotingen van de 50 boeken – uitgegeven door negen verschillende uitgevers – is een model gemaakt van de kosten. Gemiddeld genomen zijn de totale kosten voor het creëren van een monografie in Nederland iets meer dan € 12.000, ongeveer de helft van dat bedrag wordt besteed aan het creëren van een eerste digitale kopie. Afdrukken en binden van papieren exemplaren zijn verantwoordelijk voor ongeveer een derde van de totale kosten.

OAPEN-NL ontwikkelde vier modellen voor kostendekking: twee modellen op basis van de gangbare praktijk van de dubbele editie of hybride uitgeverij, waarin uitgevers een Open Access-editie en een gedrukte editie produceren, en twee modellen op basis van het principe dat uitgevers alleen een Open Access versie zouden publiceren. In elk van deze gevallen (alleen hybride en Open Access) is in het model rekening gehouden met de variërende omvang van de boeken, door de invoering van een kostprijs per pagina.

Als uitgevers gebruik maken van een hybride publicatie model, waarin de papieren exemplaren naast het Open Access-editie worden verkocht, dekt het aangepaste model een aanzienlijk deel van de kosten voor het eerste exemplaar. Het dekt niet alle kosten voor het Open Access-editie, maar door zijn flexibiliteit krijgen duurdere boeken gemiddeld genomen meer geld.

OAPEN-NL koos voor een andere aanpak voor de boeken die werden gepubliceerd als een Open Access editie, zonder papieren exemplaren. In dit geval is het model gebaseerd op de totale kosten minus drukken, binden en verspreiden van papieren exemplaren. Nogmaals, het aangepaste model, dat rekening houdt met de omvang van het boek, komt het beste overeen met de werkelijke kosten van de boeken in het project. In beide modellen wordt een evenwicht gezocht tussen alle kosten van het publiceren van een monografie en een redelijke publicatievergoeding voor de Open Access-editie.

## 2.5 De effecten van Open Access op verkoop en wetenschappelijke impact

OAPEN-NL vond geen bewijs voor een effect van Open Access op de verkoop. Boeken met Open Access edities werden in dezelfde hoeveelheden verkocht als de conventionele boeken in de controlegroep. Evenmin was er bewijs van het effect van Open Access op citaties: boeken met

een Open Access-editie werden niet meer dan de boeken in de controlegroep geciteerd. Dit kan ook veroorzaakt door de relatief korte periode (zeventien maanden gemiddeld) dat deze boeken beschikbaar waren.

Er was een duidelijk effect op online gebruik. Online gebruik - gemeten door middel van *Bookvisits* en *Pageviews* in Google Books – is hoger voor Open Access boeken. Gemiddeld wordt het vinden van Open Access boeken, gemeten als *Bookvisits* in Google Books, verhoogd met 142%, en online gebruik, gemeten als *Pageviews* in Google Books, verhoogd met 209%. Het effect van Open Access op het online vinden en het gebruik is ook heel duidelijk bij de vergelijking van de gemiddelde omzet met de gemiddelde downloads voor alle Open Access boeken: 144 verkochte exemplaren versus 2.800 downloads.

## 2.6 Aanbevelingen

Het doel van deze aanbevelingen is om Open Access voor monografieën te verbeteren. Ze zijn gericht op alle belanghebbenden bij het academische uitgeven van boeken. Sommige van deze aanbevelingen hebben bredere implicaties.

### 2.6.1 Algemene aanbevelingen

- ▷ Monografieën (peer reviewed wetenschappelijke boeken), met name boeken die de uitkomst zijn van door de overheid gefinancierd onderzoek, moeten beschikbaar worden gesteld in een Open Access-editie.
- ▷ Financiers en bibliotheken moeten CC-BY-NC-licenties aanvaarden, zodat uitgevers de mogelijkheid hebben om premium edities verkopen.
- ▷ Financiers en bibliotheken met een voorkeur voor “groene Open Access” moeten een redelijke embargoperiode toestaan, om de uitgevers de mogelijkheid te geven om de kosten terug te verdienen.
- ▷ Financiers en bibliotheken met Open Access publicatiefondsen hebben transparante tariefstructuren voor publicatiekosten nodig.
- ▷ Financiers en bibliotheken met een beleid voor Open Access monografieën moeten aanmoedigen of verplichten dat de monografieën worden opgeslagen in een centrale, speciale opslagplaats.
- ▷ Er blijft behoefte aan bewustmaking en het verdere verspreiding van informatie over Open Access publiceren. Een verdere bewustwordingscampagne naar auteurs en andere belanghebbenden door financiers, uitgevers en bibliotheken, alsmede door auteurs zelf is nodig om de misvattingen die over Open Access publiceren bestaan te laten verdwijnen.

### 2.6.2 Aanbevelingen voor financiers

- ▷ Financiers zonder afzonderlijke Open Access publicatiefondsen moeten toelaten dat Open Access publicatiekosten worden betaald uit subsidies voor onderzoek. Deze kosten moeten worden betaald na afloop van de financieringsperiode.
- ▷ Financiers met Open Access publicatiefondsen moeten deze fondsen uitbreiden voor Open Access monografieën.
- ▷ Financiers die Open Access publicatiefondsen hebben geopend voor monografieën dienen Open Access als voorwaarde voor de betaling van de publicatiekosten te eisen.
- ▷ Financiers die het publiceren van monografieën financieel ondersteunen dienen Open Access beschikbaarheid aan te moedigen of te overwegen om hun beleid voor een Open Access-editie aan te passen.

### 2.6.3 Aanbevelingen voor bibliotheken

- ▷ Bibliotheken, die de middelen daarvoor hebben, moeten de oprichting van Open Access publicatiefondsen overwegen.
- ▷ Bibliotheken die al Open Access publicatiefondsen hebben moeten deze fondsen uitbreiden voor Open Access monografieën.

- ▷ Alle bibliotheken (met of zonder Open Access fondsen) moeten overwegen om een deel van hun aankoopbudget te reserveren ter ondersteuning van Open Access-initiatieven (Open Access publicaties en Open Access infrastructuur).
- ▷ Bibliotheken moeten overwegen om toe te treden tot consortia die Open Access publiceren ondersteunen (zoals KU, OpenEditions, OLH).
- ▷ Bibliotheken die University Presses ondersteunen moeten Open Access publiceren stimuleren en Open Access mandaten overwegen, met daarin een redelijke embargo periode voor boeken.

#### 2.6.4 Aanbevelingen voor uitgevers

- ▷ Uitgevers moeten Open Access publiceren van monografieën aanbieden als een service aan hun auteurs, onderzoeksfinanciers en universiteiten .
- ▷ Uitgevers die Open Access publiceren van monografieën aanbieden als een dienst moeten een duidelijk en transparant beleid voor kwaliteitsborging, licenties en Open Access vergoedingen ontwikkelen.
- ▷ Uitgevers moeten overwegen om toe te treden tot DOAB om de vindbaarheid van hun Open Access boeken te verhogen en bij te dragen tot een gezaghebbende lijst van Open Access boekuitgevers.
- ▷ Uitgevers moeten overwegen om uitverkochte en *backlist* titels in Open Access te publiceren.
- ▷ Uitgevers kunnen overwegen om Open Access voor monografieën te bevorderen door het promoten van financiële bijdragen voor Open Access publicaties.

#### 2.6.5 Aanbevelingen voor auteurs

- ▷ Auteurs moeten een gerenommeerde Open Access uitgever zoeken voor hun manuscript (zoals vermeld in DOAB).
- ▷ Bij de onderhandelingen over een overeenkomst met uitgevers , moeten auteurs hun auteursrecht behouden, uitgevers het recht krijgen om te publiceren onder CC-BY of CC-BY-NC licenties, het recht om een Open Access uitgave in een repository op te slaan na een redelijke embargo periode .
- ▷ Auteurs mogen niet geen CC-BY-ND licentie eisen, tenzij er gegronde vermoedens zijn van controverse of misbruik of door derden.

#### 2.6.6 Aanbevelingen voor toekomstig onderzoek

- ▷ Doe onderzoek naar de wetenschappelijke en maatschappelijke impact en altmetrics voor Open Access monografieën.
- ▷ Doe onderzoek naar transparante benaderingen van de kosten voor hybride publicatiemodellen.
- ▷ Doe onderzoek naar de toegevoegde waarde van een premium e-book aanbod.
- ▷ Doe onderzoek naar bestaande en toekomstige modellen voor kwaliteitsborging voor Open Access publicaties.
- ▷ Doe onderzoek naar duurzame business modellen voor Open Access monografieën om de ambivalentie en onzekerheid die nog bestaat over hun duurzaamheid - vooral in een internationaal kader - tegen te gaan.

#### 2.6.7 Aanbevelingen voor OAPEN

- ▷ OAPEN moet samenwerken met uitgevers om kwaliteitszorg te verbeteren.
- ▷ Op basis van de behoefte aan duidelijke maar flexibele peer review criteria , bevelen we de verdere invoering aan van CrossMark, een transparant systeem om kwaliteitsborging voor Open Access boeken te verbeteren.
- ▷ Hoewel het OAPEN rekenmodel over het algemeen werd gezien als nauwkeurig, betekent dit niet dat de verschillende modellen niet geschikt zijn. Het OAPEN rekenmodel moet blijven openstaan voor verandering.

# 3 Table of Contents

---

<b>1</b>	<b>Executive summary</b> .....	<b>3</b>
1.1	Open Access monographs.....	3
1.2	The OAPEN-NL pilot.....	3
1.3	Perceptions of authors and publishers.....	4
1.4	The costs of monographs.....	4
1.5	The effects of Open Access on sales and scholarly impact.....	4
1.6	Recommendations.....	5
<b>2</b>	<b>Samenvatting</b> .....	<b>7</b>
2.1	Open Access monografieën.....	7
2.2	De OAPEN-NL pilot.....	7
2.3	Percepties van auteurs en uitgevers.....	8
2.4	Monografiekosten.....	8
2.5	De effecten van Open Access op verkoop en wetenschappelijke impact.....	8
2.6	Aanbevelingen.....	9
<b>3</b>	<b>Table of Contents</b> .....	<b>11</b>
<b>4</b>	<b>Introduction</b> .....	<b>13</b>
4.1	OAPEN-NL.....	13
4.2	Background.....	13
4.3	Context.....	13
4.4	This report.....	14
<b>5</b>	<b>Open Access for monographs</b> .....	<b>15</b>
5.1	Introduction to Open Access monographs.....	15
5.2	How Open Access for books differs from Open Access for articles.....	17
5.3	Open Access publication models for monographs.....	18
5.4	Business and funding models for Open Access monographs.....	20
5.5	Open Access policies.....	23
5.6	Conclusion.....	26
<b>6</b>	<b>OAPEN-NL: Research Outcomes</b> .....	<b>27</b>
6.1	Introduction.....	27
6.2	OAPEN-NL: user needs and project evaluation.....	27
6.3	The costs of monographs in the Netherlands.....	39
6.4	The effects of Open Access on sales and scholarly impact.....	53
<b>7</b>	<b>Recommendations</b> .....	<b>59</b>
7.1	Overall recommendations.....	59
7.2	Recommendations for funders.....	59

7.3	Recommendations for libraries.....	60
7.4	Recommendations for publishers.....	60
7.5	Recommendations for authors.....	60
7.6	Recommendations for future research.....	60
7.7	Recommendations for OAPEN.....	61
<b>8</b>	<b>Appendix 1: Project description OAPEN-NL.....</b>	<b>62</b>
8.1	Project description.....	62
8.2	Aim.....	63
8.3	Organisation.....	63
8.4	Funding.....	63
8.5	Application procedure.....	64
8.6	Dissemination.....	64
8.7	Work packages.....	64
8.8	More information and contact.....	65
<b>9</b>	<b>Appendix 2: Chronology of project activities.....</b>	<b>66</b>
9.1	Start of the project, October 2010.....	66
9.2	Kick-off meeting OAPEN-NL, 17 January 2011.....	66
9.3	First Round, April 2011.....	66
9.4	Workshop with publishers, 2 June 2011.....	66
9.5	Second Round, September 2011.....	66
9.6	Third round, March 2012.....	67
9.7	Workshop 4 October 2012, first results and presentation of CrossMark.....	67
9.8	Kick-off meeting 8 February 2013, Introduction CrossMark.....	67
9.9	OAPEN-NL Final seminar, 22 October 2013.....	67
<b>10</b>	<b>Appendix 3: Data Qualitative Research.....</b>	<b>68</b>
<b>11</b>	<b>Appendix 4: Book titles and number of downloads.....</b>	<b>87</b>
<b>12</b>	<b>Appendix 5: Costs per book.....</b>	<b>89</b>
<b>13</b>	<b>Appendix 6: Costs per.....</b>	<b>91</b>
<b>14</b>	<b>References.....</b>	<b>94</b>

# 4 Introduction

---

## 4.1 OAPEN-NL

OAPEN-NL was a project to gain experience with Open Access (OA) publication of monographs in the Netherlands. Between June 2011 and November 2012 50 Open Access monographs in various subject areas were published in Open Access by 8 participating publishers. For every Open Access title, the publishers provided a similar title that was published in the conventional way. Data were collected about usage, sales and costs, to study the effect of Open Access on monographs. OAPEN-NL consisted of a quantitative and a qualitative research component, measuring the effects of Open Access publishing and the perceptions and expectations of publishers and authors.

OAPEN-NL was proposed by Amsterdam University Press, at the time coordinator of the EU co-funded project OAPEN, and supported by the ministry of OCW and NWO, the Netherlands Organization of Scientific Research. After the close of the OAPEN EU-project, project management of OAPEN-NL was transferred to OAPEN Foundation.<sup>1</sup>

## 4.2 Background

Despite the increased options for enabling public access to information, the availability of academic books remains fragmented and limited and has resulted in an imbalance in the availability of academic literature between articles and books. The reduced purchase by libraries of monographs has resulted in increased prices for monographs and a significant fall in the average circulation of academic books. As a result, the dissemination and accessibility of academic information has become inadequate especially in the Humanities and Social Sciences.

By publishing digitally in Open Access, an effort is being made to improve the dissemination and accessibility of academic publications. Both in the Netherlands and internationally, there is an increased focus on Open Access to the results of academic research. The efforts made in this area have so far primarily concerned academic articles and there has been very little focus on academic books. The aim of this project was to put right the current deficiencies in terms of Open Access for academic books and by extension also for the Humanities and Social Sciences.

## 4.3 Context

OAPEN-NL made use of the results achieved in the European OAPEN project 'Open Access Publishing in European Networks' launched in September 2008. The OAPEN project aimed to develop a sustainable model for Open Access monograph publishing and a platform to support Open Access monograph publishing and improve discovery and access to monographs from participating publishers.

---

<sup>1</sup> The full project proposal is in Dutch and available at [www.oapen.nl](http://www.oapen.nl). An English outline of the project is enclosed as *Appendix 1: Project description OAPEN-NL*.

The general models and protocols developed within the OAPEN project were used in OAPEN-NL in order to gain knowledge and experience of both the publication and funding of Open Access books in the Dutch context. All Open Access books were made available in the OAPEN Library to improve access and discovery of the Open Access books.

OAPEN initiated a similar project in the UK, managed by JISC Collections and funded by JISC and The Arts and Humanities Research Council (AHRC), which is called OAPEN-UK<sup>2</sup>. Although this project was set up independently from OAPEN-NL, it is very similar. Open Access books in the OAPEN-UK project are also made available in the OAPEN Library, and results from OAPEN-UK will be comparable to OAPEN-NL. However, unlike OAPEN-NL, OAPEN-UK has involved a research company to conduct a wide survey and investigation into monograph publishing and scholarly communication in the Humanities and Social Sciences. OAPEN-UK and OAPEN-NL have shared all documentation and results.

## 4.4 This report

This final report presents the results of OAPEN-NL. Chapter 5 aims to give an overview of Open Access for Monographs, looking at the benefits of Open Access, the motives for the transition to Open Access and early examples of Open Access book publishers, the various Open Access publication models and examples of policies supporting Open Access monographs and a short description of emerging Open Access business and funding models.

The main outcomes of the project are presented in chapter 6, *OAPEN-NL: Research Outcomes*. The first section of chapter 6 provides an analysis of the qualitative aspects of the OAPEN-NL project, looking at the experiences and needs of users with respect to Open Access books and the project as a whole, as well as their expectations and requirements with respect to the OAPEN-NL publication fund and model. The following section investigates the costs of publishing a monograph in the Netherlands and discusses the implications for funders. The last section describes the effects of Open Access publishing on book sales, discovery, online consultation and citations.

The final chapter collects the recommendations for Open Access monographs, drawn from both OAPEN-NL and developments elsewhere.

In this report we use the term Open Access (OA) as defined by Peter Suber, as literature that is digital, online, free of charge, and free of most copyright and licensing restrictions (Suber, 2012).

We use the term monographs (sometimes called research monographs, or academic books, or simply books) for peer reviewed academic books. This report does not deal with other genres, such as dissertations, textbooks, reference works or trade books.

.....  
2 <http://oapen-uk.jiscebooks.org/>

# 5 Open Access for monographs

---

## 5.1 Introduction to Open Access monographs

Monographs still play an important role in scholarly communication, particularly in the Humanities and Social Sciences. The availability of publication outlets for research monographs is crucial to the careers of researchers and to research assessment opportunities for universities with departments in those disciplines. Humanities and Social Sciences have suffered from the serials crises, as library funds for the purchase of monographs came under pressure (Adema & Rutten, 2010, p. 22).

Although Humanities and Social Sciences have been slow to adopt digital and open access opportunities, a number of initiatives indicate that Open Access for monographs is gaining momentum. In the last few years a considerable number of academic publishers launched Open Access monograph initiatives, ranging from established commercial publishers such as Palgrave Macmillan, Springer and De Gruyter to new, dedicated non-profit publishers such as Open Book Publishers and Ubiquity Press in the UK and Anvil Academic and Amherst College Press in the USA. To support these new initiatives a number of infrastructural services for Open Access books emerged, such as the OAPEN Library (launched in 2010), OpenEdition Books (2012, an extension of the OpenEdition publishing platform), Open Monograph Press (2012, an open source publishing system modelled after OJS) and the Directory of Open Access Books (DOAB, officially launched in July 2013 and modelled after the DOAJ). DOAB currently contains over 1500 Open Access books from more than 50 publishers.<sup>3</sup>

### 5.1.1 Benefits

Although Open Access monographs are less well established than Open Access journals, the same benefits apply for books as for journal articles. Science Europe describes these benefits in the following way (Science Europe, 2013):

- Open Access, as defined in the Berlin Declaration, means unrestricted, online access to peer reviewed scholarly research papers for reading and productive re-use, not impeded by any financial, organisational, legal or technical barriers. Ideally, the only restriction on use is an obligation to attribute the work to the author.
- Open Access improves the pace, efficiency and efficacy of research, and heightens the authors' visibility, and thus the potential impact of their work. It removes structural and geographical barriers that hinder the free circulation of knowledge and therefore contributes to increased collaboration, ultimately strengthening scientific excellence and capacity building.
- Open Access enables reuse and computational analysis of published material, sparks innovation and facilitates interdisciplinary research, as well as scholarly exchange on a global scale.
- Full access to research results strengthens the dissemination, testing and uptake of scientific breakthroughs, not only for the benefit of the research community but also for the economy and society as a whole.

---

<sup>3</sup> <http://www.doabooks.org/>



One can argue that the benefits of Open Access to monographs have less to do with improving the pace of research or strengthening the economy, but because monographs play an important role in Humanities and Social Sciences, Open Access to monographs may have a greater societal impact and lead to a greater valorisation beyond the scholarly community. But, as Peter Suber points out in his book 'Open Access', the relevant comparison is not between the sciences and humanities, but between any kind of research published in Open Access versus the same kind of research locked behind price and permission barriers: 'Whether a given line of research serves wellness or wisdom, energy or enlightenment, protein synthesis or public safety, Open Access helps it serve those purposes faster, better, and more universally.' (Suber, 2012)

### 5.1.2 The monograph crisis

The increasing interest for Open Access monographs has less to do with the benefits of Open Access than with declining position of the conventional scholarly monograph. The business model which underpins commercial monograph publishing is clearly losing its sustainability (Adema & Rutten, 2010). Above inflation increases in the costs of research journals in Science, Technology and Medicine have eaten into the ability of libraries to purchase research monographs. Book budgets are squeezed as a result. In addition, the rising cost of monographs means that publishers increasingly sell to a university library market – individual researchers and students are unable to afford monographs priced at over £50 per copy. Over the past 30 years average sales for monographs have declined from 2.000 to 200 (worldwide) ("Association of Research Libraries (ARL) :: ARL Statistics 2009-10," 2012). This decline is potentially very damaging to the Arts, Humanities and Social Sciences, where the monograph is still a central means of disseminating research outputs.

As Louise Adler (CEO of Melbourne University Press) has indicated, the future of the monograph in Australia is precarious. Rising production costs and dwindling library budgets are threatening the traditional lifeblood of Australia's four university presses (Trounson, 2012).

For researchers, the 'publish or perish' syndrome exerts tremendous pressure on academics to go to press with their material. In countries such as the UK, the REF (Research Excellence Framework) increases the pressure on academics, since so much of a university's research funding is governed by a university's standing in the REF outcomes. All these pressures feed a cycle where monograph sales in the bookshop are falling, the researcher is under pressure to publish, but the avenues for monograph publication are dwindling.

As Colin Steele (Emeritus fellow of the Australian National University and founder of ANU E press) wrote in a much cited article: 'There is surely no point in institutions supporting the huge costs of academic research if there is no means of distributing and accessing monographic content effectively. The current scholarly publishing process is completely illogical from an access point of view. Many academics spend years researching and writing a scholarly book, but then find themselves either without a publishing outlet or with relatively few sales, and commensurate low exposure for their research' (Steele, 2008).

### 5.1.3 Open Access as a solution for the monograph crisis

The Open Access model addresses the monograph crisis in two ways. By making a digital edition freely available through the Internet the access to and discoverability of the monograph are greatly improved. The Open Access model also provides the opportunity to find a new sustainable business model for monographs, based on the reduced production costs of the digital edition and building on emerging business models for Open Access journals.

A Knowledge Exchange briefing paper 'Open Access Business Models for Research Funders and Universities' recommends treating the electronic version of the monograph as the primary edition: 'The choice facing the academic community world-wide is between allowing the research monograph to disappear, possibly being replaced by a system of chapter-by-chapter dissemination through a repository, or using new technologies to move to a new form of the research monograph, not restricted in size but designed primarily to be an electronic resource available on open access. One advantage to treating the electronic version as the primary version is that it enables the high cost of print to be taken out of the basic financial calculation, by dealing with print-on-demand as

a separate account, without the cost of unsold print copies distorting the main budget.’(Knowledge Exchange & Friend, 2011)

#### 5.1.4 Early examples of Open Access monograph publishing

The earliest book publisher to provide open access was the National Academies Press in the USA, publisher for the various arms of the National Academies. NAP has provided free online full-text editions of its books alongside priced, printed editions since 1994, and asserts that the online editions promote sales of the print editions. As of June 2006 NAP had more than 3,600 books up online for browsing, searching, and reading.

In 2003 Australian National University established ANU E Press to explore and enable new modes of scholarly publishing. ANU E press was set up as an electronic press to eliminate barriers inherent in existing models of scholarly communication and take advantage of new information and communication technologies to make available the intellectual output of the academic community of ANU.<sup>4</sup>In 2006 Rice University Press was relaunched after a ten-year hiatus, as the first digital only University Press in the United States. Rice UP aimed to recover its costs through print sales but didn’t succeed and had to close down again in 2010.<sup>5</sup> Other early examples of dedicated open access presses publishing Open Access monographs, with a focus in the Humanities, are re.press, based in Melbourne (Australia) who published their first title in 2006 and Open Humanities Press, which launched two years later.<sup>6</sup>

## 5.2 How Open Access for books differs from Open Access for articles

The transition to Open Access for monographs will work differently than the transition to Open Access that is already taking place for journal articles. Some of these differences have to do with the different genres, some are based on differences in the conventional business models for books and journals, and some have more to do with differences between the humanities and the sciences, in the way scientific communication is conducted, the way research is funded and the values and perceptions of researchers in these different disciplinary areas. We will not attempt to predict how the transition to Open Access monographs will take place, as Open Access books are still in their infancy. Indeed academic e-books and the whole publishing infrastructure around academic e-books are at a very early stage of development.<sup>7</sup>

We can expect the boundaries between e-books and articles to blur, as books move into the digital space and e-books become the primary edition, the same way this has happened with journals. As this takes place, some of the distinctions between books and articles will become irrelevant. Even so, in this section we highlight some of the characteristics of monographs to explain how they might influence Open Access models.<sup>8</sup>

- Length of monographs: monographs are also referred to as the ‘long form publication’ or ‘sustained argument’. As most people prefer reading longer texts in printed form, online display does not substitute print. We can expect an uptake of reading from screen using e-readers, but at present and for the near future print will remain in demand for monographs. This is quite different for e-journals, which do substitute print journals, because articles are much shorter and readers preferring print can easily print an article.
- Hybrid model: as e-books don’t substitute printed books, publishers will continue with print and therefore Open Access models will be hybrid. Funders prefer pure Open Access for

4 <http://epress.anu.edu.au/about>

5 [http://en.wikipedia.org/wiki/Rice\\_University\\_Press](http://en.wikipedia.org/wiki/Rice_University_Press)

6 [http://en.wikipedia.org/wiki/Open\\_access](http://en.wikipedia.org/wiki/Open_access)

7 Project Muse, JSTOR and UPSO all started offering e-books to libraries in the last few years.

8 This section makes use of a description of the difference between Open Access for books and articles as provided in (Adema & Hall, 2013)

journals, to avoid the danger of ‘double dipping’, but in the case of monographs, this issue will have to be addressed.

- Licensing: most stakeholders in Open Access journal publishing agree that CC-BY is the preferred model for Open Access dissemination. As Open Access book publishers use a dual edition or hybrid strategy, they will prefer CC-BY-NC to protect their investment in premium editions.
- Cost recovery model: book publishers estimate at least three years for cost recovery through sales of copies. Mandating Open Access deposit of books with an embargo period of 12 months, as is common within HSS, will not find support among most book publishers. As a consequence the green road to Open Access will be less feasible.
- Open Access business models: the two main business models for Open Access journals - covering the cost of Open Access journals through financial support from academic institutions, or through author side publication fees (APC’s) - do not carry over easily to books, since the costs of publishing monographs are considerably higher, and funds to cover these costs are harder to come by in the Humanities.
- Grants to support conventional monographs: contrary to the previous point is the fact that in many countries there are various schemes to support conventional book publishing. These funds can be utilized to encourage Open Access publishing.
- Royalties: book publishers pay authors royalties over copies sold. This has been an argument not to attempt Open Access for monographs. In fact in the case of research output royalties are much less important to authors than the impact and recognition of their work. On top of which in practice income from royalties is modest at best, and mostly negligible. The fact remains that the issue of book royalties leads to various misconceptions: that authors will require royalties when publishing a monograph; that therefore author side publication fees won’t work for books; that sales of monographs that are also Open Access will be much lower; that Open Access monographs don’t generate royalties at all.
- Quality assurance and quality perception: in book publishing the variety of practises to assure the quality of academic publications is much larger than in journal publishing, and there are less accepted ways to assess the quality of publications. Open Access journals can achieve the same recognition as conventional journals, provided they have the same high quality editorial boards, achieve the same impact factors and use the same peer review systems. For monographs, this is not as straightforward. In the humanities the most valued means of scholarly communication remains the printed monograph published with an esteemed international press.
- Value perception of electronic versus printed books: Online monographs have the disadvantage that they cannot substitute printed books in the same way that e-journals substitute printed journals. In the perception of HSS researchers they are therefore not the primary publication. In fact there is the perception that online publication is somehow less credible than print, and that it lacks rigorous standards of quality control. This perception is strengthened by the idea that authors should pay to have their work published, which researchers in HSS associate with vanity publishing.

### 5.3 Open Access publication models for monographs

As might be expected in a relatively new area such as Open Access book publishing, there are many different experiments taking place and there is a wide variety of approaches to Open Access books. In this section we try to give an idea of the different approaches and models that are being pursued.<sup>9</sup>

.....  
<sup>9</sup> This section is largely based on research for a presentation at APE 2013, Berlin: ‘Open Access models for Monographs gaining momentum’, part of a session on Open Books. (Ferwerda, 2013)

### 5.3.1 Types of publishers

Although most Open Access book publishers are not-for-profit University Presses, there is actually a wide variety of publishers who are pursuing Open Access models. The oldest examples are National Academies Press and RAND, both Institutional presses publishing for their own institutions. In fact, Institutional presses are by far the largest Open Access book publishers in terms of number of publications. Other prominent examples are The World Bank and OECD publishing. All these presses have published thousands of books in Open Access, covering a wide variety of publications, ranging from peer reviewed academic books to grey literature (such as reports and working papers). Among professional academic presses publishing Open Access books are established publishers such as De Gruyter and Brill and start-ups such as Amherst College Press and Anvil Academic. Some are very large book publishers, such as Palgrave Macmillan and Springer, but many are very small, employing just a few people.

However, this doesn't reflect how many Open Access books are published: Springer has published less than 20 books; Palgrave Macmillan expects it will publish around 10 Open Access books next year. In contrast a number of dedicated but quite small Open Access book publishers (such as KIT Scientific Press and Göttingen University Press) annually publish 100 Open Access books or more.

The first commercial publisher to start Open Access book publishing was Bloomsbury Academic, but the large majority of Open Access book publishers, around 80%, are not-for-profit, most of them University Presses. Among these are also a number of presses that are perhaps better described as Library presses, operating from within the university library and often part of a digital services unit (MPublishing at Michigan, eScholarship at California, Göttingen, and KIT). Another not-for-profit category that deserves mention here is the so-called scholar led press, a publishing house launched and managed by researchers, often on a voluntary basis next to their primary scholarly work. Examples are the aforementioned Open Humanities Press, Open Book Publishers and Ubiquity Press.

### 5.3.2 Open Access publishing strategies

The variety of Open Access book publishers is matched by the variety of approaches to Open Access books publishing:

- Front list publishing/dedicated Open Access: A significant number of publishers is pursuing Open Access for books as an answer to the monograph crises and an alternative to conventional book publishing, to improve reach, usage and impact of books and/or to lower the cost of publishing. In most cases, these publishers are not-for-profit and dedicated Open Access. There are many examples among the university presses, such as ANU E press, Athabasca UP and most of the German university presses. Also all the aforementioned institutional and scholar led publishers.
- Service/part of portfolio: Most of the established publishers starting Open Access book programmes do so as an extension of their existing portfolio. These publishers offer Open Access for monographs as a service to their authors and to comply with funding requirements or university mandates. Examples are Brill, SpringerOpen, Palgrave Macmillan, Manchester University Press and De Gruyter. Versita is a dedicated Open Access publisher, but as a subsidiary of De Gruyter.
- Back list/long tail: A number of publishers are trying out Open Access for their backlist titles, to find out about the effect of Open Access on sales, or as a way to increase usage of these publications. An example of this approach is Utah State University Press, which makes its titles available Open Access after the first year. In the same category are some publishers who are making a selection of their list freely available as a way to promote their press and publications. An example is Hong Kong University Press.
- Selective Open Access for projects/series: Many publishers are experimenting with Open Access on a selective basis for a certain series, because there is grant funding available (for instance eScholarship with a grant from the Mellon foundation), in order to experiment with this type of publishing (such as the OAPEN pilots), or to explore innovative approaches for Open Access books (for example the concept of 'liquid books' in the series 'Living Books about Life' at Open Humanities Press, supported by JISC Collections).

### 5.3.3 Approaches to Open Access dissemination

The same variety can be seen in the ways that Open Access publications are made available.

- Licenses: The majority of freely available books are not truly Open Access as they are free to read but with all rights reserved ('gratis Open Access'). In most cases these books are made freely available some time after publication, and the license isn't changed when this happens. Of the books that are made available under Open Access licenses, the large majority uses a restrictive form of Creative Commons, either the most restrictive license (CC-BY-NC-ND) or -NC (non-commercial) or -ND (no derivatives)<sup>10</sup>. Most publishers of front list Open Access books prefer CC-BY-NC, because they want to protect the exploitation of other editions next to the Open Access edition (*UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012). Many publishers give authors the option to choose their preferred license and a considerable portion of authors prefer -ND. Only very recently, in the past year, did Open Access book publishers decide to offer CC-BY ('libre Open Access'), the first being Palgrave Macmillan.
- Online versus downloads: Some publishers prefer to make their publications available online as HTML; others make their books available to download as PDF. A few publishers do both. The choices publishers make are connected to their preferred business model and in some cases with features connected to the publications. The oldest Open Access example is National Academies Press, providing free access to publications online, and offering the PDF and printed copies for sale. Recent examples of this model are Open Book Publishers and OpenEdition, a publishing platform working with many different Open Access publishers. OpenEdition will also offer e-book formats of the publications for sale, but the online edition can be accessed freely and embedded on other websites.
- Hybrid models: All Open Access publishers have some sort of hybrid model for their books, providing free access to an Open Access edition and offering other editions for sale. Most will sell a printed edition next to the Open Access edition. In some cases the printed edition is a Print-on-Demand (PoD) service. Some publishers also offer an e-book version for sale. OpenEdition sells e-books directly and through vendors, but does not offer free access to the PDF. However other publishers (such as Athabasca UP and Amsterdam UP) make the PDF available as Open Access edition and sell an almost identical edition through vendors. Publishers with their own e-publication platform such as De Gruyter and Springer will sell print editions, but provide free access to the e-book through their platform.

## 5.4 Business and funding models for Open Access monographs

In this section an attempt is made to present the main business and funding models that are emerging for Open Access monographs.<sup>11</sup> We call these models 'business and funding models' because many Open Access presses are able to publish Open Access books through financial support, rather than by charging Open Access publication fees. This is comparable to Open Access journals, where only around 30% of Open Access journals charge APCs (Article Processing Charges) and most other journals receive some sort of support to maintain their activities. As academic publishing, both conventional and Open Access, is for a large part directly or indirectly funded through public money, the distinction between business and funding models is rather artificial. Colin Steele addressed this issue in his description of ANU E press: 'It has been argued by some STM publishers that this use of university infrastructures constitutes a hidden subsidy to university presses. This overlooks however, the much larger subsidies the other way, to the same multinational

.....  
<sup>10</sup> See <http://creativecommons.org/licenses/> for a full explanation of licenses.

<sup>11</sup> Most of the information for this section is based on research for a presentation at APE 2013, Berlin: 'Open Access models for Monographs gaining momentum', part of a session on Open Books. Additional information comes from 'The Open Access Monographs in the Humanities and Social Sciences conference' held at the British Library, July 1&2 2013. (Ferwerda, 2013)

publishers from university infrastructures - in addition to their receipt of university scholars' original research "free of charge", and the fact that traditional print subsidies fail to alleviate the access and distribution problems.<sup>12</sup>

In this section, five categories of business models are identified, but as most publishers make use of a variety of models; these categories are also a bit artificial. The categories are: Dual edition publishing; Institutional support; Author side publication charges; Library side models; Crowdfunding.

#### 5.4.1 Dual edition publishing

Dual edition publishing refers to business models that aim to recover all or part of the publication costs through sales, even though there is an Open Access edition free of charge. This model can also be called hybrid publishing and is used by all Open Access book publishers. Open Access book publishers expect to recover at least part of their costs through sales, because the free e-book, whether it is an online version or a PDF, does not answer the needs of all users. Publishers therefore expect to reach more potential buyers through the free edition, perhaps compensating for interested users that are satisfied with the free version and might have bought the book without a free version.

A select few Open Access publishers use this model as their primary strategy to recover their costs. It was first developed by National Academies Press. There is evidence that the model works in certain areas, such as applied science in the case of NAP. Bloomsbury Academic was launched with this model in mind and OECD publishing is also a good example. OECD makes all their publications freely available online in HTML, but customers can buy other editions, and also subscribe to all content. OECD calls this a Freemium model, providing free versions of publications and selling premium editions and services. OECD is able to recover almost all of its costs through this model.

All other Open Access book publishers also have a hybrid or dual edition strategy, but use this model next to other sources of income.

#### 5.4.2 Institutional support

The majority of Open Access book publishers receive support in some form to sustain their activities. There are many different ways in which publishers receive support:

- Grants from foundations or societies: In many countries there are special programmes to support book publishing. This is for instance often the case in small language areas (Sweden), also in remote areas or in countries where it is common to translate English books into the local language or vice versa (many Spanish speaking countries). In cases where there is already support for conventional book publishing, it is a small step to start making these books freely available as well. However there are also numerous grants especially for Open Access publishing.
- Subsidies from the parent institute: This is the common model for many university presses (although not in the UK). In some cases the university or its library will decide that it is in their interest to promote Open Access publishing in order to increase discovery and impact of research output from their institution. An interesting example of this model is Athabasca University Press, where a policy was introduced to ensure effective dissemination of scholarly output, called the '1% solution'. As Frits Pannenkoek, president of Athabasca University, wrote: "1% of university budgets should be allocated towards scholarly communication. Integral to scholarly research is its communication and dissemination, but this financial responsibility has been left to others outside the institution, to that of commercial publishers or cost-recovery scholarly presses. University press budgets are small, especially compared to those of academic divisions or of the university library; therefore it is not unreasonable to expect the cost of dissemination of this institutional research be supported by the institution. University presses directly contribute to the university's teaching and research missions in a way that results in the widest possible dissemination of scholarship. This communication

.....  
12 Message to the SPARC Open Access Forum list, 30 January 2008, Colin Steele

of the scholarship generated by universities should be seen as part of the core activity and mandate of a university.”<sup>13</sup>

- Support for e-publishing activities by making available the libraries infrastructure: This is also a common model among university presses. ANU E press was one of the early examples of this model for Open Access publishing: the press is seen as part of the universities scholarly communication infrastructure and therefore also has access to its ICT infrastructure (see the quote of Colin Steel in the introduction to this section, with a similar argument as Pannenkoek of Athabasca). MPublishing is another good example, and not only supports campus based publishing but also Open Humanities Press, an independent, scholar led publishing house dedicated to Open Access, by providing the publishing infrastructure for OHP publications.
- Embedded publishing departments: Many university presses actually developed from scholarly communication offices within the library and are run as a library department. Publishing activities are supported in an indirect way, as personnel, office and overhead costs are covered by the library budget. Earlier the term Library presses was introduced for these types of presses. Examples are Igitur at Utrecht University and, as mentioned earlier, MPublishing, eScholarship at the University of California, and many German presses.

### 5.4.3 Author side publication charges

This model is derived from the APC (Article Processing Charges) model for Open Access journals and has emerged in the last few years, one might say in anticipation of a gold Open Access model for monographs.

In this model the publisher charges a publication fee or book processing charge to make a book available in Open Access. The fee is paid by the funder of the original research, which can be a funding agency or the authors' university.

As we have seen earlier, some Open Access publication funds are being extended to include Open Access monographs. But author side charges are in fact not a new phenomenon. In many countries it is not uncommon to require some sort of additional funding to publish a monograph.

Examples of Open Access book publishers using this model (and an indication of the Open Access charges): SpringerOpen (15,000 euro), Palgrave Macmillan (11,000 pounds), Manchester University Press (5,900 – 7,700 pounds, depending on length), Brill (5,000 euro for 350 pages, and 11 euro/page above 350), Open Book Publishers (under 4,000 pounds, although OBP doesn't charge authors if there is no funding to support the Open Access publication), Ubiquity Press (150 pounds/ chapter)<sup>14</sup>.

As with APCs the level of publication charges varies and there isn't a common approach to how these charges are calculated. Publishers adopting this model will also recover part of their costs through sales of other editions. As with hybrid journals, one can expect funders to be reluctant to pay Open Access publication charges in this hybrid model, unless there is a transparent approach to the fee structure. There are a few examples of publishers addressing this issue of 'double dipping' with Open Access monographs. De Gruyter calculates expected sales and will reimburse funders if sales expectations are exceeded. Amsterdam University Press introduced a model with a research institute in which 50% of profits are returned into a fund for future publications.

### 5.4.4 Library side models

Some recent models are developed with the current acquisition system in mind, looking at existing library budgets to achieve Open Access for publications. This is particularly relevant for the Humanities and Social Sciences, where researchers have less access to central research funding.

- Consortium based acquisition: Knowledge Unlatched aims to create a financially sustainable route to Open Access for monographs through a globally coordinated model. The model is based on the idea that libraries can use their existing acquisitions budgets to 'unlatch' monographs by making them available in Open Access. In order to do this libraries form a

13 Quote obtained from Athabasca University Press

14 Data obtained from (Ferwerda, 2013)

global consortium to co-ordinate the selection and acquisition process. On the supply side, KU organizes title lists that publishers are willing to publish in Open Access.

- Open Access licensing for libraries: OpenEdition developed a 'Freemium' model for libraries. Although the content is available Open Access through its platform, OpenEdition charges libraries a fee for premium content and services. Libraries can thereby get access to the PDF or e-books for students. The income generated through this model is shared with the participating publishers and helps sustain the OpenEdition platform.
- Library subsidy: Open Library for Humanities is proposing a model which it calls Library Partnership Subsidy, in which libraries pay a relatively small annual subscription fee to secure Open Access to works. The model is being developed for its new journal initiative aimed at the Humanities and Social Sciences, but it will be extended to monographs in the form of a pilot.

### 5.4.5 Crowdfunding

Although there are other models being tried for Open Access publishing, the last model we will briefly describe is Crowdfunding. In this model the publisher sets a target price for Crowdfunding, at which point the title is released in Open Access. The model is mostly being used to release back list titles, although Open Book Publishers used this model to publish two front list monographs in collaboration with Gluejar Inc. Gluejar has launched a website Unglue.it, where visitors have the opportunity to contribute payments towards 'ungluing' a book. De Gruyter is also trying out the model with one hundred selected back list titles.

## 5.5 Open Access policies

Research funding agencies and universities supporting Open Access have a range of policy options, regarding mandates, green and gold Open Access, funding publication charges (in gold), gratis and libre Open Access. There is a wide range of Open Access policies targeted at articles: according to the latest figures from ROARMAP there are 81 funder mandates and 178 institutional mandates (and another 46 multi- and sub-institutional mandates)<sup>15</sup>.

However, as Open Access for monographs is still a relatively new phenomenon, there are only a few institutions with established policies supporting Open Access books. Some research councils have Open Access funds that include Open Access monographs; others are preparing to support Open Access for monographs through projects<sup>16</sup>.

### 5.5.1 Open Access policies and projects by research funders

- Austrian Science Fund (FWF)

FWF is driving the transition to Open Access monographs in Austria. FWF was the first to include monographs in their open access policy and in 2011 made open access a pre-condition for publication grants: providing lump sum grants of €14.000 for Open Access monographs, or €18.000 including translations and foreign publication, and an additional grant of €2000 for peer review. FWF aimed to improve quality of peer review and foreign language editing and improve visibility and impact, particularly outside the German speaking countries. With these aims in mind, FWF started its own e-book library in 2012, deciding to make earlier publications open access and organising a new round of reviewing to select which books should be included in their open access e-book library. In this sense, FWF is the gatekeeper and selector of the open access titles, but leaves the actual publishing to the publishers. The e-book library currently contains approximately 190

.....  
<sup>15</sup> <http://roarmap.eprints.org/>

<sup>16</sup> Most of the information on Open Access policies from research funders in this section comes from 'The Open Access Monographs in the Humanities and Social Sciences conference' held at the British Library, July 1&2 2013. Other sources include the OpenAIRE study 'Implementing Open Access Mandates in Europe', and the Open Access Directory, OAD, [http://oad.simmons.edu/oadwiki/Main\\_Page](http://oad.simmons.edu/oadwiki/Main_Page). (Schmidt & Kuchma, 2012)



books, and these publications are also made available through the OAPEN Library and listed in DOAB.

FWF is planning to set up a certification procedure for publishers, to make sure open access books meet academic standards and peer review processes are improved, and requiring CC-BY or CC-BY-NC licenses.

– Netherlands Organisation for Scientific Research, NWO

NWO is committed to Open Access and has set up an incentive fund to encourage Open Access publication of NWO funded research results. The fund covers Open Access publication fees for both peer reviewed articles and books, with a maximum of €5.000. NWO is preparing its new strategic plan for 2015-2018, which will be based on continued commitment to Open Access.

NWO took specific measures to support Open Access for the Humanities. Grants were made available to set up new Open Access journals and to support the transition to Open Access of subscription based journals in the Humanities. In addition NWO supported the adoption of Open Access for monographs in the Netherlands, by becoming a partner and co-funder in OAPEN-NL. NWO will continue to support Open Access and accepts that there will be additional costs in the transition period. But eventually Open Access publishing should find a sustainable business model for all stakeholders.

– Arts and Humanities Research Council, AHRC

In the current research funding model, dissemination costs are part of the research process and these costs can be met through research funds. Not many researchers make use of this possibility. The Finch report has resulted in a policy change in the UK, aiming to support Gold Open Access to research results. Publication fees will no longer be part of research funding and block grants will be available to fund APC's (article processing charges). However, this policy change is aimed at Open Access for articles only, and in Humanities and Social Sciences, this accounts for just one third of publications. For monographs, the existing policy still applies, which means publication fees can be met as part of research grants.

AHRC is co-funding a pilot project, OAPEN-UK, managed by JISC Collections. OAPEN-UK is similar to OAPEN-NL, exploring the effect of open access monograph publishing by comparing open access books with traditionally published books.

– German Research Foundation (DFG)

The German Research Foundation (DFG) is a member organisation, and strategic and funding decisions are essentially made by researchers. Therefore, DFG responds to the needs of the research community, rather than take the lead in the transition to Open Access. DFG Open Access policies date back to 2006, with a recommendation that authors make their articles available in Open Access, with a maximum embargo of 12 months, and retain their copyright. DFG has a number of funding schemes for books: a fund with project related publication expenses, with a maximum of €5000 for books with high production costs; also separate publication grants, excluding dissertations. DFG is also supporting institutional Open Access publication funds in co-operation with academic institutions, contributing up to 75% of these funds, with a cap of €2000 for APC's, but excluding books.

Towards the end of 2012 a call was issued for Open Access monographs, with the objective to learn about publishing costs, workflows and business models. Requirements for output include transparency, quality assurance, CC-license, standardized usage statistics, metadata and long term availability. Proposals are still under review.

– Max Planck Society (MPG)

The Max Planck Society has been a driving force behind the Open Access movement since the Berlin Declaration in 2003 and the subsequent Berlin Open Access conferences. MPG supports Open Access with various projects and central funding through the Max Planck Digital Library.

Within MPG there is a growing interest for Open Access monographs from the humanities and social sciences research community. The Max Planck Digital Library has started to support open access monographs and aims to establish a sustainable and scalable service infrastructure, building on experiences with journals and keeping in mind the differences with monographs. MPDL has set up its own e-book platform [www.edition-open-access.de](http://www.edition-open-access.de) and also started to collaborate with publishers, but has not set up central funding of Open Access publication costs.

- Swedish consortium for Open Access monographs

Sweden has 17 universities with an Open Access policy or recommendation and 6 research funders with an Open Access policy, but not including monographs. A national project was conducted to explore Open Access book publishing in a collaborative manner, involving funders, universities and publishers. The objective was to improve dissemination through open access publishing and address the issue of quality through a common reviewing system. The final report was released in July 2013, recommending a central infrastructure to organize quality assurance and a common peer review system for Open Access monographs, run by the Swedish Research Council (Lawrence et al., 2013).

One of the funders of this project, the Riksbankens Jubileumsfond (RJ), which promotes and supports research in the humanities and social sciences, already has an Open Access mandate for both articles and books, demanding that all new research publications be made available and openly accessible within six months of publication. The RJ adds a standard allowance of 30,000 SEK per project to support open access publishing, both in journals and in the form of monographs.

- Australian Research Council (ARC)

The ARC introduced a new open access policy for ARC funded research taking effect from 1 January 2013. According to this new policy the ARC requires that any publications arising from an ARC supported research project, including books, must be deposited into an open access institutional repository within a twelve month period from the date of publication.

- Wellcome Trust

In July the Wellcome Trust announced it will extend its Open Access publication fund to include scholarly monographs and book chapters authored or co-authored by Trust grant-holders that arise as part of their grant-funded research.

- European Union (EU)

Since August 2008, the European Commission has supported an initiative to improve the online accessibility of EU-funded research results. This initiative, called the Open Access Pilot in the Seventh Framework Programme, encourages and supports FP7-funded researchers to make their research results openly accessible: either through Open Access publishing (gold) or through Open Access self-archiving (green). Publication charges to publish in Open Access are eligible for reimbursement through the project grant. In the next funding cycle Horizon 2020, the policy will be extended to all subject areas and also apply to monographs resulting from EU funded research.

- European Research Council (ERC)

The ERC has updated its Open Access Guidelines for researchers and requires electronic copies of any research papers and monographs that are supported in whole, or in part, by ERC funding to be made publicly available as soon as possible, and no later than six months after the official publication date of the original publication.

## 5.5.2 Universities supporting Open Access monograph publishing

Universities and University Libraries can support Open Access monographs in various ways. They can support Open Access by opening up their Open Access publication funds for monographs, but also by supporting the publishing activities at their university. There is no source on Open Access funding available providing specific information about monographs, but a number of Open Access funds from universities are open for monographs. In North America the Library of the University

of California, the University of Oregon Library, the University of Virginia Library and Toronto University all have Open Access funds that are open to monographs. In Europe are examples of Open Access funds available for monographs at Lund University, Utrecht University and Delft University.

Universities supporting Open Access book publishing through University presses or library services are more common. In fact most University presses publishing Open Access monographs are in some way supported by their university. A few models are described in the section *Business and funding models for Open Access monographs*, but here are a few examples from different parts of the world. In North America eScholarship at the University of California, M Publishing at the University of Michigan and Athabasca University are examples of universities with a strong commitment to Open Access. In Europe examples of University Presses publishing mainly in Open Access and supported by their university or research institute are Amsterdam University Press and Leiden University Press in the Netherlands, Göttingen University Press, Hamburg University Press and KIT Scientific Publishing in Germany, 'Les Éditions de la Maison des sciences de l'homme' and 'Editions de Linguistique et de Philologie' in France. In Australia ANU E Press was established as a dedicated Open Access press by Australian National University in 2003.

## 5.6 Conclusion

The Open Access model addresses the monograph crisis in two ways, by improving access to and discoverability of the monograph and by finding new sustainable business models based on the reduced production costs of the digital edition and building on emerging business models for Open Access journals. Open Access models for monographs need to recognize that the Open Access version of a monograph cannot substitute printed books in the same way that e-journals substitute printed journals. Although the models for Open Access books may differ from the models for Open Access journals, there are no obstacles to achieve Open Access for books. There are clear benefits to the academic community and society at large and both publishers and funders are experimenting with a variety of models to enable Open Access to monographs.

# 6 OAPEN-NL: Research Outcomes

---

## 6.1 Introduction

This chapter contains the main outcomes of the pilot project. It shows the results of extensive research into several aspects of publishing Open Access monographs. More information about the pilot can be found in Appendix 1: Project description OAPEN-NL and Appendix 2: Chronology of project activities. The first section explores the perceptions of two major stakeholders: authors and publishers. The following section investigates the costs of publishing a monograph in the Netherlands and discusses the implications for funders. The last section describes the effects of Open Access publishing on book sales, discovery, online consultation and citations. Additional data can be found in Appendix 3: Data Qualitative Research, Appendix 4: Book titles and number of downloads, Appendix 5: Costs per book and Appendix 6: Costs per page.

## 6.2 OAPEN-NL: user needs and project evaluation

### 6.2.1 Introduction

Next to gathering quantitative data on download and citation statistics, costs and sales figures, the OAPEN-NL project also focused on (expanding) research into user needs with respect to (the publishing of) Open Access books, in the tradition of the previous OAPEN project reports (Adema & Rutten, 2010; Kempf, Adema, Rutten, & OAPEN, 2010). This chapter will give an overview and analysis of the data that has been gathered as part of the qualitative research of the OAPEN-NL project. This data has been mainly collected by means of three online surveys: one for the participating publishers and two (identical) surveys for Dutch and English authors (one in Dutch and one in English) using the SurveyMonkey survey and questionnaire software and platform.<sup>17</sup> The three surveys focused on user needs, experiences and expectations with respect to (the publishing) of Open Access books. In the case of the publisher's survey, it also focused on their experiences and expectations with respect to the (running of the) OAPEN project. Hence the collected data will also function as part of the project evaluation.

### 6.2.2 Aim of the qualitative research

The purpose of the OAPEN-NL user and evaluation research has been to collect, measure, monitor and evaluate the use as well as the user experience of the Open Access publishing model and the publication fund as set-up by OAPEN-NL. This will provide us with knowledge about publication costs, financing models, user experience, procedures, criteria and standards. This knowledge will then be used to prepare guidelines and recommendations for the publishing of Open Access

---

<sup>17</sup> PDFs of the 3 surveys have been added to the appendix.

books. This research has also been conducted to expand the still lacking availability of data on (HSS) researchers' attitudes towards Open Access and books. Most of the research still focuses on STM research and/or on journals. Gradually more research is being conducted on user needs and expectations concerning Open Access books,<sup>18</sup> a process in which the OAPEN foundation and its research have been ground-breaking.

### 6.2.3 Data collection

The abovementioned surveys were completed by the publishers and authors who participated in the OAPEN-NL project by submitting (a) book (s) during the 1st, 2nd, and 3rd round of applications, which were afterwards approved for inclusion in the OAPEN-NL project. All the publishers, with the exception of Leiden University Press, have completed the survey.<sup>19</sup> 14 authors have completed the Dutch survey, and 18 the English survey. The surveys ran from June 2011 until June 2013. In principle the survey only had to be completed once per publisher and once per author.<sup>20</sup> The survey was a mandatory part of the project.

Data from the partaking publishers has been gathered with respect to:

1. Their experiences with the models and protocols developed within OAPEN-NL
2. The example calculation as developed within OAPEN-NL
3. The information provision, the project implementation and the support from OAPEN-NL
4. The criteria for peer review as developed within OAPEN-NL
5. The financing-model as developed within OAPEN-NL

Data from the partaking authors has been collected regarding:

1. Their familiarity with Open Access (publishing)
2. Their publication in and use of electronic as well as open access publications
3. Their motivations for publishing

Data from both the participating publishers and the authors have been collected regarding their expectations and perceptions with respect to:

1. The impact of open access publishing on the sales of books
2. The impact of open access publishing on the number of citations
3. The impact of open access publishing on the online consultation of scientific books
4. The importance of values such as trust, accessibility and quality within scientific communication
5. The impact of open access on these values

The surveys focused on the expectations, perceptions and practices of the users of the publication model and the publication fund as presented within the OAPEN-NL project. Users have been defined here as publishers and authors. To measure the expectations and perceptions of users towards Open Access for academic books in general and of the model presented in the OAPEN-NL project in particular, we used a methodology that has been previously used in the OAPEN user needs studies (Adema & Rutten, 2010). These studies applied a conceptual framework which represented the key characteristics of the formal academic communication system, based on a list of the most important values guaranteed within this system (quality, access and dissemination, effectiveness and efficiency, reputation and reward, economic feasibility and trust). The aim of this part of the qualitative research has been to investigate how users relate to these values, and how they expect

.....  
<sup>18</sup> The large amount of data that is being collected by the OAPEN-UK project, for instance, focuses specifically on Open Access and books within the HSS, within the English context. See: <http://oapen-uk.jiscebooks.org/research-findings/>

<sup>19</sup> Due to a personnel switch Leiden University Press was not able to complete the survey as the publisher has not been part of the original application procedure. Contact with the publisher has been had however and their comments and suggestions regarding the project will be part of this data evaluation and analysis.

<sup>20</sup> Brill filled out the survey twice, the 2nd time probably after taking over KITLV Press. As their double response consisted of some valuable remarks with respect to the evaluation, we have decided to include it in the analysis.

the Open Access publishing of academic books and the specific model as applied in the OAPEN-NL project, will affect these values.

As the qualitative data collected as part of this user and evaluation research was only gathered amongst a small group of participants - and is therefore not interesting from a statistical viewpoint - the collected results of the user survey will be compared with previous research findings from similar studies, to explore if there are interesting or striking abnormalities to be observed.

The first interim analyses of collected data have been presented in two workshops organized by OAPEN NL on July 21, 2011 and on October 4, 2012. These workshops were attended by the publishers and members of the project group and the advisory committee. During these workshops feedback from the participants was collected with respect to, amongst other things the project's progress, the information provision and the first provisional results of the research data collection. The reports of both meetings are also included in the final data analysis.<sup>21</sup>

#### 6.2.4 Experiences and expectations

The user needs research examines the experiences of users as well as their expectations and requirements with respect to the OAPEN-NL publication fund and model. With respect to the research design we have focused on:

*Users:* for this specific study users have been defined as consisting of both the academic book publishers that have been partaking in the OAPEN-NL project, as well as the authors of the books that have been admitted to the project.

*Experiences:* this part of the user needs analysis focused on the expectations and perceptions of users with respect to the publishing fund and model as set up by OAPEN-NL. This involved an examination of the users' experiences related to the procedures and policies set up as part of OAPEN-NL (the financial aspects, quality insurance etc.), the provision of information, the workflow etc., and the extent to which these correspond to the 'normal' practice, experience and needs of users. With respect to the authors, this part focused on the use of open access e-books more in general, as well as on the authors' experiences and views with respect to scholarly publishing.

*Expectations:* this part of the user needs analysis focused on the expectations and perceptions of users with regards firstly to the project itself and secondly to the publication, distribution and consumption of Open Access scholarly books. An examination has been made of user expectations with respect to quality, accessibility and impact, sales figures etc.

#### 6.2.5 Analysis of the research data

The findings presented in this section are based on an analysis of the data on user needs, experiences and expectations with respect to the OAPEN-NL project and Open Access book publishing more in general. This data has been collected with the help of the qualitative data collection methods as described as part of the research methodology in the previous section. The publishers' survey has been completed by 9 respondents, who all have completed the survey in its entirety. The authors' surveys were completed by 36 respondents (including 18 Dutch and 18 English authors)<sup>22</sup>. These surveys were completed in their entirety by 32 of the 36 respondents (85.7%), of which 18 Dutch and 14 English authors. To structure and analyse the data, this section is divided into 3 separate parts. The first part will look at the experiences with and evaluation of the OAPEN-NL project by the participating publishers especially with respect to the models and protocols developed within the project. The second part will look at the authors' experiences with respect to Open Access books, where the third part looks at the expectations of the authors and publishers combined with respect to Open Access books.

Throughout the analysis the findings will be compared with other relevant research on user needs and Open Access (books) to explore where similarities and discrepancies occur. The data will be compared with some of the findings of 4 recently published reports, as well as with the earlier OAPEN research.<sup>23</sup>

21 These workshop reports are available at [www.open.nl](http://www.open.nl).

22 All the data referred to in this section has been made available in *Appendix 3: Data Qualitative Research*

23 The collected data will amongst others be compared with the following recent user needs research: (Adema & Rutten, 2010; Adema, 2012; Frass et al., 2013; Housewright et al., 2013; UK HSS Researcher Survey Results

The Directory of Open Access Books' user needs report evaluates the users' experiences of DOAB, and has collected data on user needs and expectations with respect to open access books and a directory of Open Access books. The data in this report is based amongst others on an international survey of 202 academics, librarians, publishers and funders.

The Taylor and Francis report looks at the views of Taylor & Francis and Routledge authors specifically, and their views with respect to Open Access publishing. This report is based on over 14,700 responses, most of which are from Social Sciences and Humanities authors. This survey does not focus on books in specific at all, and refers mostly to journals, which we need to take into account when we compare these findings with the findings of the OAPEN-NL survey.

The Ithaka, Jisc and Research Libraries UK (RLUK) report surveyed academics in the UK higher education sector, amongst others with respect to reading habits and values in scholarly communication. Their survey received 3,498 responses, from all fields. This is a very broad survey that does not focus on Open Access in specific, but does offer some valuable points of comparison for this research project. The OAPEN-UK research partly used some of the same methodology/questioning in their surveys, making comparisons more convenient.

The OAPEN-UK researcher survey focused on researcher attitudes towards open access, publisher services, reading preferences, scholarly communications and Creative Commons looking specifically at books. They gathered 690 responses from HSS researchers in the UK.

#### **6.2.5.1 Analysis research data internal evaluation**

To get a better overview of the kind of publishing houses that participated in the OAPEN-NL project, we asked them some introductory profile questions about their publishing business. We can summarise from these findings that a majority of the publishers can be categorised as medium or large sized endeavours; 67% of them publish more than 100 books a year. Most of the publishers are active in the Humanities and Social Sciences but some of them also cover the Medical Sciences (44%) and in Science and Technology Studies (56%). Most of the publishers (78%) involved in the project already have a digital publishing programme, both for books and journals, where a majority (67%) also has experience in publishing both books and journals in Open Access. See also *Appendix 3: Data Qualitative Research*.

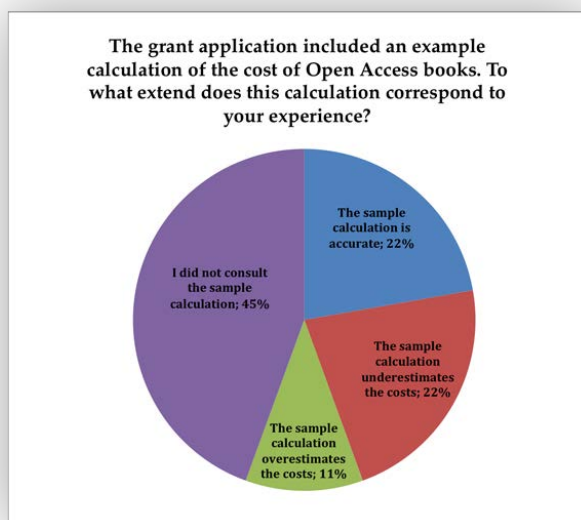
We started off by asking the publishers about their experiences with respect to the models and protocols developed within the project. First of all we asked them about the sample calculation of the costs of Open Access Books that was included in the grant application. To what extent did this calculation correspond to their experiences?

Where almost half of the publishers did not consult the calculation,<sup>24</sup> of the remaining 55%, 22% thinks the sample calculation is accurate, another 22% thinks the sample calculation underestimates the costs, and a final 11% thinks the sample calculation overestimates the costs (see Figure 1). This shows quite a wide range in opinions and experiences, where this might also reflect the diversity in publishing and business models and the differences between the publishing houses involved in this respect. The workshop also showed that different calculation models have proven suitable for the OAPEN-NL model.

---

(OAPEN-UK project report), 2012)

24 Because they had their own calculation to work with or perhaps they consulted it only at a later stage or during the workshops.



**FIGURE 1. Sample calculation**

This also becomes clear from the additional comments provided below. As we can see from these remarks, some confusion arose about which calculation was used and how to compare different calculation designs. This issue was tackled explicitly during the first OAPEN-NL workshop where different sample calculations were consulted and discussed.

- ▷ The match between the calculations is difficult to make because our calculations have been differently designed. In the design overhead is included twice, what it entails is not quite clear.
- ▷ Brill, based on information from OAPEN NL, has developed its own calculation which has been discussed in the workshop of May 2011, and which was seen as accurate. Whether this now has become the sample calculation is not 100% clear to me, but it should differ little.
- ▷ Image and table inclusion leads to higher costs.
- ▷ We have designed our own calculation, which was inspired by the sample calculation.
- ▷ It seems accurate, but further experience is needed
- ▷ Reasonably accurate ...
- ▷ This calculation model is very similar to the calculation models that I have worked with before; it is especially similar to the calculation model of AUP.

We also asked the publishers what they thought about the peer review criteria as formulated in the project. These criteria relate to the method of review (peer review), and if applicable, the composition and 'input' of an editorial board and/ or any advisory committee. It is the unanimous opinion among the participating publishers that the criteria relating to peer review as prepared by OAPEN-NL are sufficient and necessary. They further remarked in the comments below and during the workshop, on the additional context that might be needed to establish the quality of a scholarly book. Peer review (criteria) alone might not be sufficient here. However also remarked was that for the sake of the project, a formal procedure should be sufficient.

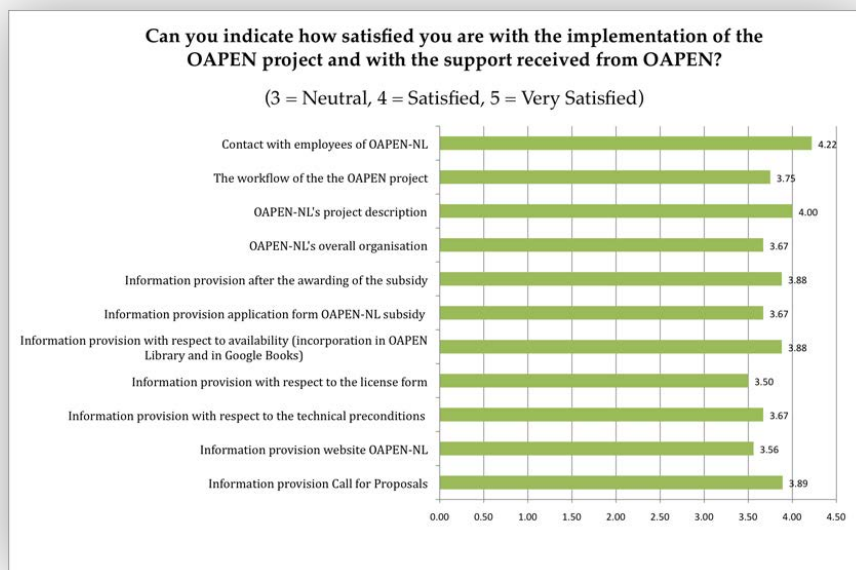
During the second workshop the CrossMark system for quality assurance was introduced which will enable users to explore more in-depth the peer review context of a specific publication. To ensure maximum transparency, OAPEN-NL and OAPEN-UK have implemented this new project to improve transparency with respect to quality assurance for Open Access publications, by adding CrossMark logos to their publications. The CrossMark tool is an identification service has been implemented on a selection of titled within the OAPEN pilot projects. Readers use the service by clicking on the CrossMark logos on PDF or HTML documents, and a status box tells them if the



document is current or if updates are available. CrossMark also provides a record box, which can contain other useful information about the document, such as the peer review process. This system should satisfy the need for a more contextual system as called for in this user research.

- ▷ The peer review has been conducted before the book joined us, so perhaps my judgement might not be that accurate in practice.
- ▷ The requirement of peer review is necessary to battle the assumption that the OAPEN-NL titles are of a lower quality and would only appear courtesy of the grant.
- ▷ Peer review is very common and desirable.
- ▷ Well, I can imagine that more context is needed with respect to the reviews. The reviews only do not explain all about the final end result. But perhaps this is not for this committee to review.
- ▷ In my opinion, peer review is a good way to test the scientific quality of a publication. The peer review procedure that a publisher uses is important but so is the effective implementation of this peer review process. This would be good for OAPEN-NL to measure to ensure quality.

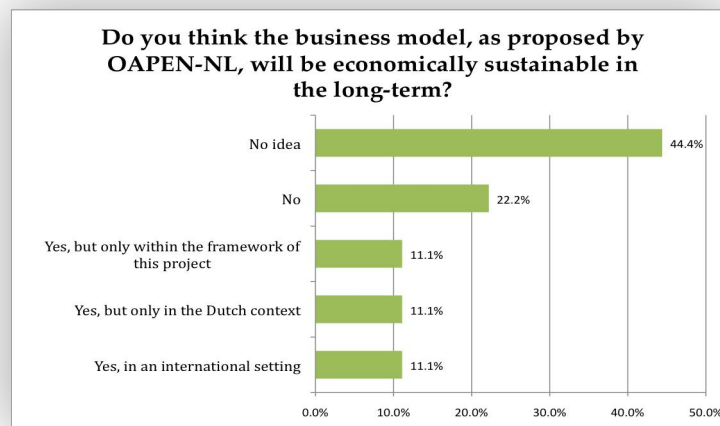
We also asked the publishers about their experiences with the project implementation and with the support from OAPEN-NL. Here we can observe that the participating publishers are satisfied on most fronts (see Figure 2). Some points of dissatisfaction that were raised, entail the information provision with respect to the license form, and the information available on OAPEN-NL’s website. It was also remarked that the criteria relating to peer review and the license form as used by OAPEN-NL were hard to find on the website. They can be found on the Call for Proposals document that is available on the website, but not on the website itself nor on the application form. Noted too was that the information provision on technical constraints and accessibility was running late, and was received partly only after (and through) a one-on-one consultation with members of OAPEN-NL. More information regarding this point was given during the workshop, explaining that the technical constraints were not yet fully developed, but that they would be further developed and made available shortly after the workshop.



**FIGURE 2. Information provision and project implementation (N = 9)**

Finally, we asked the publishers about the sustainability of the OAPEN-NL business model. Here almost half of the publishers had no idea whether the model would be sustainable, where 22% thought it would not be sustainable, not in any context (see Figure 3). In total 33% of the publishers thought it would be sustainable, of which one third thought only in the context of this project, another third only in the Dutch context, and a final third thought it would be sustainable in an international context. The key remark was that much more experience was needed and that more research needs to be done to increase knowledge about the sustainability of this (or any other) model. Another remark was that only ‘standard’ books would fall under this model, and pictures and other forms of enhancement would raise the costs to be covered.

A fundamental critique concerning this model related to the assumed additional revenue in terms of sales that will be gotten to cover costs, where these sales might not be assured (for instance in a future all digital model). The continued need for an internationally sustainable model was also mentioned, as most publishers are international and don’t work only within local (funding) contexts. Finally, fear was expressed that certain countries, authors and disciplines that are not supported by a grant might not be accommodated in this model.



**FIGURE 3. Sustainability of the OAPEN-NL business model (N = 9)**

- ▷ This is difficult to estimate, as things have not yet fully developed. Within the scientific community there is still a lot of discussion on this issue.
- ▷ A contribution by the author, or his/ her institution, or his/ her research funder will surely remain necessary for the majority of books in the humanities and social sciences, in order to cover the costs of publishing.
- ▷ Based on an educated guess: if € 5,000 will become the standard for book publishing, only books that require a standard production with minimal layout costs will be published Open Access. More laborious books will not fit into this model, i.e. those with images or those that require a high amount of guidance etc. It was also assumed that, with € 5,000, additional revenue in terms of sales will be gotten to cover operating costs. These additional sales have yet to be proven. Second argument: I notice that departments are very reluctant when it comes to the financing of books. If the grant will not come from NWO, we have a very clear lobbying campaign ahead of us to acquire Open Access grants from the universities. Ultimately, the budget for Open Access publication, even if it is 10,000, is peanuts compared to the rest of the research budget, but the mental turnaround is not there yet.
- ▷ The research will have to tell!
- ▷ I think authors from economically weaker countries could fall by the wayside

- ▷ It will be necessary to explore an internationally sustainable model. The differences in (European) funding models are big. Look for example at the difference in wages. This is something an internationally oriented publisher needs to take into account, when he is using local funding possibilities or models.

### 6.2.5.1 Author perceptions regarding Open Access book publishing

To get a better overview of the authors that participated in this survey we asked them to fill out some introductory profile questions. From this data it becomes clear that the majority of the authors are men (72%), that authors of all age groups (the biggest group was between 40-50 years of age) and all positions (from PhD students to full professors) filled out the survey, and that together they show a good distribution of different fields and disciplines (but are predominantly historians and sociologists).

We started off by asking the authors whether they were already familiar with Open Access before they got involved in this project. Here 53% of the authors answered yes, which, compared with other research, is quite a low figure (Adema & Rutten, 2010). In the OAPEN-UK survey only 7% of the respondents had never heard of Open Access, where the others were either aware of Open Access (54%) or even familiar with it (39%) (*UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012). The fact that we didn't make this distinction could indicate that some of the other (46%) respondents were aware of Open Access already, just not familiar with it. The DOAB survey nonetheless has a number as high as 81% of respondents familiar with Open Access and this number was already 70% in the OAPEN user needs survey issued in 2010 (Adema & Rutten, 2010, p. 134; Adema, 2012, p. 49). This low figure of awareness is especially interesting with respect to the promotion that has been made in recent years within the Dutch research community (by universities, researchers and libraries, as well as some publishers) to raise public awareness of Open Access. This data reveals that there is still enough space for awareness building and further education and dissemination of information about Open Access publishing and the potential benefits that are associated with Open Access.

We also asked the authors whether any of their publications were available electronically. From the collected data it becomes clear that only a minority of the participants do not have any publications available electronically. However, the amount of their electronically available publications remains rather low; almost half of them states that only up to 1/5th of their publications are available online. We also asked the authors with digital publications, how many of their publications are available in Open Access (see Figure 3). A small majority (53%) states that some of their publications are available in Open Access, which is again quite a high percentage. However, for the large majority only up to 10 % of their publications is available in Open Access.

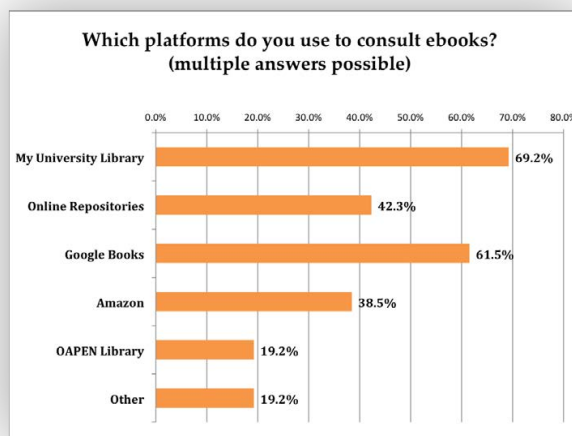


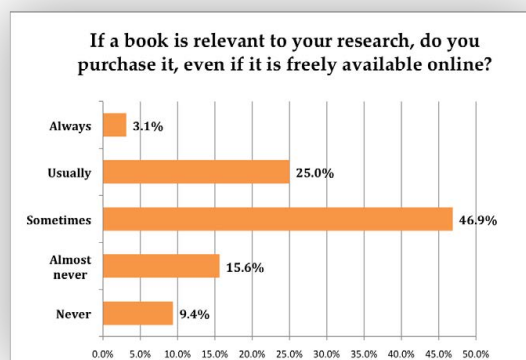
FIGURE 4. Use of e-book Platforms (N = 26)

Next we asked the authors about their own use of e-books. 78% of the authors replied that they use e-books themselves. Those authors use a diverse array of platforms to access these e-books, where their own university library still stands on top followed by Google Books and other online repositories. Twenty per cent of the authors who use e-books replied that they sometimes use the OAPEN platform to consult e-books (see Figure 4). This number is even higher in the Ithaka survey where nearly 90% of respondents indicated that their own college or university library is a very important source to find journal articles and academic monographs for research and teaching, where slightly more than 60% also find materials freely online (Housewright, Schonfeld, & Wulfson, 2013, p. 37).

Furthermore we asked the authors who consult e-books how they consult these books exactly. Only 11.5% replied that they always print the information and read from paper, 77% of the authors replied that they sometimes read their e-books entirely online. However, a variety of reading methods seems to be the default at the moment, 30% of the authors replied that they sometimes read e-books on their e-reader and 42% still sometimes print out some sections to read from paper.

This seems to be compatible with the OAPEN-UK findings, where laptop and computer screens were also still more common to read e-books off than e-readers. In their findings however, printing off bits of a monograph was way less common as their respondents opted to buy the printed book instead (an option that was not included in our survey) (*UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012, p. 42). With respect to the DOAB figures we can state that our data shows a higher amount of screen reading, where in the DOAB figures 60% state they read their books directly from the screen (without printing bits out). This data includes people who do not read e-books at all (3,9%), however this should not make much difference to the overall picture (Adema, 2012, p. 14). These figures show an enormous increase in direct screen reading especially if we compare them with the 38.5 % in the OAPEN report (Adema & Rutten, 2010, p. 133). Nevertheless, as the Ithaka report also states, few academics expect that electronic versions will completely supplant print books within the next five years (Housewright et al., 2013, p. 36).

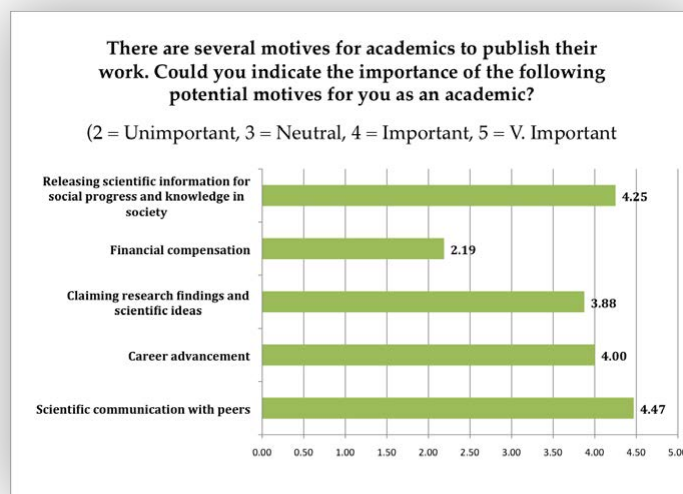
This becomes even more clear in the next section where we asked the authors an important question with respect to the OAPEN-NL business model and the potential of continued sales when a book is available online in Open Access. We asked the authors whether they still purchase a book (either a printed/PoD book or an e-book) that is relevant to their research, even if it is available online (see Figure 5). The data shows that only 25% of the authors would never or almost never buy a book if it is also available online. 25% of the authors usually still buy the book, where half of the authors sometimes do so. From this data it seems there is still potential for book sales in an Open Access environment; however, this information needs to be backed up with actual sales figures to confirm this potential, as will be provided in the next section.



**FIGURE 5. E-book purchasing (N = 32)**

Finally we asked the authors what their underlying motivations for publishing are (see Figure 6). Scientific communication with one's peers was seen as very important followed closely by releasing research to society, which was deemed important too. As a motive, financial contribution was seen as

unimportant by this sample of authors, which might make one reflect on the importance of royalties in an Open Access business model. In the OAPEN-UK survey releasing knowledge in society comes out clearly on top followed by communication with one's peers. Here also, financial compensation ranked the lowest by far (*UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012, p. 23). The Ithaka report on the other hand shows that academics are more interested in communicating with their peers in their immediate niche than they are with the society at large, although there was a strong difference in phrasing between their questions and ours in this respect (Housewright et al., 2013, p. 67). The DOAB data confirms our findings, where the OAPEN user needs survey differs quite a lot, with career advancement coming in second and releasing information only takes in a 4th position (Adema & Rutten, 2010, p. 135).



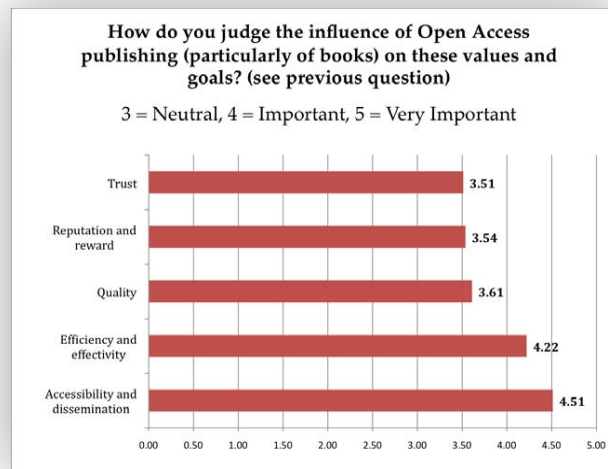
**FIGURE 6. Publishing motives (N = 32)**

#### 6.2.5.1 *Publisher and Author expectations with respect to Open Access book publishing*

We asked both publishers and authors which values behind the system of scholarly communication they deem the most important. They could choose from values such as trust, quality, efficiency and effectiveness accessibility and reputation and reward. If we combine the replies from the authors with those from the publishers, we see that both accessibility and quality are seen as important to very important; reputation and reward tend towards a neutral classification. If we look at the answers of the publishers separately however, we see that trust and quality are seen as the most important, and accessibility moves to a third place. For authors however, accessibility remains on top. This coincides with the OAPEN-UK research where availability and quality also came on top, as they did in the DOAB and earlier OAPEN findings (Adema & Rutten, 2010, p. 135; Adema, 2012, p. 14; *UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012, p. 148).

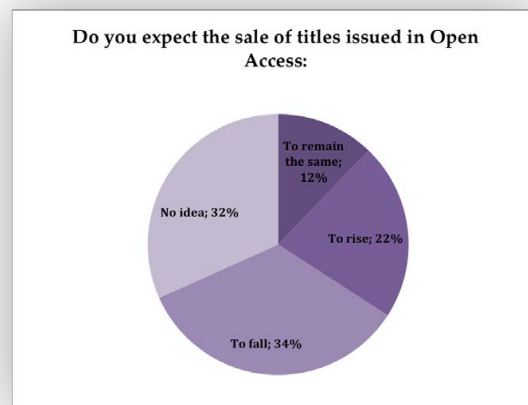
We also asked both groups of participants what they felt the influence of Open Access on these values was (see Figure 7). Their combined response ends up somewhere between a neutral and positive qualification for trust, reputation and reward, and quality; the influence of Open access on efficiency and effectiveness and on the accessibility of scholarly communication was deemed positive to very positive. On average the authors were more positive than the publishers with respect to the influence of Open Access on the values underlying the system of scholarly communication, especially with respect to reputation and reward. The overall picture again agreed with the OAPEN-UK study in which most researchers thought access and quality would improve and the effect on the other values would be neutral to positive in the case of trust (which they named organisation and preservation in their questioning) (*UK HSS Researcher Survey Results (OAPEN-UK project report)*, 2012, p. 50). On average the DOAB survey shows that their responding academics are on average more positive about the influence of Open Access on all the values mentioned above, especially

concerning trust and quality, which they both mark with a 4.1 average valuation (Adema, 2012, p. 47).



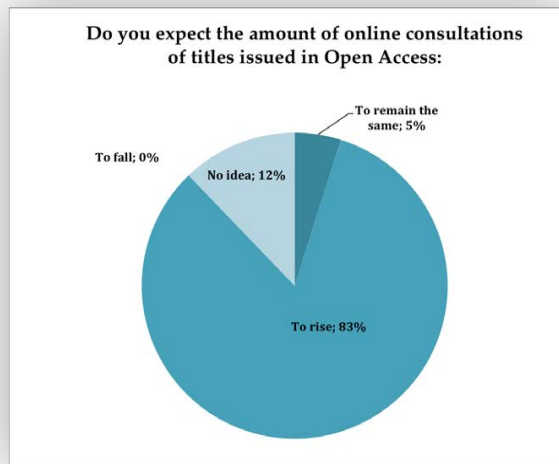
**FIGURE 7. Influence Open Access on the values in scholarly communication (Authors and Publishers combined) (N = 41)**

For this report we further examined data from the survey regarding the expectations of both authors and publishers about changes in the number of online consultations, the number of citations, and the number of copies sold of books that are available in Open Access. With respect to the sales of Open Access books, the authors and publishers combined show a divided image about whether the sales are going to rise, fall or whether they will remain the same (see Figure 8). 32% has no idea, and the highest amount of responses, 34%, expects the sales to fall. Especially the publishers are unsure, and *more than half of them (56%) have no idea what might happen to the sales figures.*



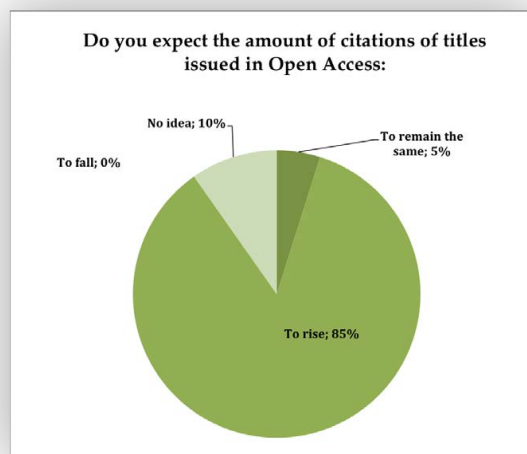
**FIGURE 8. Sales of Open Access books (Authors and Publishers combined) (N = 41)**

Considering the amount of online consultations however, we can see an entirely different image (see Figure 9). Here only 12% of the authors and publishers combined are unsure about the influence of Open Access on online consultations. A staggering majority of 83% expect the amount of online consultations to rise; no one thinks they will actually fall. Again, the publishers are much more unsure here, 33% of them have no idea what will happen with online consultations, and 91% of the authors think online consultations will rise.



**FIGURE 9. Online consultation of Open Access books (Authors and Publishers combined) (N = 41)**

Finally we asked both the authors and the publishers what they think the influence of titles issued in Open Access on the amount of citations of that title would be (see Figure 10). Again a big majority of 84% think the amount of citations will rise when titles are published in Open Access. Again, no one thinks they will fall. Here too a discrepancy exists between the authors and the publishers as 94% of the authors think citations will rise, and 1/3rd of the publishers have no idea about what will happen. This figure with respect to citations is very positive, especially if we compare it with the Taylor and Francis survey, where more than 1/3rd of the authors disagreed or strongly disagreed when they were asked whether Open Access journals (!) are cited more heavily than subscription journals. 37% of the authors here is neutral with respect to this issue (Frass, Cross, & Gardner, 2013, p. 6). This difference might be explained by the fact that a lot of journals are already digitally available, and most books are not. For Open Access books, the fact that they will be digitally available is already a factor that might explain their rise in citations in comparison with their print-only counterparts.



**FIGURE 10. Citations of Open Access books (Authors and Publishers combined) (N = 41)**

## 6.2.6 Summary and Conclusion

To conclude this analysis, we will give a quick overview of the main findings and end with some guidelines and recommendations for the project and for the publishing of Open Access books in general. First of all, with respect to the publishers experience with the project, we can conclude that the sample calculation shows a wide range of opinions and experiences. Although the calculation on average was seen as accurate, it also showed that different models can be suitable. With respect

to the peer review criteria as prepared by OAPEN-NL, it is the unanimous opinion among the participating publishers that the criteria are sufficient and necessary. However, additional context might be needed to establish the quality of a scholarly book. Peer review (criteria) alone might not be sufficient here. With respect to the project implementation and the support from OAPEN-NL, we can observe that the participating publishers are satisfied on most fronts.

Some points of dissatisfaction raised, were the information provision with respect to the license form, and the information available on OAPEN-NL's website next to the information provision on technical constraints and accessibility. With respect to the funding model as developed by OAPEN-NL there was some ambivalence and insecurity about its sustainability, especially in an international framework. It was suggested that more experience is needed and that more research needs to be done in this respect. There was also some scepticism about the flexibility of the model with respect to non-standard formats, the international context and different disciplines, as well as the ability of the print-sales side of the model to cover the costs.

If we focus on the author perceptions regarding Open Access book publishing it becomes clear that there is still enough space for awareness building and further education and dissemination of information about Open Access publishing. It seems digital and open access publishing is becoming more common amongst our authors, however the amount of publications available digitally and especially in Open Access, is still quite low. E-book use amongst our survey respondents is quite high. The university catalogue and Google books play an important role in the consultation of e-books. Increasingly authors read from the screen (77% in our sample) but parts of books are still printed out and read on e-readers too. A variety of reading methods seems to be the default at the moment. It also seems screen-reading leaves enough space in the present situation for print or e-book sales. With respect to the authors' underlying motivations for publishing, scientific communication with one's peers was seen as very important followed closely by releasing research to society. As a motive, financial contribution was seen as unimportant by this sample of authors.

Furthermore we looked at both publisher and author expectations with respect to Open Access book publishing. We asked both groups which values behind the system of scholarly communication they deem the most important. Accessibility and quality are on top here, especially with the authors. Regarding the influence of open access on these values, their combined response ends up somewhere between a neutral and positive qualification for trust, reputation and reward, and quality. The influence on efficiency and effectiveness and the accessibility of scholarly communication was deemed positive to very positive. On average the authors were more positive than the publishers.

With respect to the influence of Open Access book publishing on online consultations, the number of citations, and the number of copies sold of books that are available in Open Access, the publishers remained much more doubtful. With respect to the sales of Open Access books, the authors and publishers data combined shows a divided image about whether the sales are going to rise or fall or whether they will remain the same. A big majority of 83% expect online usage to increase. And finally a staggering majority of 84% of the authors and publishers combined think the amount of citations will rise when titles are published in Open Access.

## 6.3 The costs of monographs in the Netherlands

### 6.3.1 Introduction

The OAPEN-NL pilot is the first research project in the Netherlands to systematically measure the costs of publishing monographs. Most literature on the economic factors concerning monograph publishing focuses on the financial sustainability of the publishing 'ecosystem', instead of looking at the expenses for creating a single monograph. Thompson for instance has written an extensive review of monograph publishing and the problems it faces, focussing amongst others on the challenge of financial viability (Thompson, 2005). To meet those challenges, several authors propose a transition to a digital model. Amongst them are Greco and Wharton, who conclude that university presses should consider publishing in Open Access (Greco & Wharton, 2008). Steele also thinks along the same lines (Steele, 2008). Withey et al. acknowledge a trend toward more Open Access publishing,



but stress the need for sustainable business models (Withey et al., 2011). Pinter also discusses the financial perils of publishing monographs and proposes a solution where libraries cooperate in enabling freely accessible monographs (Pinter, 2012).

When we look at articles which are purely focused on costs, the list becomes rather small. The costs of publishing a paper monograph is extensively discussed by Wasserman; who concludes that sales hardly cover the costs (Wasserman, 1998). Houghton et al. are interested in the costs of Open Access publishing, including monographs (Houghton et al., 2009). Morrison argues that the cost per article or the cost per book is the key metric in understanding the economic factors concerning Open Access publishing (Morrison, 2013).

As an alternative indication we could look at the current offerings by publishers. According to Rupert Gatti, co-founder of the non-profit publisher Open Book Publishers, the costs for publishing a monographs is £4,000 (Howard, 2013). Manchester University Press lists a range of fees for publishing freely available books, starting at £5,900 up to £7,700 (“Manchester University Press - Open Access,” 2013). Commercial publishers Palgrave MacMillan and Springer also offer the possibility to publish monographs in Open Access. While Palgrave MacMillan charges a fee of £11,000, Springer charges a fee based on the length of the text (“Palgrave Macmillan - Palgrave Open,” 2013). At this moment, the Austrian funding agency FWF subsidises Open Access monographs – or “stand alone publications” – to a maximum of € 14,000. If the monograph needs to be translated, the funding rises to € 18,000 and an additional grant of € 2,000 is available for peer review by the publisher (“FWF Austrian Science Fund - Funding Programs - Stand-alone Publications,” 2013).

Currently, the business models are based on a hybrid publication approach, combining Open Access and traditional print or Print on Demand publishing. Publishers remain free to publish and sell other formats such as traditional print books, PoD and e-book formats and produce the Open Access format as a service for which they can charge a publication fee. In the OAPEN project, a costing system was developed for the model to help calculate and offset production costs against the fees. In the OAPEN.NL project, this costing system was shared with the publishers as an example.

Within Open Access hybrid publication, we can distinguish two models:

- ▷ Open Access monographs funded through publication funds
- ▷ Consortium based acquisition of Open Access monographs

### 6.3.2 Open Access monographs funded through publication funds

This model can be viewed as the ‘Gold route’ to Open Access. It requires Open Access publication funds that are open to fund monographs. These publication funds can be from research funders such as national research councils, from universities or their research libraries, or other grant giving bodies. In the case of monographs, the model is based on a distinction between the costs that go into producing the digital edition of the book, also referred to as the fixed, first copy or Open Access costs, and all other costs connected to the publication, such as printing, distributing, marketing and sales of the physical book. The costs of the digital or Open Access edition form the basis for the Open Access publication fee. This Open Access publication fee can be seen as the equivalent of the Article Processing Charges (APC’s) for Open Access articles.

In the case of monographs, the model is hybrid, in the sense that it is assumed that other editions of the publication – printed or Print on Demand (PoD) copies, e-books for e-readers such as Kindle, or enhanced editions – can be made available for sale. Therefore, the costs and revenue from these editions are left out of the Open Access funding model.

### 6.3.3 Consortium based acquisition of Open Access monographs

This model is being developed by Knowledge Unlatched (KU)<sup>25</sup> and aims to create a financially sustainable route to open access for monographs through a globally coordinated model. The model is based on the idea that libraries can use their existing acquisitions budgets to ‘unlatch’ monographs by making them available in Open Access. In order to do this libraries form a global consortium to co-ordinate the selection and acquisition process. On the supply side, KU organizes title lists that publishers are willing to publish in Open Access.

.....  
25 See <http://www.knowledgeunlatched.org/>

Much like the first model, this model distinguishes fixed from variable costs of books and makes best use of the new economics afforded by digital publishing. Fixed costs, covering selection, peer review, editorial oversight, copyediting, formatting, proofing and associated overheads will be paid to publishers in advance of publication. In exchange they will publish these books on an open access license and in an open access format. As in the first model, other formats (print and digital) will continue to be available in the same way as usual.

KU refers to the fixed costs as the Title Fee, which is comparable to the Open Access publication fee in the previous model. The consortium based approach to monograph acquisition becomes economically viable if a sufficient number of libraries join the consortium. In fact, with sufficient scale, the model vastly reduces the cost of individual monographs to libraries, whilst at the same time greatly improving accessibility by providing these monographs to the wider community in Open Access. The KU model promises a seamless transition to Open Access monographs, as it does not require additional funding, does not disrupt the existing acquisitions model for libraries, and does not interfere with the sale of selected titles in other formats by publishers.

Here, we discuss the costs of monograph publishing in the Netherlands. First we set out to create an overview of the costs involved and to discover the most important defining factors. The second goal is to create a model – based on the average expenses – describing the costs of publishing a monograph in the Netherlands. This financial model may guide policy makers supporting Open Access in the Netherlands.

### 6.3.4 Setup of the cost analysis

The data was gathered as part of the OAPEN-NL pilot, in the period 2011-2012. The data set contains 50 titles, published by nine different publishers. Some publishers took part in the pilot with one title, while other publishers took part with more books, ranging from 3 to 12 titles. To be part of the pilot, each monograph must be peer reviewed. For each book, the publishers were asked to provide a detailed project budget. The costs analysis is therefore based on 50 costings.

#### 6.3.4.1 Guidelines

Each publisher operates in a slightly different way, and therefore the costings differed as well. Although the OAPEN.NL project provided a sample project budget, each publisher was free to use their own standards. In order to enable a balanced comparison, we have set up several guidelines for the analysis. Each guideline is described in more detail below.

- ▷ Costs can be divided in Open Access costs and print costs
- ▷ Open Access costs can be divided into fixed and flexible costs
- ▷ Costs, not profits
- ▷ VAT is excluded
- ▷ Analysis of book costs, not publishers

#### 1. *Costs can be divided in Open Access costs and print costs*

The first guideline for the analysis is the notion that the total costs for producing a monograph can be divided into Open Access costs and print costs. All expenses necessary to create a digital ‘first copy’ are considered to be part of the Open Access costs. This includes typesetting, cover design and digital distribution. All other expenses, aimed at creating and distributing paper versions of the book are considered to be print costs.

#### 2. *Open Access costs can be divided into fixed and flexible costs*

The amount of money spent on peer review and digital distribution is not dependent on the size of the book or other factors. These costs are fixed. All other expenses – such as typesetting or the amount of marketing required – are different for each title.

#### 3. *Costs, not profits*

Some of the project budgets not only described costs, but also the expected sales profits. These were not taken into account: the analysis is purely aimed at the costs of making a monograph. In what way a publisher will try to recoup the expenses is not part of this investigation.

#### 4. VAT is excluded

In order to get a clearer picture, all VAT was extracted. In the Netherlands, the rules on VAT differ for profit and not-for-profit organisations. To avoid any uncertainty, it was necessary to remove all tax from the costings. All amounts discussed here are costs without VAT.

#### 5. Analysis of book costs, not publishers

The goal we set for the pilot was to understand the financial aspects of monograph publishing, which means that we did not analyse the differences between the publishers participating in the pilot program. The costings were provided on a basis of strict confidentiality.

### 6.3.5 Open Access costs and print costs

Based on the 50 project budgets, we have defined 15 cost categories. Each category will be listed and described here. The costs were divided into Open Access and print costs, and some categories will appear in both groups. For instance, publishers may have had expenses on external parties (direct costs) for creating a digital ‘first copy’ – these will be listed under Open Access costs. The direct costs connected to printing paper copies will be filed under print costs.

The following categories were used:

**TABLE 1. Open Access Costs vs. Print Costs**

Open Access Costs	Print Costs
Peer review (fixed)	Printing, binding
Platform (fixed)	Distribution
Marketing	Overhead/indirect personnel costs
Editing/direct personnel costs	Other/direct costs
DTP	Marketing
Overhead/indirect personnel costs	Royalties
Other/direct costs	
Royalties	
Cover	

#### **OA-Peer review (fixed)**

Costs associated with the peer review process. Each book in the pilot was subjected to peer review. The costs are not dependent on the book.

#### **OA-Platform (fixed)**

The expenses for placing the digital copy on an Open Access platform. Apart from using the OAPEN Library, the publishers were free to place their titles in other Open Access platforms as well, or on their own websites. Again, the costs are not dependent on the book.

#### **OA-Marketing**

The costs associated with marketing the Open Access (online) version of the book.

#### **OA-Editing/direct personnel costs**

All expenses for editing the book, plus personnel costs which can be directly linked to the title.

#### **OA-DTP**

Desk top publishing expenses. This includes typesetting of text and tables, but also costs for illustrations. The costs for creating a cover are not included.

**oA-Overhead/indirect personnel costs**

All personnel costs which cannot be directly linked to the book, plus the overhead expenses.

**oA-Other/direct costs**

This category contains the expenses for external parties, for instance translation costs.

**oA-Royalties**

If the publisher has decided to pay royalties on the Open Access version, it will be categorised here.

**oA-Cover**

The costs for creating a book cover.

**Print-Printing, binding**

The costs for printing and binding the books.

**Print-Distribution**

The expenses for distributing the paper copies of the book.

**Print-Overhead/indirect personnel costs**

All personnel costs which cannot be directly linked to the printed book, plus the overhead expenses.

**Print-Other/direct costs**

This category contains the expenses for external parties working on the paper version.

**Print-Marketing**

The costs associated with marketing the paper version of the book.

**Print-Royalties**

The costs for royalties associated with the sales of paper copies.

### 6.3.6 Results

It may not come as a surprise that the costs of the 50 titles vary wildly. The total costs vary from € 6,082 to € 20,660. Not only the totals for a complete title vary; when we look at the Open Access expenses, they range from € 3,085 to € 9,490. The same holds true for printing expenses where € 2,997 was the lowest amount and € 11,170 the highest.

Not only the costs differ per book, also the number of pages. Here we also see a varied range, starting with 176 pages up to 756 pages. The average number of pages is 346.

#### 6.3.6.1 *Costs per book*

The chart below depicts the total costs per title, and the proportion of fixed and variable Open Access costs versus the amount spent on printing.

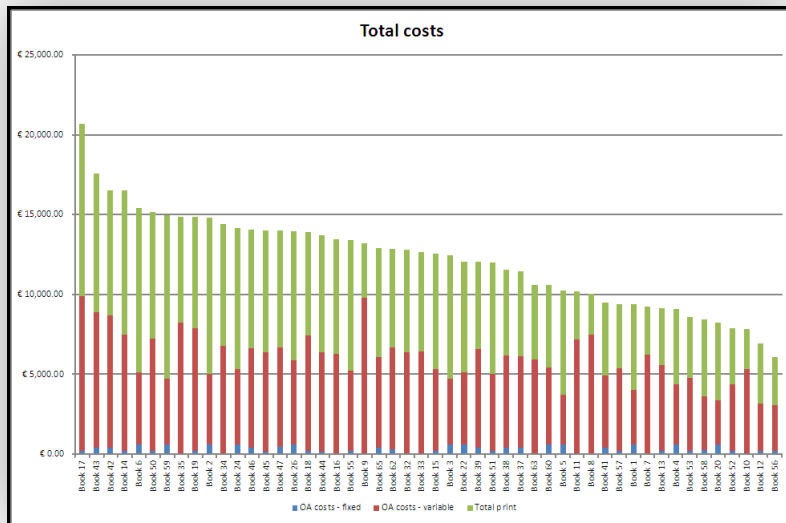


FIGURE 11. Total costs

With a few exceptions, the Open Access costs amount to approximately half of the total costs, as is shown in the next graphic. The costs for each book are listed in the appendices.

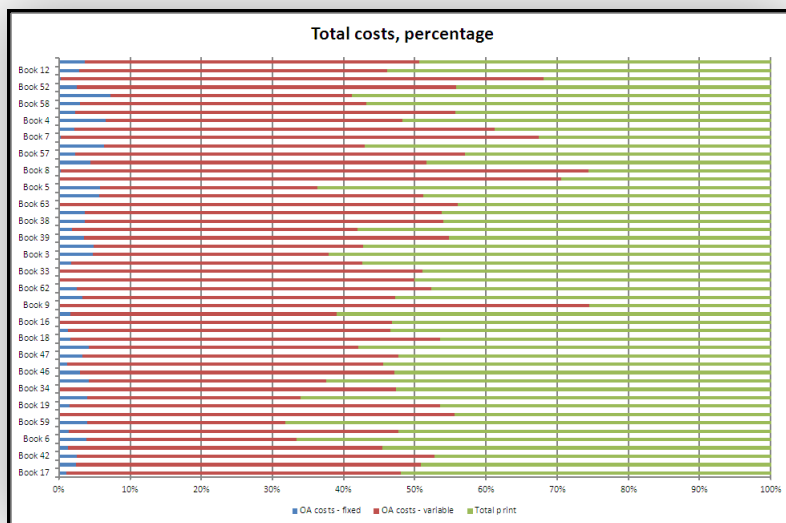
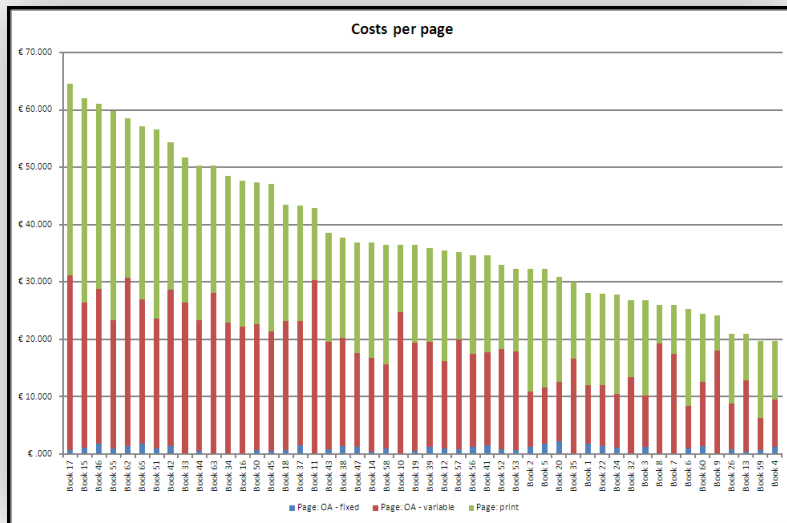


FIGURE 12. Total costs, percentage

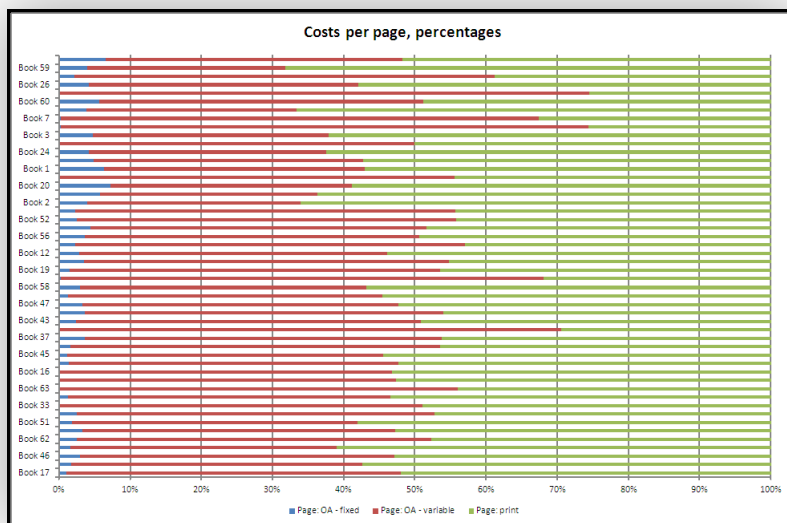
### 6.3.6.1 Costs per page

Charting the costs per book may be misleading, as it stands to reason that books with more pages may also be more expensive to produce. Therefore we have charted the costs, divided by the number of pages. Again, here we see large differences: the costs range from € 19.77 per page, to € 64.56. The chart below depicts the costs per page.



**FIGURE 13. Costs per page**

It is interesting to note that the percentages more or less stay the same, as is shown in this chart. The complete data is listed in the appendices.



**FIGURE 14. Costs per page, percentages**

### 6.3.7 Differences explained

When we look at the charts it becomes clear that the costs per book differ wildly, and that the length of the monographs is not a deciding factor. What then explains the differences in costs per book? The answer lies in looking at the categories that have the biggest influence on the costs. In other words: which expenses are the highest? If we take the mean costs per page, and look at the percentage per category, the following picture emerges:

**TABLE 2. Costs differences**

Open Access or Print	Category	Percentage	Mean costs	Median costs
Open Access	Peer review (fixed)	1.7%	€ 0.64	€ 0.58
	Platform (fixed)	0.9%	€ 0.27	€ 0.09
	Marketing	2.3%	€ 0.88	€ 0.89
	Editing/direct personnel costs	16.2%	€ 6.09	€ 4.74
	DTP	14.4%	€ 5.51	€ 4.64
	Overhead/indirect personnel costs	10.5%	€ 4.21	€ 3.59
	Other/direct costs	1.3%	€ 0.40	€ 0.00
	Royalties	0.2%	€ 0.05	€ 0.00
	Cover	2.3%	€ 0.93	€ 0.81
Print	Printing, binding	23.6%	€ 8.57	€ 8.59
	Distribution	12.3%	€ 4.63	€ 4.46
	Overhead/indirect personnel costs	5.0%	€ 2.16	€ 1.61
	Other/direct costs	2.7%	€ 1.14	€ 0.46
	Marketing	3.7%	€ 1.41	€ 1.23
	Royalties	3.0%	€ 1.42	€ 0.00
	<b>Total</b>	<b>100%</b>	<b>€ 38.32</b>	<b>€ 36.09</b>

More than three-quarters of the costs can be attributed to five categories: two related to print and three to Open Access. The expenses for OA-Editing/direct personnel costs; OA-DTP and OA-Overhead/indirect personnel costs are 41.1% of all expenses. On top of that, printing, binding and Print-Distribution amount to 35.9%. If we add this up, we see that 77% of the average costs can be attributed to those five categories. The effect of these five categories is paramount, and the next step is to see if the expenses per category differ strongly per title.

A simple way to do this is by using the difference between the mean – or arithmetic average – and the median. Outliers have a large influence on the mean: when a few values are far higher or lower than most of the other values, it immediately affects the outcome. In contrast to this, the median is the number found at the exact middle of the set of values. This makes it more robust: it is not influenced by outlying values. Therefore, if we compare the mean and the median values of the categories, these values should be close together for categories that have more or less the same value per book. When the values per category are very different per title, the mean and the median will be further apart.

The biggest differences can be found in these three categories:

- ▷ OA-Editing/direct personnel costs
- ▷ OA-DTP
- ▷ OA-Overhead/indirect personnel costs

Based on our data we can conclude that the differences in costs are most likely caused by the direct and indirect personnel costs and the cost for desktop publishing, which are all connected to creating the first digital copy. The costs for printing and distributing the paper copies are substantial, but they do not differ much per title. The differences in overhead costs are of course closely connected to the way a publishing organisation is structured, and it may also partly explain the differences for personnel costs. The costs for desktop publishing are related to the complexity of the book, and this may also be a factor in explaining the differences in editing and direct personnel expenses.

When we look at the way a monograph is produced, this makes perfect sense. Each manuscript is a unique representation of research, and therefore the setup of the first digital copy – our Open Access cost categories – will also be unique. Each publisher will standardize the process from manuscript to digital copy to a certain degree, but creating a print-ready copy will always require some interventions. In contrast, printing and binding are highly standardized processes, and the costs per page will differ much less. Here, differences may be caused by aspects like paper quality, type of binding etc.

### 6.3.8 Print versus PoD

We saw that the costs for printing, binding and distribution are a relative constant factor, compared to difference costings for the first digital copy. The question remains however, whether the choice for printing on demand (PoD) or the traditional way of printing has an effect on the costs. Furthermore, are the costs for printing a hardback significantly different from printing paperbacks?

To answer this question, the average printing, binding and distribution costs are listed in the following table:

**TABLE 3. Print vs. PoD**

	Avg. number of pages	Avg. costs: Printing, binding	Avg. costs: distribution	Total	Per page
PoD (n=11)	335	€ 2,307.55	€ 711.64	€ 3,019.19	€ 9.01
PB (n=19)	292	€ 2,114.74	€ 1,405.35	€ 3,520.09	€ 12.06
HB (n=20)	403	€ 3,884.23	€ 2,159.04	€ 6,043.27	€ 15.00

The books in PoD or printed in a paperback edition have roughly the same amount of pages (300), and the costs for printing are also more or less equal. Distribution is cheaper for PoD: no costs for storing the paper copies are involved. The hardback editions contain more pages, and the expenses for printing, binding and distribution is significantly higher.

### 6.3.9 The costs of monographs in the Netherlands – a model

We have set out to create a financial model of the costs of monographs in the Netherlands. Before, we have discussed the categories and we have seen that 5 of them are responsible for more than 75% of the expenses. Furthermore, the costs of editing, desktop publishing and overhead connected to the first copy are very different for each title.

How can we create a model that takes into account these differences? We cannot simply use the mean of each category. As discussed before, the mean is not robust: the influence of outliers is rather large. The solution to this is to remove the extreme cases: the books with the highest and the books with the lowest costs. The most expensive titles cost € 20,660 (170% of the mean costs) and € 17,548 (144% of the mean costs). On the other end of the scale we find € 6,082 (50% of the mean costs) and € 6,935 (57% of the mean costs).



The table below lists the outcome of this procedure. To assure clarity, the mean costs are also listed, in conjunction with the difference to the adjusted mean.

**TABLE 4. Costs Open Access and Print**

OA or Print	Category	Extreme cases removed (n=46)		All cases (n=50)	Difference	
					Percentage	Costs
OA	Peer review (fixed)	€ 205.68		€ 209.38	1.8%	€ 3.70
	Platform (fixed)	€ 113.04		€ 105.50	-7.1%	-€ 7.54
	Marketing	€ 263.04		€ 262.00	-0.4%	-€ 1.04
	Editing/direct personnel costs	€ 1,947.76		€ 1,915.94	-1.7%	-€ 31.82
	DTP	€ 1,791.41		€ 1,783.10	-0.5%	-€ 8.31
	Overhead/indirect personnel costs	€ 1,185.41		€ 1,267.30	6.5%	€ 81.89
	Other/direct costs	€ 145.65		€ 136.00	-7.1%	-€ 9.65
	Royalties	€ 25.83		€ 23.77	-8.7%	-€ 2.06
	Cover	€ 292.93		€ 293.50	0.2%	€ 0.57
Print	Printing, binding	€ 2,867.34		€ 2,864.95	-0.1%	-€ 2.39
	Distribution	€ 1,565.22		€ 1,554.21	-0.7%	-€ 11.01
	Overhead/indirect personnel costs	€ 591.38		€ 623.03	5.1%	€ 31.65
	Other/direct costs	€ 375.22		€ 357.85	-4.9%	-€ 17.37
	Marketing	€ 436.83		€ 431.86	-1.2%	-€ 4.97
	Royalties	€ 359.88		€ 389.23	7.5%	€ 29.35
	<b>Total</b>	<b>€ 12,166.62</b>		<b>€ 12,217.62</b>	<b>0.4%</b>	<b>€ 51.00</b>
	<b>Total OA</b>	<b>€ 5,970.75</b>	<b>49.1%</b>	<b>€ 5,996.49</b>	<b>0.4%</b>	<b>€ 25.74</b>
	<b>Total print</b>	<b>€ 6,195.87</b>	<b>50.9%</b>	<b>€ 6,221.13</b>	<b>0.4%</b>	<b>€ 25.26</b>
	Average number of pages	351		346		

In short, the – adjusted – average costs of publishing a monograph in the Netherlands are € 12,167. Almost half these costs – € 5,971 – are spent on creating a first digital copy. The rest are expenses for creating and distributing paper copies. This “average” book contains 351 pages.

Below, the costs are depicted in a chart. It clearly depicts the differences in categories. For instance, royalties amount to 3%, while printing and binding are 23% of the costs.

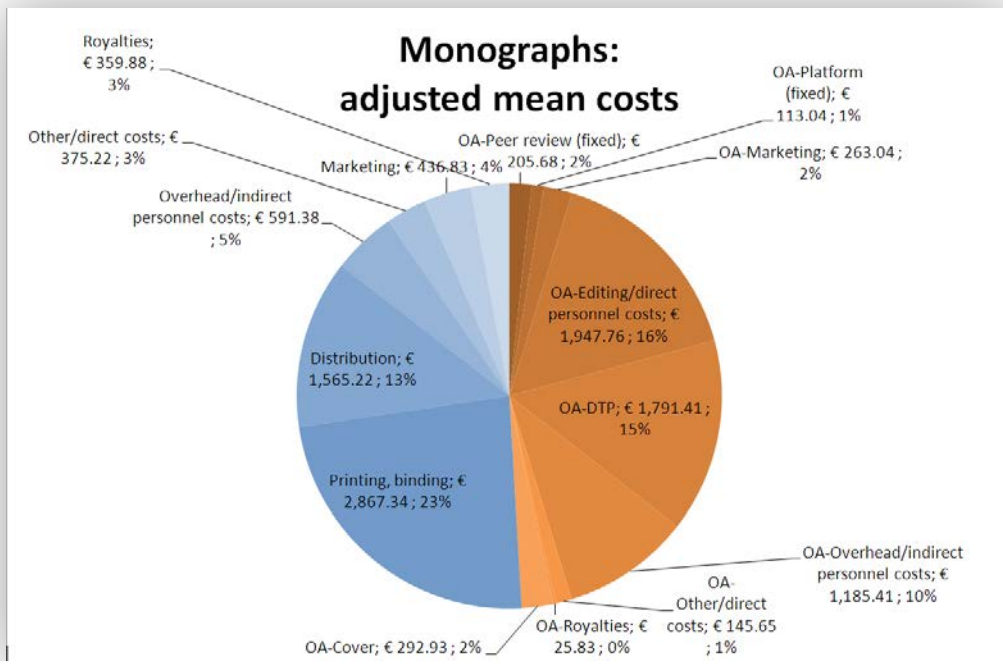


FIGURE 15. Monograph costs

### 6.3.10 A simplified model?

The model above specifies all costs in detail, but it is quite complicated. Furthermore, the exact amounts give a false sense of accuracy, as they are averages. The data in the appendices show a more diverse picture: the amount of money spent on each book and on each category differ wildly. Therefore, we discuss four simplified Open Access cost models:

- ▷ Open Access costs
- ▷ Open Access costs, adjusted
- ▷ Non-printing costs
- ▷ Non-printing costs, adjusted

All models use rounded figures, for improved clarity.

#### 6.3.10.1 Model: Open Access costs

This model follows closely the analysis and divides the costs for monograph publishing in two parts: Open Access costs and Print costs. The total costs are € 12,000, and 50% of these costs are Open Access expenses. If a funding council only wishes to subsidize the Open Access costs, the maximum grant would be € 6,000. This should cover the creation of the first digital copy plus the distribution on an Open Access publication platform.

#### 6.3.10.1 Model: Open Access costs, adjusted

The previous model basically uses the approach of 'one size fits all', based on the average costs. We could argue that this model only fits a standardised book of up to 350 pages – the rounded average number of pages in the model. How does this work out for books that contain 100 pages more, or 100 pages less? To compensate for this, we could also use a model where 75% of the Open Access costs are covered plus an amount for the number of pages above 350 pages. In this way, the books with a large number of pages are compensated more fairly, while smaller books do not receive a relatively larger amount of funding.

When we look at the titles used for the analysis, the average Open Access costs amount to € 5,970.75. When we round 75% of this amount, we find € 4,500 for books up to 350 pages. The Open Access costs per page are € 17.01. The rounded three quarters of this amount is € 12.50, which is the extra funding for all pages – the number of pages higher than 350, that is. Furthermore, the largest

amount spent on Open Access costs is € 9,940. Again, using our rounded 75% calculation, the maximum funding is set to € 7,500.

In short:

- ▷ books up to 350 pages receive € 4,500
- ▷ for larger books, the publisher receives € 12.50 per page (starting from page 351)
- ▷ the maximum funding is € 7,500
- ▷ publishers are expected to sell paper copies, along with the Open Access version

Of course, it is also possible to use publishers' costings to determine whether the funding of € 4,500 should be adjusted. However, there are considerable disadvantages to this approach. First of all, it requires extra efforts from the publisher. For smaller publishers, this is a relative greater burden compared to the large publishers. Moreover, the costs cannot easily be verified by the funder. Using a simple formula based on the number of pages is an efficient and simple solution.

#### **6.3.10.1 Model: Non-printing costs**

Another way of looking at the data would be to assume that the division of costs in Open Access and print categories is artificial. In the day-to-day business of publishing, most tasks need to be done, and it makes no difference if the monograph is published in a digital or paper form. Based on this, only the costs which are directly linked to printing and distributing should be excluded. We did see that the expenses for the three types (PoD, paperback and hardback) are quite different. If we round the total costs on € 12,000 and the cost for printing and distributing paper copies to € 4,500, the maximum grant amounts to € 7,500.

#### **6.3.10.1 Model: Non-printing costs, adjusted**

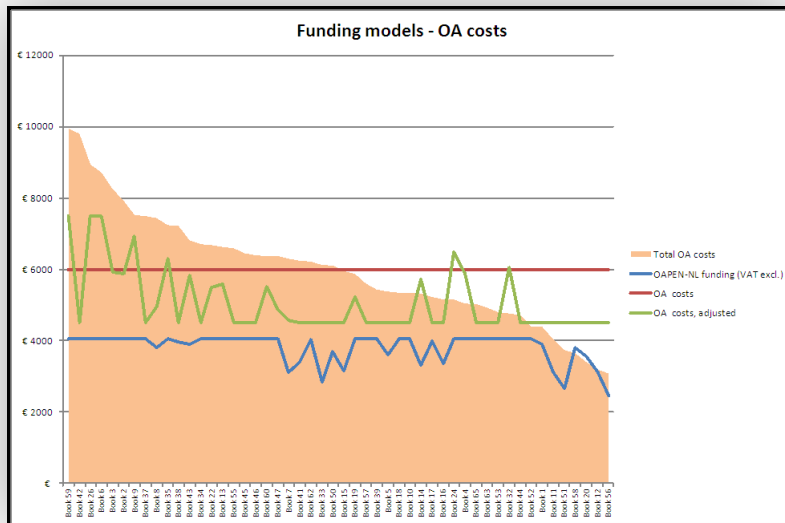
Here we can use the same type of calculation as the adjusted model for Open Access costs. We saw that the average non-printing costs amount to € 7,500 for a book of 350 pages. Here, the basic funding is set slightly less, to compensate for the large differences between the individual books: € 6,250. The costs per page are € 21.43, and here we set the amount to € 20. So, in this model all books up to 350 pages receive € 6,250 – a rounded 80% of € 7,500. Books with more than 350 pages get € 20 extra funding per page. Furthermore, the largest amount spent on non-printing costs is € 12,750. Again, the maximum amount is reduced slightly to compensate for outliers; it is set to € 10,000

In short:

- ▷ books up to 350 pages receive € 6,250
- ▷ for larger books, the publisher receives € 20 per page (starting from page 351)
- ▷ the maximum funding is € 10,000
- ▷ the publisher will not sell paper copies of the book, and only creates the Open Access version

### **6.3.11 Using the funding models**

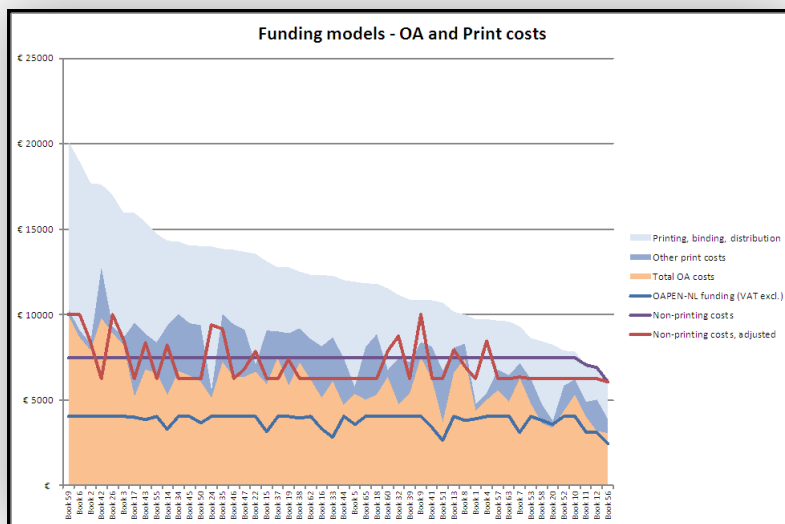
To measure the effects of the models described above, they are charted using the data from the books in the OAPEN-NL pilot. When we look at the first model – which maximises the funding on € 6,000 – it becomes clear that exactly half of the books require higher Open Access expenses, and the rest lower Open Access expenses. This is to be expected as we have based the amount on the average costs of all books. The adjusted Open Access costs model follows the Open Access costs more closely: only 12 of the 50 books would receive more funding than the expenses for Open Access.



**FIGURE 16. Funding Models – Open Access costs**

The first model requires € 300,000 – 50 times € 6,000 – and the second model requires € 253,200. If we assume that the funding for each book should not exceed the costs for Open Access publishing, we can calculate the difference between the funding and the actual costs. For the first model, this difference amounts to € 31,032. The difference for the adjusted model is € 9,955. In other words, the first model is extremely simple, but tends to deviate strongly from the actual costs. The adjusted model is slightly more complicated, but the outcome is closer to the actual costs.

The third model is quite different, as it looks at all costs and only discards printing and distributing. The publishers would not be able to recoup costs by selling paper copies, and the funding should therefore be higher. Here, the funding is maximised to € 7,500. When we take into account the total costs per book, only three titles cost less than € 7,500 to produce. This model requires a larger amount: here the total funding costs would be € 372,576.



**FIGURE 17. Funding models – Open Access and Print costs**

The total funding costs for the non-printing costs model is € 372,576. Again, we can look at the production costs minus printing, binding and distribution and see whether the funding exceeds the costs. This is the case with 21 of the 50 titles. When we calculate the difference between costs and funding, the amount is € 29,686.

The adjusted non-printing costs model is a little bit more complex, but the funding is also more flexible. Here, the total funding costs amount to € 354,172, which is € 18,404 less. If we look at the number of cases where the funding exceeds the costs, it is reduced to 19 cases. The difference between costs and funding is also lower: € 24,429. The publishers involved in the OAPEN-NL pilot all used a hybrid model, where the costs are recouped by selling paper copies. The hybrid model would not require the “Non-printing costs” model; if no paper copies would be created, this model could be considered.

The following table lists the four models, and how they would be applied on the books in the OAPEN-NL pilot:

**TABLE 5. Funding models**

Type	Total funding costs	Books: costs < funding	Difference: costs, funding	Published formats
OA costs	€ 300,000	25	€ 31,032	OA version Paper version
OA costs, adjusted	€ 253,200	12	€ 9,955	OA version Paper version
Non-printing costs	€ 372,576	21	€ 29,686	OA version only
Non-printing costs, adjusted	€ 354,172	19	€ 24,429	OA version only

### 6.3.12 Conclusion: choices for funding agencies

We have looked at the costs of monograph publishing in the Netherlands. Based on the project budgets of 50 books – published by nine different publishers – we have created a model of the costs involved. Furthermore, we have discovered that the expenses connected to the setup of the first digital copy vary the most. On average, the total costs for creating a monograph in the Netherlands is slightly over € 12,000; half of that amount is spent on creating a first digital copy. Printing and binding paper copies are responsible for about one-third of the total costs.

Recently, Science Europe has published a position statement on Open Access (Science Europe, 2013). In the statement, the European funding councils state their support, but also make quite clear that Open Access fees can only be funded if the costs structure is transparent and that any financial contribution should lead to lower costs for the publisher’s customers.

In the OAPEN.NL pilot the costs for monograph publishing in a Dutch context have been made very clear. Nevertheless, this cannot be said for monograph publishing in general. At this moment, there is almost no data available on the costs of publishing monographs in other European countries. While several publishers offer a fee for creating an Open Access monograph, it is not clear how these amounts came about. Further research may be required.

The second part of the Science Europe policy statement is harder to execute, especially as it is aimed at journal publishing, not at monograph publishing. We have seen in the introduction that publishing monographs is not sustainable if the costs must be recouped through sales, and Open Access publishing is seen as a viable alternative. The funding agencies have stated their support for Open Access. The question is how to do so for monographs. A possibility is to fund the costs for making a first digital copy openly available. The next question is what model should be used, and in what way could publishers comply with lowering of the costs?

A possible answer to this question can be found in the application of the model “Open Access costs, adjusted”. If publishers use a hybrid publication model, where paper copies are sold and an Open Access edition is made available, this model funds a sizable portion of the first copy costs. It does not cover all costs for the Open Access edition, but due to its flexibility more expensive books receive more funding, on average.

However, if the book is not published in a hybrid model, but as an Open Access edition only, it is not unreasonable to look at the total costs minus printing, binding and distributing paper copies. The model “Non-printing costs, adjusted” tries to achieve the same flexibility and fairness of the “Open Access costs, adjusted” model.

In both models, a balance is sought between covering all costs and finding the absolute minimum funding amount. Regardless of this, the goal of greater transparency of the costs of monograph publishing in the Netherlands has been reached. Hopefully, this will help to create an Open Access funding policy for monographs.

## 6.4 The effects of Open Access on sales and scholarly impact

### 6.4.1 Introduction

The OAPEN-NL pilot aims to increase the visibility, accessibility and impact of academic books. Part of the pilot has been set up to measure this, using quantitative methods. Here we look at the effect of Open Access monograph publishing on sales and scholarly impact. In the pilot, all publishers use a hybrid publication model, where paper copies are sold next to an Open Access edition. In the pilot, we have investigated whether the sales are affected in a positive or negative way. The same holds true for scholarly and societal impact. Does publishing books in Open Access enhance the usage, and does it have effects on citation counts?

The OAPEN-NL pilot is rather unique; there is very little research available that looks into the above mentioned effects for monographs. Authors that did look at evidence of whether free digital versions of a book have an effect on sales, such as Hilton III and Wiley, conclude that a correlation exists between a free e-book and increased print sales. Their research was carried out on an experimental group of 8 books and a control group of 6 books, both fiction and non-fiction (Hilton III & Wiley, 2011). In the realm of monographs, Snijder set up an experiment using three experimental groups of 100 books each and a control group of 100 titles. One of the outcomes was that making a book freely available did not affect the number of books sold; however, online usage of freely available books was significantly higher compared to the control group (Snijder, 2010).

Likewise, the discussion on the impact of monographs on scholars and society at large is not very widely discussed in the literature. Mendez and Chapman discuss the rate monographs are cited in the field of Latin American history (Mendez & Chapman, 2006). Snijder looks at download data from the OAPEN Library and uses it as a form of altmetrics (Snijder, 2013). Furthermore, Knowledge Exchange discusses the impact of Open Access beyond universities, but does not mention monographs (Knowledge Exchange, 2010).

In the field of Science, Technology and Medicine (STM) citation analysis is used to measure scientific impact. Measuring scientific impact in the field of Humanities and Social Sciences (HSS) – where monographs are far more common – is poorly developed compared to the field of STM. In the field of STM, the use of bibliometric measures such as the Journal Impact Factor (JIF) or the h-index is often discussed, although its application is controversial and often inappropriate. In the field of HSS – where articles play a smaller role in disseminating research results – similar tools are not widely available.

However, Nederhof and Linmans have discussed the usage of bibliometric tools in the Humanities and the Social Sciences. Nederhof investigated the possibilities of bibliometric research in the field of HSS and concludes that it is possible to use the same methods as deployed in STM. It could be done if more types of publications – monographs and journals not covered by ISI – are taken into account and if we would apply impact indicators that compensate for the smaller volumes of citations in the humanities and social sciences, compared to the field of STM (Nederhof, 2006). Linmans focuses on citations per author, focusing on lifelong citation data. This method aims to make more citation data available, which should lead to more robust results (Linmans, 2010). At this moment, these methods are not widely used. Harzig described Google Scholar as an

alternative source for citation analysis and Kousha and Thelwal explore the possibilities of Google Book search (Harzing, 2008; Kousha & Thelwall, 2009). According to Jump, the Thomson Reuters' Book Citation Index – established in 2011 – contains significant less books than indexed by Google Scholar (Jump, 2011).

Citation analysis of monographs is not without its problems. As writing a book – still a very important form of publication in humanities and social sciences – takes considerably longer than writing an article, the effects may not be visible within the time-frame of the pilot. Apart from the time-frame, the number of titles within a scientific field may influence the results. Citation research usually uses 100 or more articles that are all connected to the same scientific field (Antelman, 2004; Eysenbach, 2006). The groups used in the experiment do not contain the same number of related titles, and it is safe to say that the maximum number of titles rooted in one scientific field will not exceed 20.

The results of the OAPEN-NL pilot may help to shed more light on this subject. Before discussing the outcomes, the data set and the setup of the analysis will be explored in more detail.

### 6.4.2 The data set

The quantitative part of the pilot compares two groups of books: the 50 titles of the OAPEN-NL pilot, and a control group. When publishers applied for funding, they were also asked to provide a control title. In order to create a useful comparison, this book had to meet the following conditions:

- ▷ The book must discuss the same research area as the Open Access title;
- ▷ The book is not available in Open Access, but is available for sale in closed access;
- ▷ The book must be available in the Google Books program, but no more than 10% of the pages must be available for viewing. The Open Access titles must also be made available in the Google Books program, with 100% of the pages available for viewing;
- ▷ The book is published no more than one year before the Open Access title;
- ▷ The difference in print run between the book and the Open Access title should not exceed 15%;
- ▷ The difference in price between the book and the Open Access title should not exceed 15%.

By using these conditions, the differences between the Open Access titles and the control group were minimized. Because of the varying sizes of the publishers and the amount of books published, it was not possible to select 50 books for the control group. The control group contains 36 titles.

During the period 2011 – August 2013, the publishers were asked to deliver sales data and online usage data for each book in the pilot and each book in the control group. For the titles in the pilot, sales data is the number of copies sold from the time of publication until June 2013. The sales data of the books in the pilot group contains the number of copies sold from the time of publication. Here, the time of publication is earlier. Experience shows that most copies are sold in the first year of publication. Using the same period for both the titles from the pilot and the books in the control group would almost certainly result in skewed results.

The publishers were asked for the number of copies sold per month. If this data was not available, the total number of copies sold in a year was divided by the amount of months. An example may explain this: if a book sold 120 copies in its first year, and it was published in January, we assume that 10 copies were sold each month – the yearly sales are divided over 12 months. If another book has sold 120 copies in a year, but was published in July, we would assume that the total number must be divided by 6 months.

To measure the effect of Open Access on online usage, we looked at discovery and online consultation. In the library and information sciences, much emphasis is placed on citation advantage where articles published in Open Access are generally more cited than articles published in closed access. Discovery and – online – consultation are seen as implicit factors and are generally not discussed. A greater availability due to Open Access removes barriers for the prospective readers. The first barrier that is removed is unawareness of the existence of a publication. In other words: before a scholar may consider citing a certain publication, he or she must first be aware of its existence. Publishing in Open Access means that the publication is not only open to human readers,

but it also makes the publication available for search engines. Better availability should therefore lead to more indexing by search engines, which should lead to a higher discovery rate.

To measure this, the participating publishers were asked to deliver their usage data from the Google Books program. This platform was chosen because it enables publishers to decide – for each book individually – how much of the book is available online. In this way, by placing both the Open Access books and the control titles on the same platform, all circumstances remain the same, except for the amount of text that is available online. However, during the pilot period it became clear that the reporting functions of Google Books offered proved to be problematic: some publishers could not get any data at all, while others could only retrieve partial data.

From the reported data that was available, only “Book visits” and “Page views” are used. Book visits are used as an approximation to discovery: it was not possible to measure if a Book visit occurred by a ‘new’ reader or by a ‘returning’ reader. Therefore we cannot state that 78 Book visits are equal to 78 new readers of that title. If we assume that a percentage of those Book visits are made by returning readers, than the differences in Book visits between the groups still convey relevant information on the discovery rate. Online consultation was measured as the number of monthly page views a title received in the Google Book search program during the pilot period.

From the research cited above it becomes clear that citation analysis is used for assessing the scholarly impact of publications, and we also saw that its use can be problematic for monographs. However, at this moment no other instrument is available which would enable us to compare the Open Access titles to the books in the control group. The citation data was collected during the pilot period, using Google Scholar.

### 6.4.3 Results

Our main research question is: *what are the effects of Open Access publishing on the scholarly and societal impact of academic books?*

This research question can be broken down into smaller questions:

- Does publishing academic books in Open Access lead to higher sales figures of their paper counterparts?
- Does publishing academic books in Open Access lead to a higher discovery rate?
- Does publishing academic books in Open Access lead to more online consultations?
- Does publishing academic books in Open Access lead to higher citation rates?

The data was analysed using ANOVA (analysis of variance). The ANOVA procedure tests whether the outcomes could be explained by chance, if we assume that the variable tested – here: sales, Book visits, Page views and citations – is not affected by publishing books in Open Access. The chance is denoted as a value of ‘p’. If that value is lower than 0.05 – a chance less than 5% – the influence of Open Access is deemed statistically significant.

#### 6.4.3.1 Sales

First, we look at the number of copies sold of the Open Access books, compared to the books in the control group. Using the ANOVA procedure, we get the following result:

No significant effect of Open Access on monograph sales could be found,  $F(1,1366) = 0.084, p = .771$ .

In other words: we could not find any evidence that the sales of monographs were affected by Open Access publishing.



The following table contains the descriptive data. The mean number of books sold for books in Open Access is 8.67, while the mean number for the control group is 8.35. These figures are indeed very close.

**TABLE 6. Sales descriptive data**

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Closed access	565	8.35	18.008	.758	6.86	9.84	-10	200
Open Access	803	8.67	20.640	.728	7.24	10.09	-10	272
Total	1368	8.54	19.590	.530	7.50	9.57	-10	272

#### 6.4.3.1 *Discovery*

Let us look at discovery next. Here, the number of Book visits in Google Books to the Open Access books is compared to the titles in the control group. Using the ANOVA procedure, we get the following result:

There is a significant effect of Open Access on Book visits,  $F(1,681) = 13.783, p < .001$ .

In other words: the number of times a book was found in Google Books was positively affected by Open Access publishing.

The following table contains the descriptive data. The mean number of Book visits for books in Open Access is 755, while the mean number for the control group is 530. This is a large difference, which will also be visible in the correlated number of pages viewed.

**TABLE 7. Discovery descriptive data**

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Closed access	221	530.45	862.049	57.988	416.17	644.73	1	4960
Open Access	462	755.70	676.954	31.495	693.81	817.59	2	3963
Total	683	682.81	748.737	28.650	626.56	739.07	1	4960

#### 6.4.3.1 *Online consultation*

The third research question we want to answer is what is the effect of Open Access on online consultation? Here, the number of Page views in Google Books to the Open Access books is compared to the titles in the control group. Using the ANOVA procedure, we get the following result:

There is a significant effect of Open Access on Page views,  $F(1,681) = 25.8, p < .001$ .

In other words: the number of pages viewed in Google Books was positively affected by Open Access publishing.

The following table contains the descriptive data. The mean number of Page views for books in Open Access is 863, while the mean number for the control group is 561. Of course, the number of pages viewed is closely connected to the number of times a book has been found in Google Books.

**TABLE 8. Online Consultation descriptive data**

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Closed access	221	561,19	856,325	57,603	447,67	674,72	1	4960
Open Access	462	863,84	658,843	30,652	803,61	924,08	4	3963
Total	683	765,92	741,645	28,378	710,20	821,63	1	4960

#### 6.4.3.1 Citation rates

The last research question we want to answer is what is the effect of Open Access on citation rates? Here, the number of citations to the Open Access books found in Google Scholar is compared to the titles in the control group. Using the ANOVA procedure, we get the following result:

No significant effect of Open Access on citation rates could be found,  $F(1,67) = 0.13, p = .909$ .

In other words: we could not find any evidence that the citation rate was affected by Open Access.

The following table contains the descriptive data. The mean number of citations for books in Open Access is 2.89, while the mean number for the control group is 3.08. As discussed before, the results should be interpreted with caution as the group of books is small and the period is short.

**TABLE 9. Citation descriptive data**

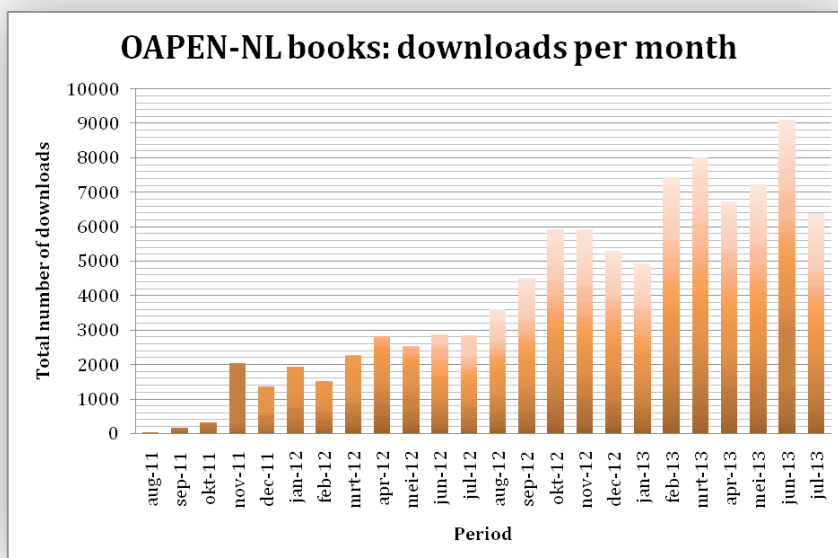
	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Closed access	19	2.89	3.526	.809	1.20	4.59	0	11
Open Access	50	3.08	6.694	.947	1.18	4.98	0	38
Total	69	3.03	5.966	.718	1.60	4.46	0	38

#### 6.4.4 The results from the OAPEN Library

Apart from the results discussed before, we could also look at the impact generated through the OAPEN Library. The main reason to publish books in Open Access is to remove barriers to access, and to enhance the usage. Looking at the usage data from the OAPEN Library, it is safe to conclude that this works extremely well.

The first books were added to the OAPEN Library in June 2011, the last books were added in November 2012. When we look at the period August 2011 until July 2013, the 50 books of the pilot were downloaded 139,757 times. This is a great success! Of course, some books were available for a longer period compared to others. When taken together, all books in the pilot could be accessed for 17 months on average. During one month, the average book was downloaded 165 times. So, on average, each book was downloaded almost 2,800 times. When comparing these download figures with average sales over the same period, 144 copies, it is clear that Open Access dissemination greatly enhances the impact of a book.

The appendix contains the amount of downloads for each book.



**FIGURE 18. OAPEN-NL books: downloads per month**

### 6.4.5 Discussing the results

To summarize the results: no evidence could be found on the effect of Open Access on sales nor on citations, but online usage – measured through Book visits and Page views in Google Books – is enhanced by Open Access. On average, discovery of Open Access books, measured as Book visits in Google Books, increased by 142%, and online usage, measured as Page views in Google books, increased by 209%. The effect of Open Access on online discovery and usage is also very clear when comparing average sales to average downloads for all Open Access books: 144 copies sold versus 2800 downloads.

When we look at the outcomes of the quantitative research and compare them to the responses from the authors and publishers, there are a few differences. We saw that with respect to the sales of Open Access books, both authors and publishers are divided in their opinions: 32% has no idea, 34% expects the sales to fall, 22% foresees rising sales and only 12% expects no effect. This discrepancy can be explained by the lack of actual data: at this moment, very little research is actually available. The results are in line with previous research on this subject (Snijder, 2010). Our explanation for the sales data would be that most books will be sold to academic libraries, where sales decisions do not yet take into account the free availability of electronic versions. However, in the future this may change, as academic libraries and their patrons become more aware of Open Access for monographs.

When asked about the influence of Open Access on citations, a large majority of 84% of the authors and publishers combined believe the amount of citations will rise when titles are published in Open Access. No one thinks they will fall. This contrasts with our results, where we could not find any effect of Open Access. However, the period is very short and the amount of available books is very small for citation analysis, and more research is needed to establish firmer conclusions.

Additionally, the publishers and the authors expected a positive effect on the online usage. And here the outcomes are in line with the expectations.

# 7 Recommendations

---

This chapter brings together recommendations drawn from the OAPEN-NL pilot and from some of the other Open Access book initiatives and projects described in the overview in chapter 5.

The objective of these recommendations is to improve Open Access for monographs, and they are aimed at all stakeholders in academic book publishing. Some of these recommendations have wider implications, but are included here because they will also benefit Open Access monographs.

## 7.1 Overall recommendations

- ▷ Monographs (peer reviewed academic books), particularly books that are the result of publicly funded research, should be made available in an Open Access edition.
- ▷ Funders and libraries should accept CC-BY-NC licenses, to allow publishers to sell premium editions.
- ▷ Funders and libraries with a preference for Open Access deposit (green Open Access) should allow a reasonable embargo period, to allow publishers cost recovery of publications.
- ▷ Funders and libraries with Open Access publication funds should require transparent fee structures for publication charges.
- ▷ Funders and libraries with policies for Open Access monographs should encourage or require deposit in a central, dedicated repository for monographs.
- ▷ There remains a need for awareness building and further education and dissemination of information about Open Access publishing. Continued advocacy towards authors and other stakeholders by funders, publishers and libraries as well as by authors themselves is needed to battle the misconceptions that exist about Open Access publishing.

## 7.2 Recommendations for funders

- ▷ Funders without separate Open Access publication funds should allow Open Access publication charges to be paid out of research grants. These charges should be payable after close of the research funding period.
- ▷ Funders that do have Open Access publication funds should extend these funds to include Open Access monographs.
- ▷ Funders with Open Access publication funds open for monographs should require Open Access as a condition for paying publication charges.
- ▷ Funders that already provide financial support for monograph publishing should encourage Open Access availability or consider changing their policies to require an Open Access edition.

## 7.3 Recommendations for libraries

- ▷ Libraries that have the means to do so should consider setting up Open Access publication funds.
- ▷ Libraries that already have Open Access publication funds should extend these funds to include Open Access monographs.
- ▷ All libraries (with or without Open Access funds) should consider reserving part of their acquisitions budget in support of Open Access initiatives (Open Access publications and Open Access service infrastructures).
- ▷ Libraries should consider joining consortium based models designed to support Open Access publishing (such as KU, OpenEditions, OLH).
- ▷ Libraries supporting campus based publishing should encourage Open Access publication and consider Open Access mandates, allowing a reasonable embargo period in the case of books.

## 7.4 Recommendations for publishers

- ▷ Publishers should provide Open Access monograph publishing as a service to their authors and to research funders and universities.
- ▷ Publishers providing Open Access monograph publishing as a service should develop clear and transparent policies for quality assurance, licensing and Open Access fees.<sup>26</sup>
- ▷ Publishers should consider joining DOAB to increase discoverability of their Open Access books and contribute to an authoritative list of Open Access book publishers.
- ▷ Publishers should consider making back list and out of print titles available Open Access.
- ▷ Publishers can consider promoting Open Access for monographs by encouraging contributions from their stakeholders and supporters to fund Open Access publications.

## 7.5 Recommendations for authors

- ▷ Authors should seek a reputable Open Access publisher for their manuscript (such as listed in DOAB).
- ▷ When negotiating an agreement with publishers, authors should retain their copyright, grant publishers the right to publish under CC-BY or CC-BY-NC licenses, and retain the right to self-archive the published Open Access edition in a repository after a reasonable embargo period.
- ▷ Authors should not demand CC-BY-ND, unless there are justifiable concerns of controversy or misuse or by third parties.

## 7.6 Recommendations for future research

- ▷ Research into scholarly and societal impact and altmetrics for Open Access monographs.
- ▷ Research into transparent approaches to publication charges for hybrid publishing models.
- ▷ Research into added value of premium e-book offerings.
- ▷ Research into existing quality assurance practises for monographs and future models for quality assurance for Open Access publications.

---

<sup>26</sup> Many experiments have been or are conducted at the moment with alternative forms of peer review. The open review Kathleen Fitzpatrick conducted for her book *Planned Obsolescence* is probably the most well-known example. See: Kathleen Fitzpatrick, *Planned Obsolescence: Publishing, Technology, and the Future of the Academy* (NYU Press, 2011).

- ▷ Research into sustainable business models for Open Access monographs, to counter the ambivalence and insecurity that still exists about their sustainability, especially in an international framework.

## 7.7 Recommendations for OAPEN

- ▷ OAPEN should work with publishers to improve quality assurance, using a flexible approach in light of changing practices and remaining open to alternative forms of peer review such as open or peer-to-peer review.
- ▷ In light of the users need for clear but flexible peer review criteria, it is recommended that CrossMark is further introduced as a transparent system to improve quality assurance for Open Access books.
- ▷ The OAPEN calculation model needs to remain open to change. Although the OAPEN model was overall seen as accurate, other models may also be suitable.

# 8 Appendix 1: Project description OAPEN-NL

---

## 8.1 Project description

During a two-year period, at least 50 academic books covering a range of different disciplines will be made freely accessible via the internet immediately following publication. Academic publishers will receive a fee for this. The project, OAPEN-NL, has been established in order to gain experience of this new form of book publication and collect data on the effects of enabling Open Access.

### 8.1.1 Background and research design

Despite the increased options for enabling public access to information, the availability of book publications remains fragmented and limited, especially in the Humanities and Social Sciences. This means that there is an imbalance in the availability of academic literature between articles and books. The reduced purchase by libraries of monographs has resulted in a significant fall in the average circulation of academic books despite the fact that the number of books actually published in this period has increased. As a result, the dissemination and accessibility of academic information has become inadequate.

By publishing digitally in Open Access, an effort is being made to improve the dissemination and accessibility of academic information. Both in the Netherlands and internationally, there is an increased focus on Open Access to the results of academic research. The efforts made in this area have so far primarily concerned academic articles and there has been very little focus on academic books. The aim of this project is to put right the current deficiencies in terms of Open Access for academic books and by extension also for the Humanities and Social Sciences.

OAPEN-NL builds upon the results achieved in the European OAPEN project 'Open Access Publishing in European Networks' launched in September 2008. The OAPEN project aims to develop a long-term European approach to achieving the supply, visibility and usability of Open Access monographs. It also intends to boost the creation of new publications through the development of forward-looking methods of publication.

The general models and protocols developed within the OAPEN project are being assessed in OAPEN-NL in terms of their specific practicability in the Dutch context in order to gain knowledge and experience of both the publication and funding of academic books in Open Access. The project will be implemented in collaboration with a range of academic publishers and academic institutions in the Netherlands. OAPEN-NL covers the whole publication cycle and evaluates the results. This will result in a public report including recommendations and guidelines for a new way of publication for Open Access monographs.

The results from the project will be shared with similar national projects in other European countries in order to develop international recommendations for the Open Access publication of academic books.

## 8.2 Aim

The primary aim of the pilot is to test a publication model for Open Access books and to create transparency into the costs and procedures involved. This with the ultimate objective of increasing the visibility, accessibility and impact of academic publications.

### 8.2.1 Objectives

The specific objectives are:

- ▷ To delineate the models developed in the OAPEN project in the Dutch context, test these in practice and evaluate the results in order to develop a practical framework for the Open Access publication of academic books in the Netherlands.
- ▷ The issuing of a public report with recommendations and guidelines for the publication of Open Access monographs, including quality standards and a legal framework (peer review procedures, access requirements).
- ▷ Enlisting the involvement of stakeholders in academic communication in the introduction of Open Access publication of academic books and generating more widespread support.
- ▷ Conducting research into experiences with, and the advantages of, the Open Access publication of academic books and publishing the results in the academic community.
- ▷ Sharing the results of OAPEN-NL with similar projects abroad, in order to help promote standardization and international acceptance.
- ▷ Extending the context of Open Access *articles* to Open Access *publications* (including books) in order to rectify the current deficiencies with regard to academic books (and by extension large sections of the Humanities and Social Sciences) in terms of Open Access.

## 8.3 Organisation

OAPEN-NL is being implemented in collaboration with academic institutions and academic publishers. The project partners are NWO (Netherlands Organisation for Scientific Research), KNAW (Royal Netherlands Academy of Arts and Sciences), VSNU (Association of Universities in the Netherlands), UKB (Dutch Association of the University Libraries and National Library of the Netherlands), the SURF Foundation and OAPEN (via the coordinator Amsterdam University Press (UvA)). OAPEN-NL is open to all academic publishers. The task allocation is as follows:

- ▷ Steering Committee: NWO, OAPEN, SURF – ultimately responsible for the project
- ▷ Project Group: NWO, OAPEN, SURF – project management and implementation
- ▷ Selection Committee: three members under the chairmanship of the chair of the OAPEN Scientific Board – an independent committee ultimately responsible for the evaluation of publishers and publications
- ▷ Monitoring Committee: NWO, OAPEN, SURF, VSNU, KNAW, UKB – responsible for receiving and discussing reports, evaluating results and determining guidelines and recommendations for Open Access book publications.

## 8.4 Funding

OAPEN-NL is being funded by means of a grant from the PRIMA funds (ICT Policy Agenda Implementation Programme) and a contribution from NWO. The NWO contribution will be used to set up a temporary publication fund for Open Access book publications. The management and administration of the publication fund will be the responsibility of NWO. Authors can approach their publishers to apply for funding from the publication fund. The maximum contribution for Open Access books has been set at €5,000.



## 8.5 Application procedure

Academic publishers can apply for Open Access publication projects. This involves the use of an application form on which information about the relevant publication is provided. Applications will be assessed according to criteria relating to quality (peer-review), access and technical preconditions.

These criteria will be submitted in advance to and approved by a Selection Committee. This committee will check the selection of publications based on a report of all applications. In the event of ambiguity, the overrepresentation of individual publishers or an excessive number of manuscripts, applications will be submitted in advance to the Selection Committee. New applications for Open Access publications will be processed up to three months before the end of the project period.

### 8.5.1 Criteria and conditions

All academic publishers are eligible to take part in OAPEN-NL. Academic books (peer reviewed monographs and collections) that are made available immediately after publication are eligible for a contribution from the publication fund. All academic disciplines are eligible to participate, but priority is accorded to results from research funded in part by the NWO. Open Access editions will be included in the OAPEN Library on a non-exclusive basis. Efforts will be made to include a wide representation of (Dutch) academic publishers, participation involving several titles from the publisher and a wide spread across academic disciplines.

Publishers must be willing to cooperate with the research into the effects of enabling Open Access and provide information on the costs of publication and the sales figures for other editions. Information about individual titles will be handled confidentially and will not be made public. The research into the effects of enabling Open Access will focus on a control group of similar publications from participating publishers which have not been made available in Open Access.

### 8.5.2 Period

The project period runs from 1 October 2010 until 1 October 2012. The publication fund will be open to applications during the period from 1 January 2011 until 1 July 2012.

## 8.6 Dissemination

The approved publications will be included in the project and placed in the OAPEN Library. In this, the OAPEN Library will operate not as an exclusive publication channel, but as a central repository for all participating publications. In addition, publications will preferably also be made available with 100% open access via Google Book Search. Publications must be issued with a Creative Commons license.

## 8.7 Work packages

The OAPEN-NL project is divided into six work packages:

#### *WP1: Project Management*

Project management focuses on the overall coordination of activities, the coordination of work packages, scheduling and organisation of meetings, monitoring results and costs, compiling reports. This work package also includes technical management.

#### *WP2: Providing support to users; Guidelines and procedures for publications*

During the first two months of the research, a number of guidelines and protocols will be established, including calculation models for Open Access books, quality requirements for Open Access book publications, the legal framework for Open Access and guidelines for submission and application procedures for publishers.

*WP3: User survey and evaluation*

As soon as the publication fund is opened, the Project Group will begin evaluating its use. At three separate points during the project, progress will be evaluated (two interim evaluations and the final evaluation).

*WP4: Quality management and selection*

Applications will be assessed in line with pre-determined criteria approved by the Selection Committee. Publishers and authors can also submit an objection to the Selection Committee in the event of rejections.

*WP5: Management of publication fund and financial reporting*

The Project Group is responsible for the project administration, but NWO will take responsibility for the establishment and management of the publication fund. The interim and final evaluations include financial reports. During the first two months, the financial guidelines for applications and reports will be drafted. The publication fund will also be established at this time.

*WP6: Dissemination*

Publishers and authors will be provided with information throughout the entire project. A central information point will be established in the form of a website. The project will culminate in a Seminar, organised by the SURFfoundation.

## 8.8 More information and contact

Project website: [www.oopen.nl](http://www.oopen.nl)  
Eelco Ferwerda, [info@oopen.nl](mailto:info@oopen.nl)

## 9 Appendix 2: Chronology of project activities

---

This chapter depicts the highlights of the pilot period, in chronological order.

### 9.1 Start of the project, October 2010

The project is implemented by OAPEN (Open Access Publishing in European Networks) in collaboration with NWO (Dutch Organization for Scientific Research) and SURFfoundation, with support from the Ministry of Education, Culture and Science. The results of the project will be shared in a supervisory committee, which in addition to the institutions mentioned above will be attended by the Royal Academy of Sciences (KNAW), the national platform of university libraries and the National Library (UKB) and the Association of Universities (VSNU). The project period runs from October 1, 2010 to October 1, 2012. The publication fund is open to books published in the period from January 1, 2011 to July 1, 2012, and applications can be submitted during three moments.

### 9.2 Kick-off meeting OAPEN-NL, 17 January 2011

Scientific publishers were invited to an information session on OAPEN-NL. At this meeting, the project was explained and the application process and the role of publishers were discussed.

### 9.3 First Round, April 2011

During the first round, 15 books were submitted, 13 were approved immediately, and two were further discussed. These titles were approved in August, after consultation on the review procedure. The first round was attended by five scientific publishers. During the first round € 70841.19 was requested; funding granted: € 70,841.19

### 9.4 Workshop with publishers, 2 June 2011

During this workshop, the calculation model was discussed. The discussion was based on the model developed by OAPEN-NL, plus the costing models of two publishers. The goal was to create better insight in possible costing models.

### 9.5 Second Round, September 2011

In September the second round of took place. In this round, 35 applications were submitted by six different publishers. Of these, 25 requests were granted. The total result of the first two rounds of

applications is 40 approved titles by nine different publishers. During the second round € 193,651.66 was requested; funding granted: € 116,043.16

## 9.6 Third round, March 2012

In March, the third and final round of OAPEN-NL applications took place. In this round, fifteen titles were submitted by five different publishers. Eleven titles were accepted. The total result of the pilot is fifty approved applications by nine different publishers. During the third round € 75218.99 was requested; funding granted: € 52,731.50.

Total funding paid: € 239,615.85

## 9.7 Workshop 4 October 2012, first results and presentation of CrossMark

On Thursday, October 4th the second OAPEN-NL workshop took place in The Hague, courtesy of NWO. In addition to representatives of the participating publishers, NWO, SURF and OAPEN-UK were invited. Caren Milloy of JISC Collections reported on the first results of the OAPEN-UK pilot.

The first results of the OAPEN-NL research were presented. Although the results were preliminary and should be measured over a longer period, the results were that publishing in Open Access has a positive effect on the discovery and usage and also has a slightly positive effect on sales. We saw that the final results differ slightly: no effect on sales could be established.

The transition to online publishing models and in particular Open Access models creates the need for assessing the credibility and quality of monographs. The workshop discussed CrossMark (from CrossRef). Through this service enables the reader to see a status window showing information about the publishing process and whether updates are available. OAPEN-NL in collaboration with JISC Collections proposes to introduce CrossMark in the context of the two pilots.

## 9.8 Kick-off meeting 8 February 2013, Introduction CrossMark

On Friday, February 8th a kick-off meeting took place at the JISC offices in London, with representatives from OAPEN-UK and OAPEN-NL. The meeting discussed the project plan and actions to introduce CrossMark in both pilot projects.

## 9.9 OAPEN-NL Final seminar, 22 October 2013

On Tuesday, October 22nd the results of OAPEN-NL will be presented at the Final seminar, held at SURF. The seminar will open with a keynote from Professor Dr. Wiljan van den Akker, Dean of the Faculty of Humanities of Utrecht University, and end with a panel discussion about the future of Open Access for monographs in the Netherlands, with participants from the various stakeholder perspectives.

# 10 Appendix 3: Data Qualitative Research

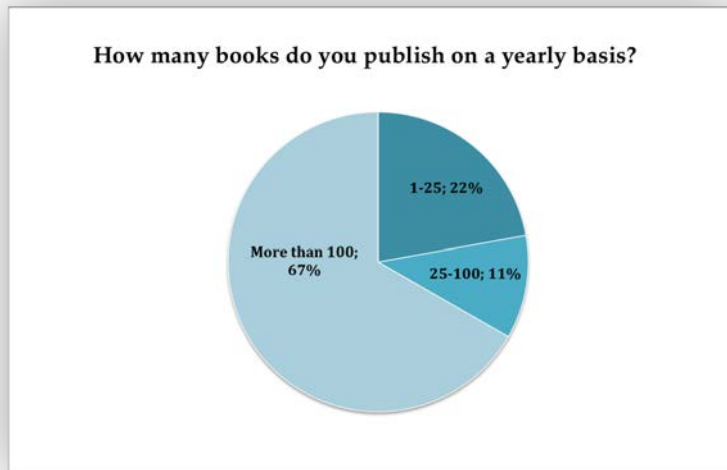
---

Publishers<sup>27</sup> taking part in the survey

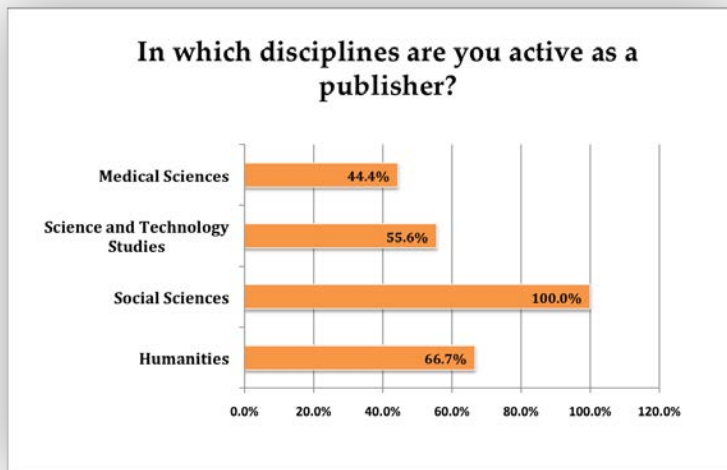
- ▷ Koninklijke van Gorcum
- ▷ IOS Press B.V.
- ▷ Springer Science & Business Media
- ▷ Techne Press
- ▷ Wageningen Academic Publishers
- ▷ Koninklijke Brill NV (2x)
- ▷ KITLV Press
- ▷ Amsterdam University Press

---

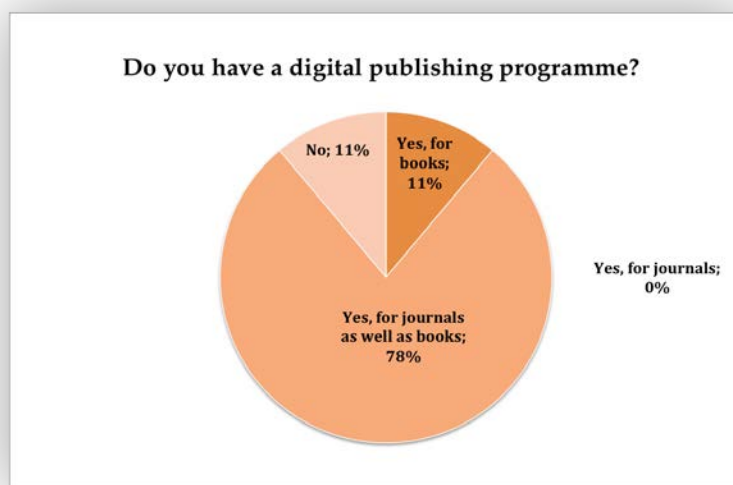
<sup>27</sup> Due to a personnel switch Leiden University Press was not able to complete the survey as the publisher has not been part of the original application procedure. Contact with the publisher has been had however and their comments and suggestions regarding the project will be part of this data evaluation and analysis.



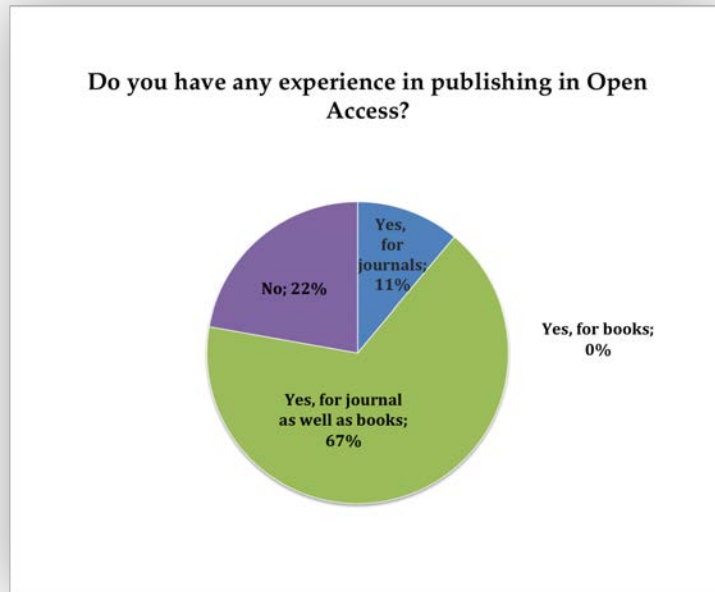
**FIGURE 19. Publishers. Amount of books published yearly (N=9)**



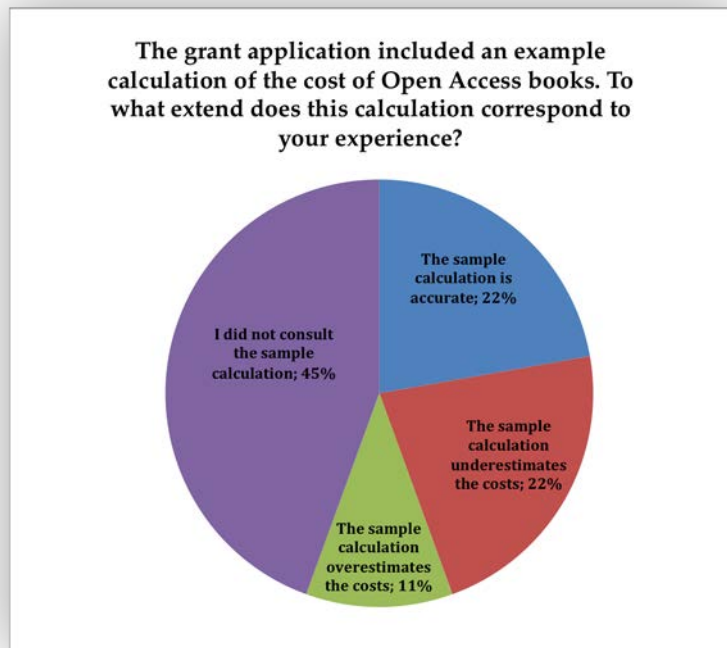
**FIGURE 20. Publishers. Disciplines active (N=9)**



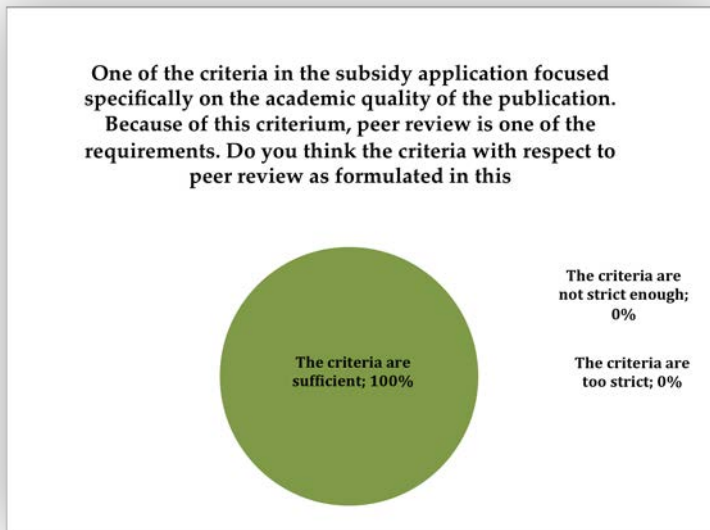
**FIGURE 21. Publishers. Existing digital publishing programmes (N = 9)**



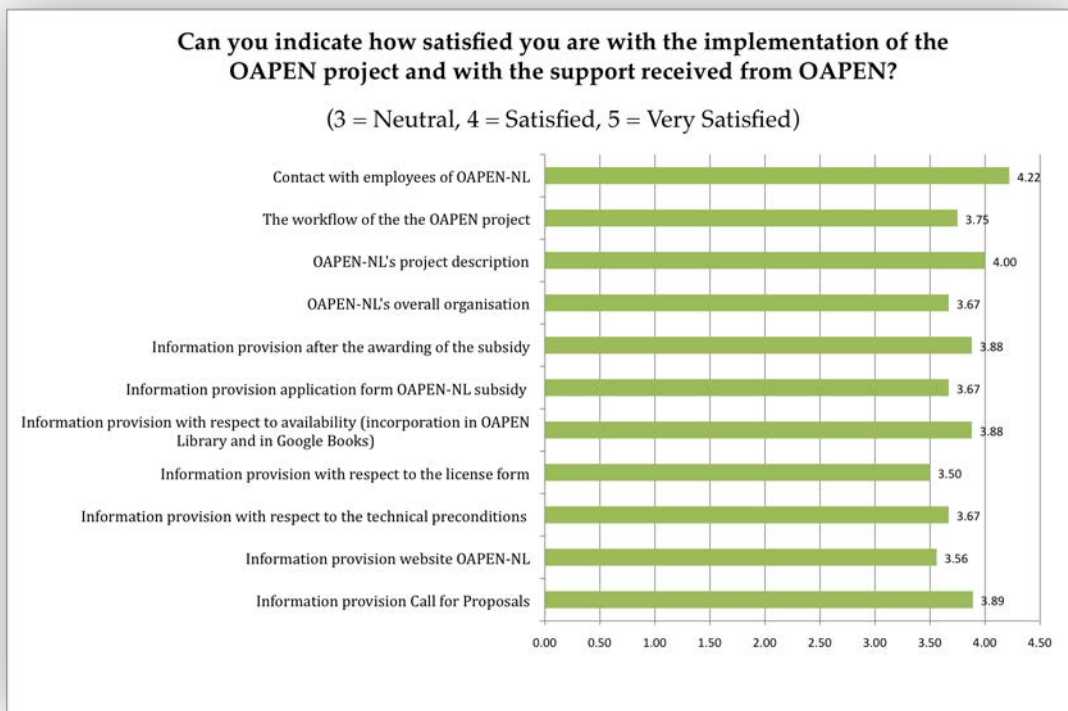
**FIGURE 22. Publishers. Experience with Open Access publishing (N = 9)**



**FIGURE 23. Publishers. Sample calculation (N = 9)**

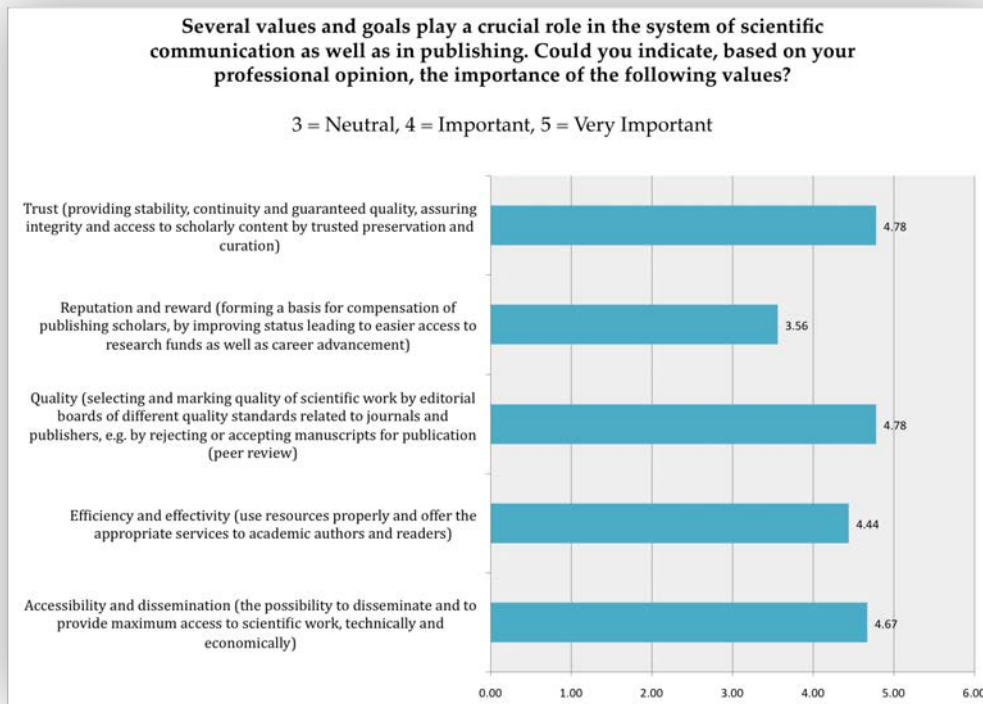


**FIGURE 24. Publishers. Peer review criteria (N = 9)**

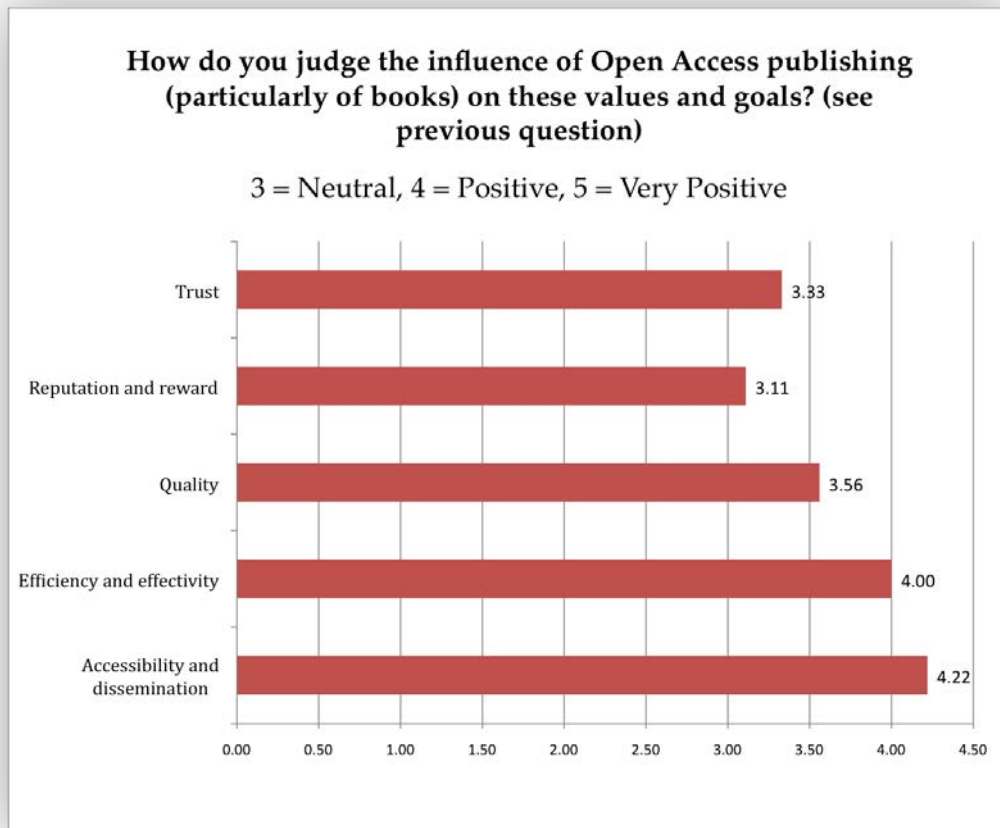


**FIGURE 25. Publishers. Information provision and project implementation (N = 9)**

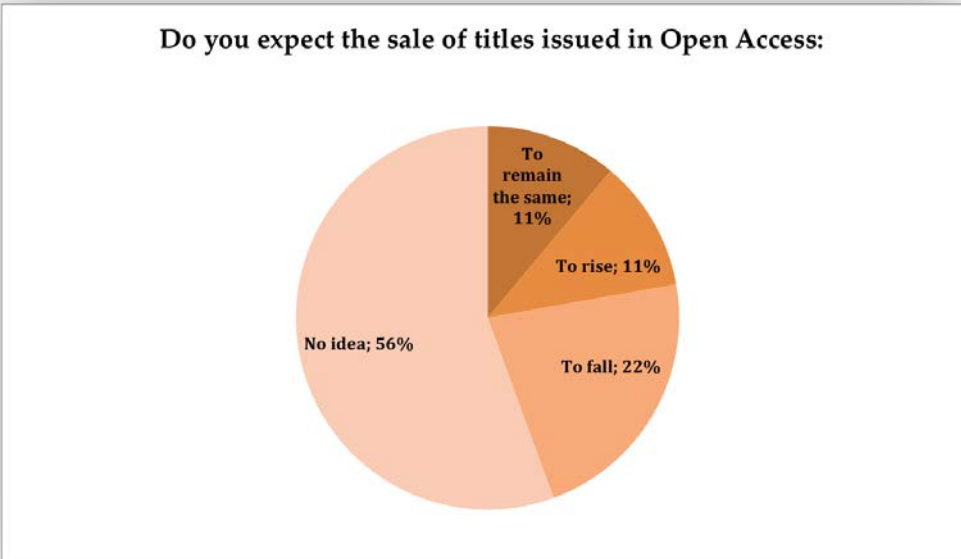




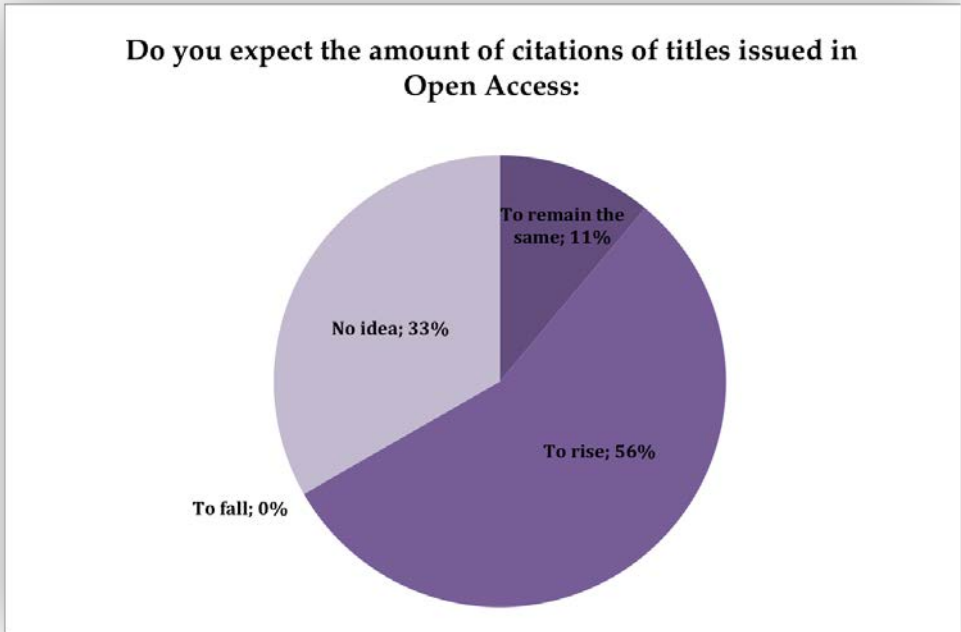
**FIGURE 26. Publishers. Values in scholarly communication (N = 9)**



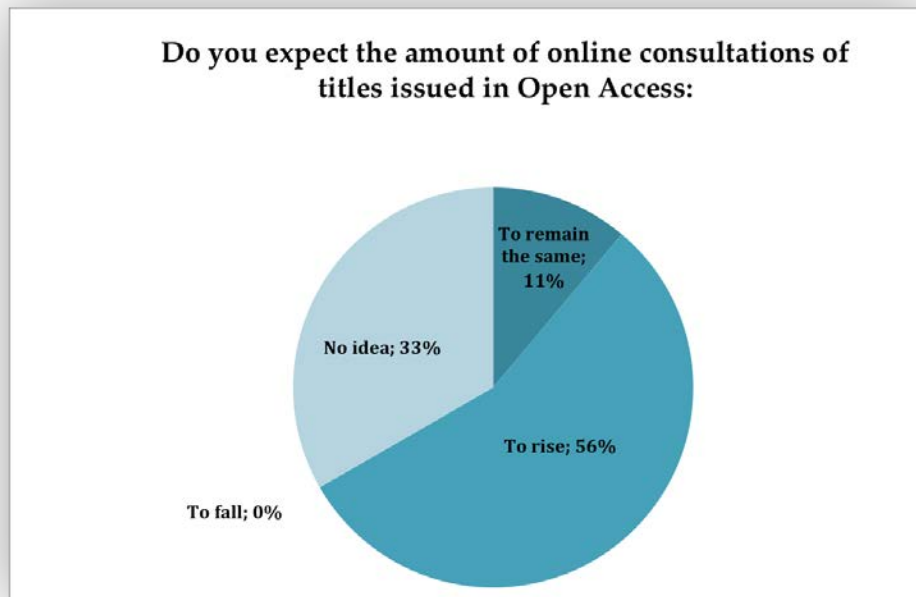
**FIGURE 27. Publishers. The influence of Open Access on the values in scholarly communication**



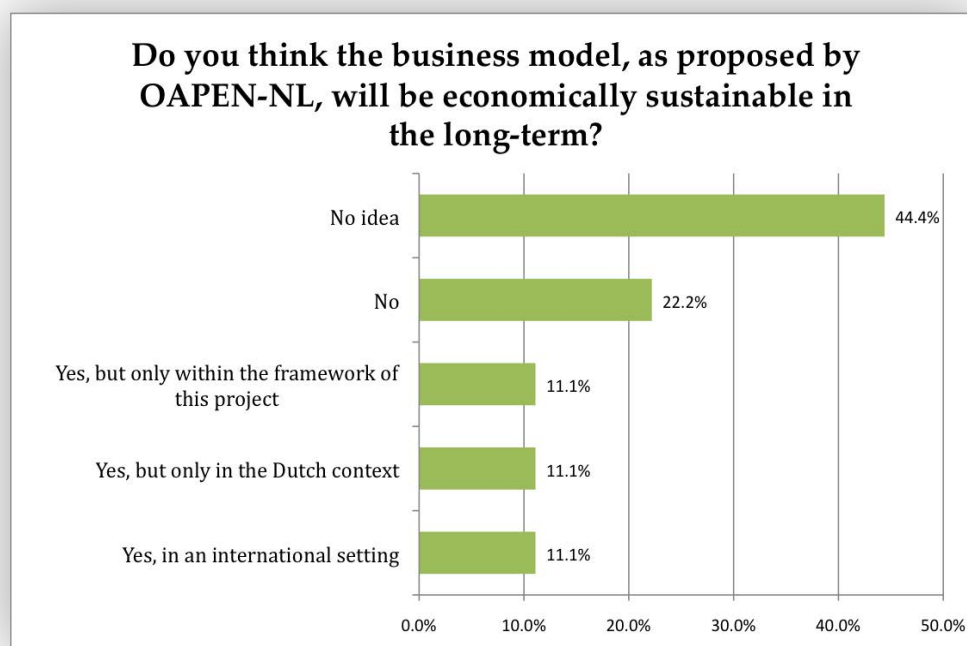
**FIGURE 28. Publishers. Expected influence Open Access on sales (N = 9)**



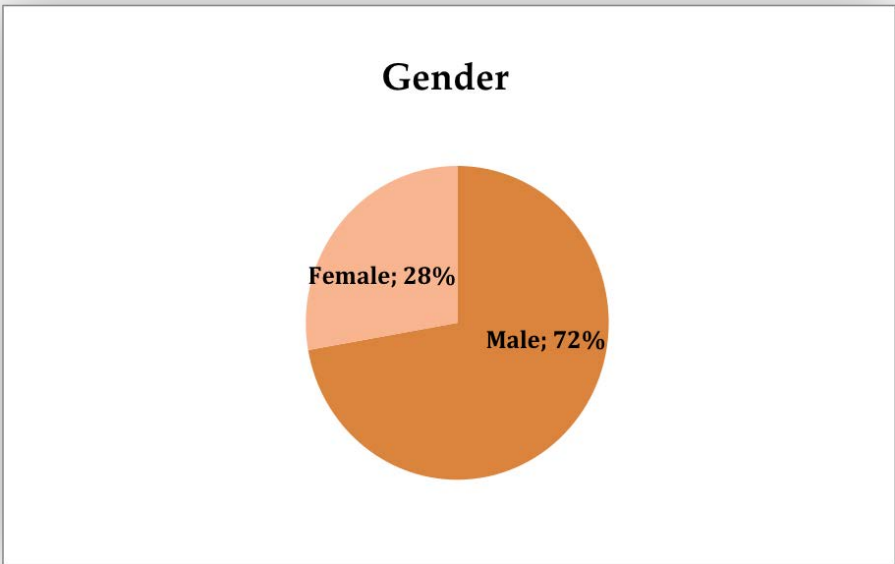
**FIGURE 29. Publishers. Expected influence Open Access on amount of citations (N = 9)**



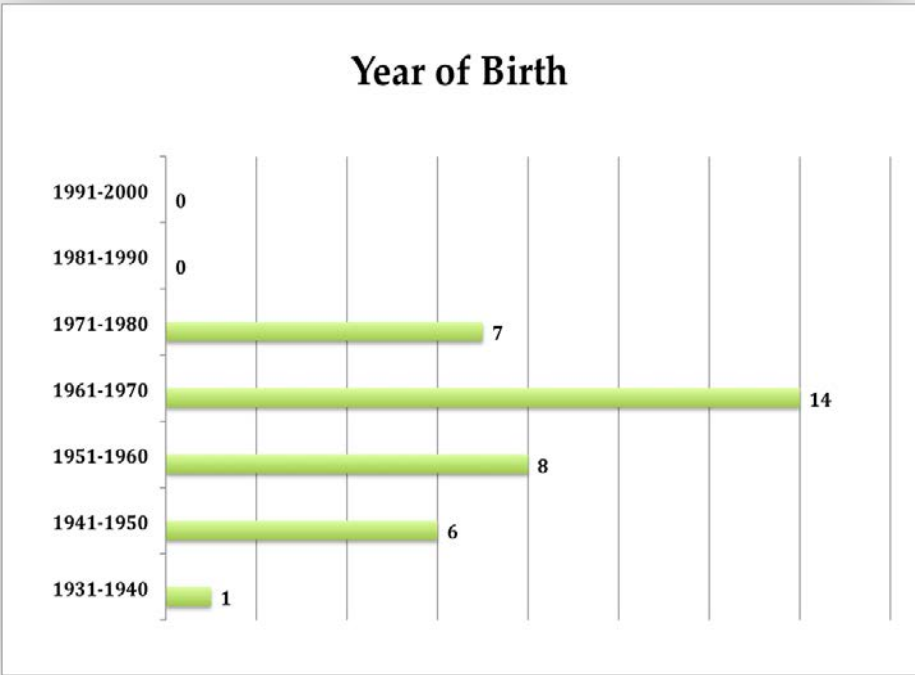
**FIGURE 30. Publishers. Expected influence Open Access on amount of online consultations (N = 9)**



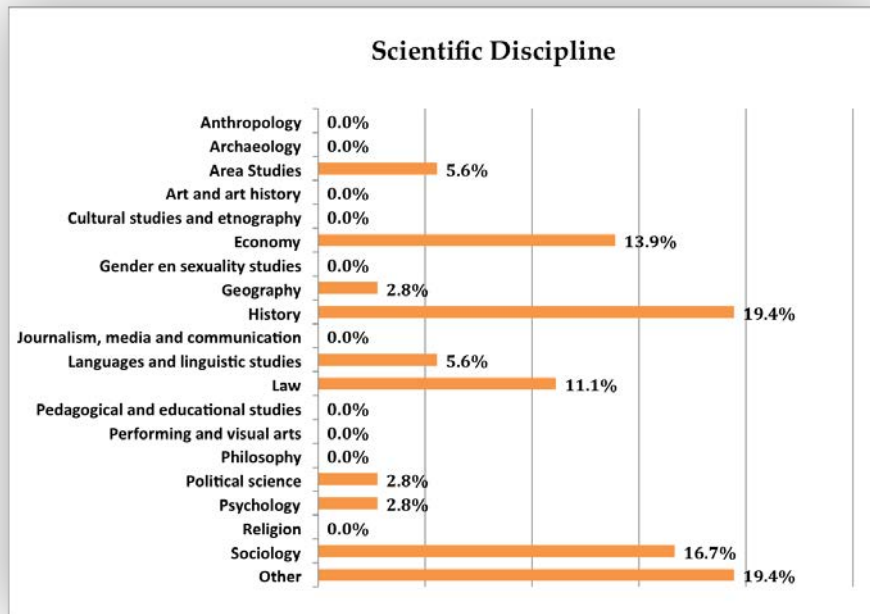
**FIGURE 31. Publishers. Sustainability of the OAPEN-NL business model (N = 9)**



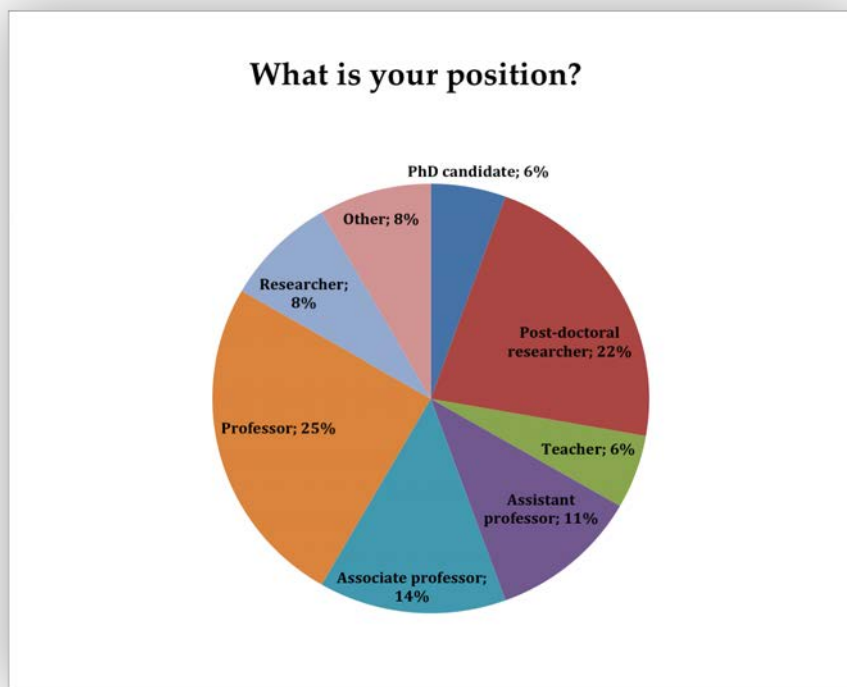
**FIGURE 32. Authors. Gender (N = 36)**



**FIGURE 33. Authors. Year of Birth (N = 36)**

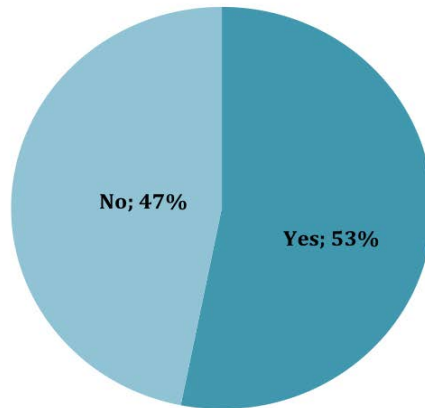


**FIGURE 34. Authors. Scientific Discipline (N = 36)**



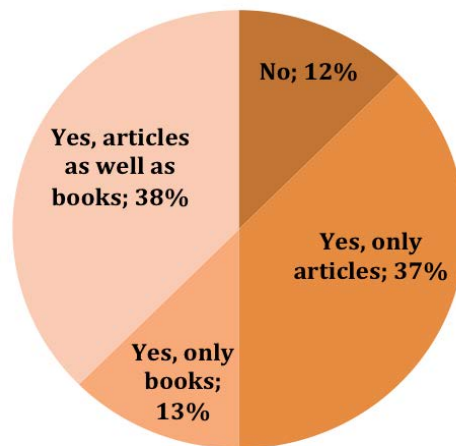
**FIGURE 35. Authors. Academic Position (N = 36)**

**Were you familiar with Open Access publishing before you got involved in this project?**

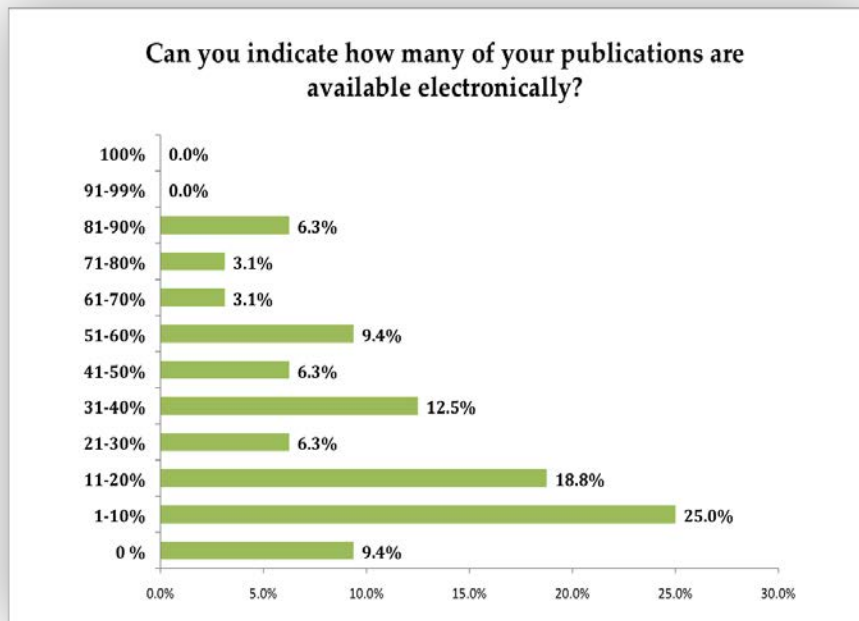


**FIGURE 36. Authors. Familiarity with Open Access (N = 32)**

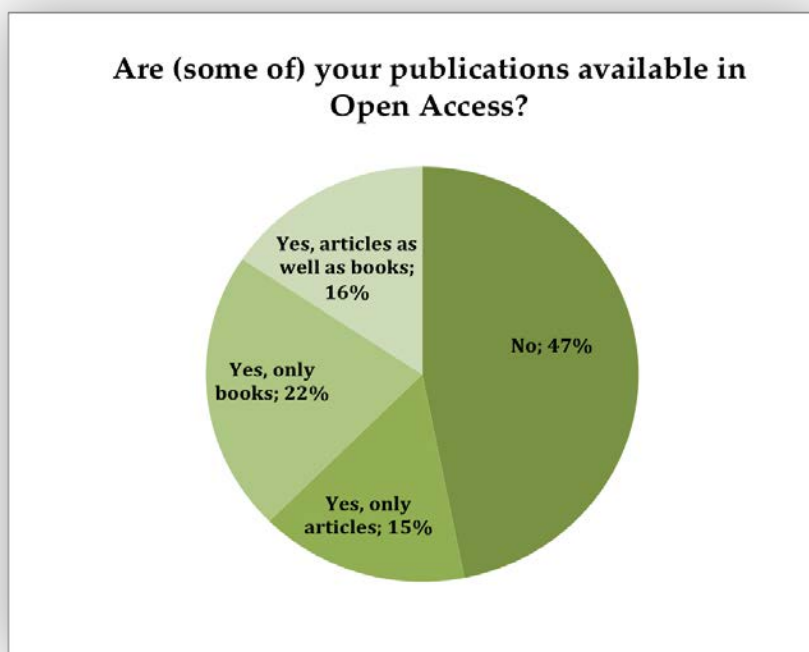
**Are (some of) your publications available electronically?**



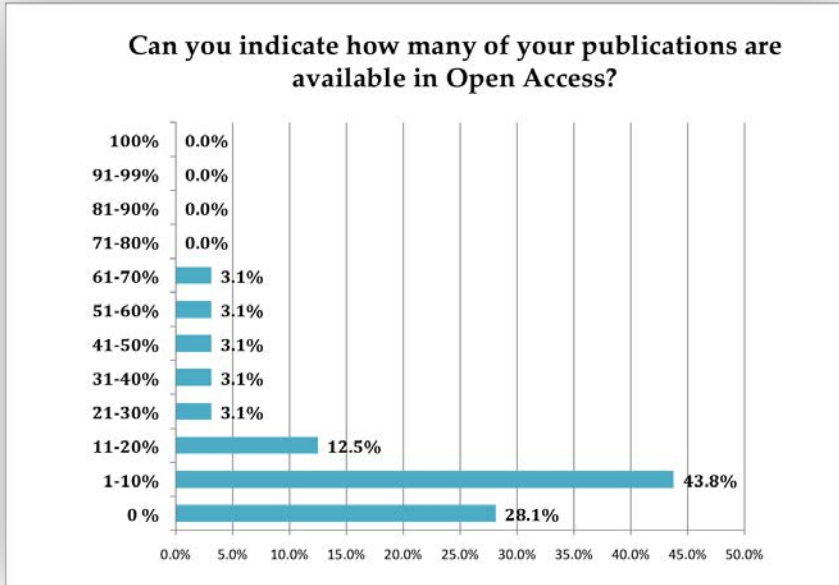
**FIGURE 37. Authors. Electronic availability of publications (N = 32)**



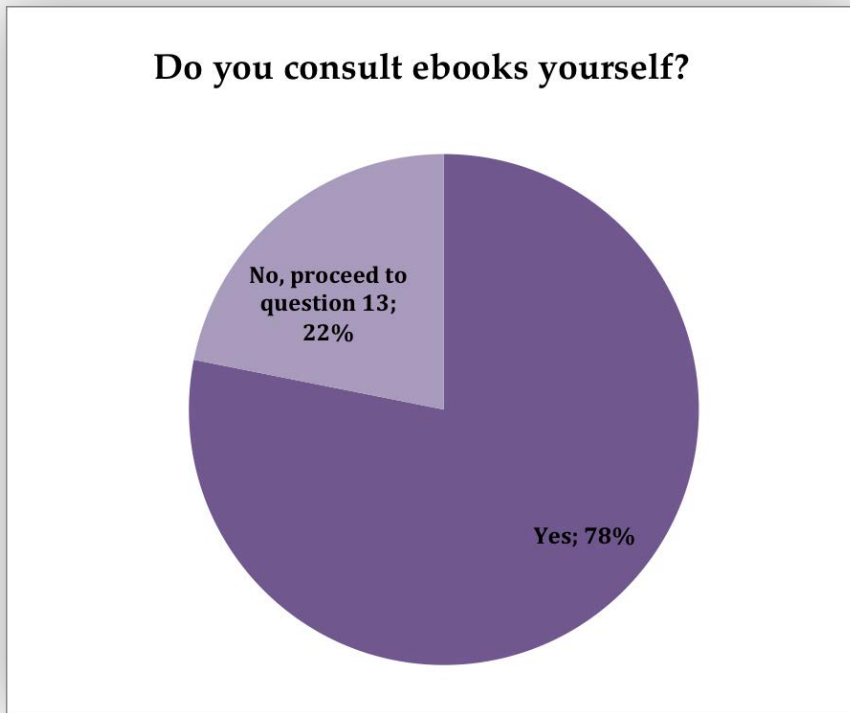
**FIGURE 38. Authors. Amount of publications available electronically (N = 32)**



**FIGURE 39. Authors. Publications available in Open Access (N = 32)**

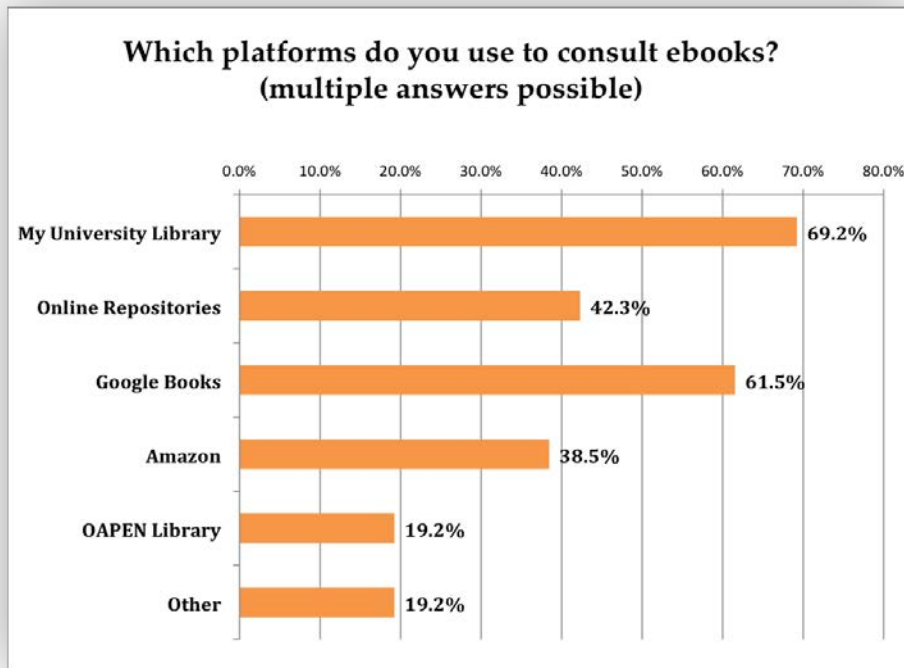


**FIGURE 40. Authors. Amount of publications available in Open Access (N = 32)**

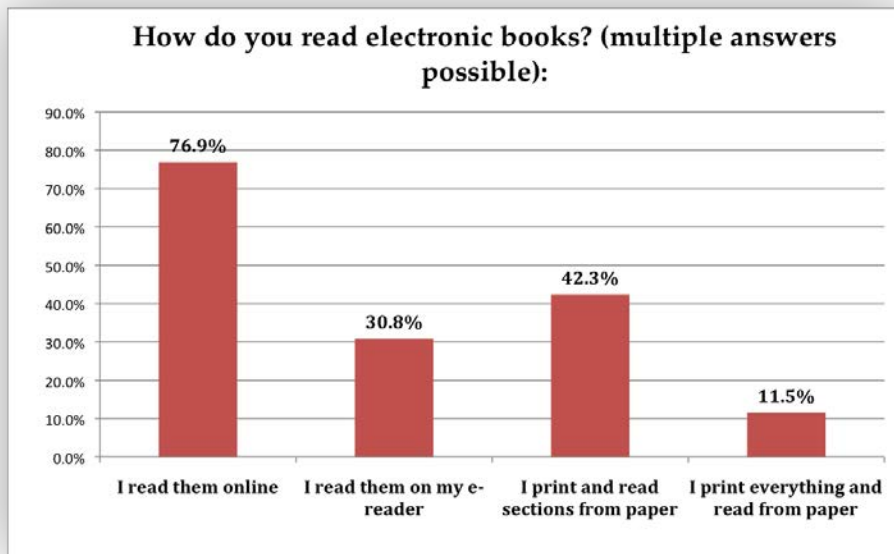


**FIGURE 41. Authors. E-book consultation (N = 32)**

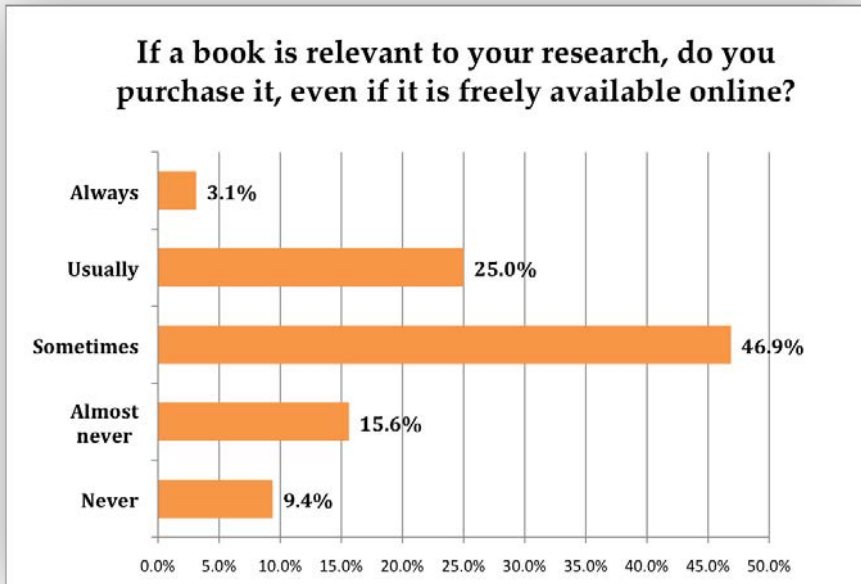




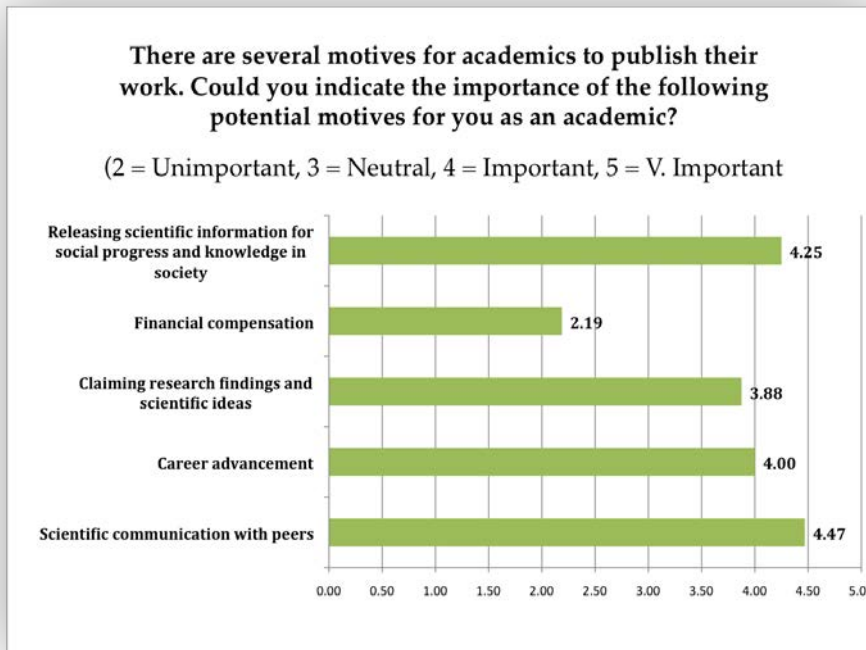
**FIGURE 42. Authors. Use of e-book Platforms (N = 26)**



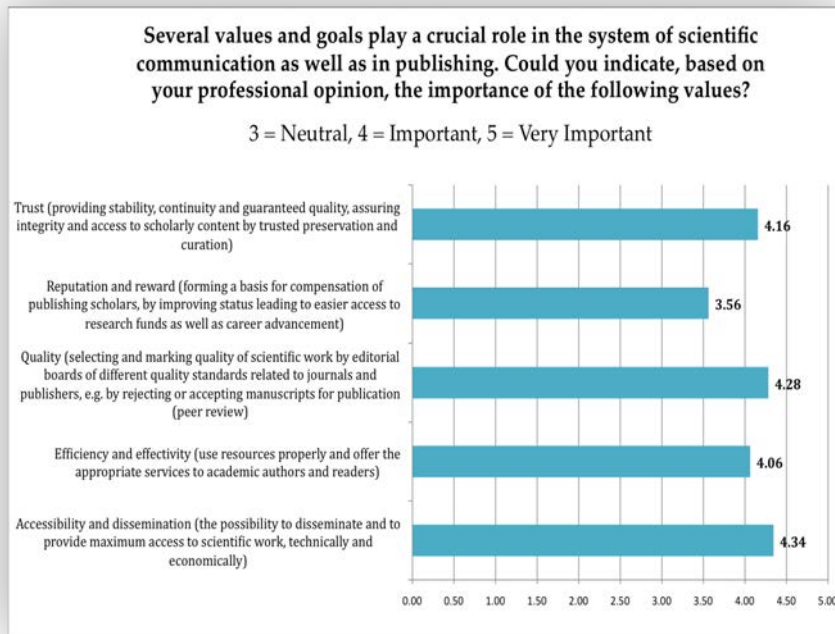
**FIGURE 43. Authors. E-book reading behaviour (N = 26)**



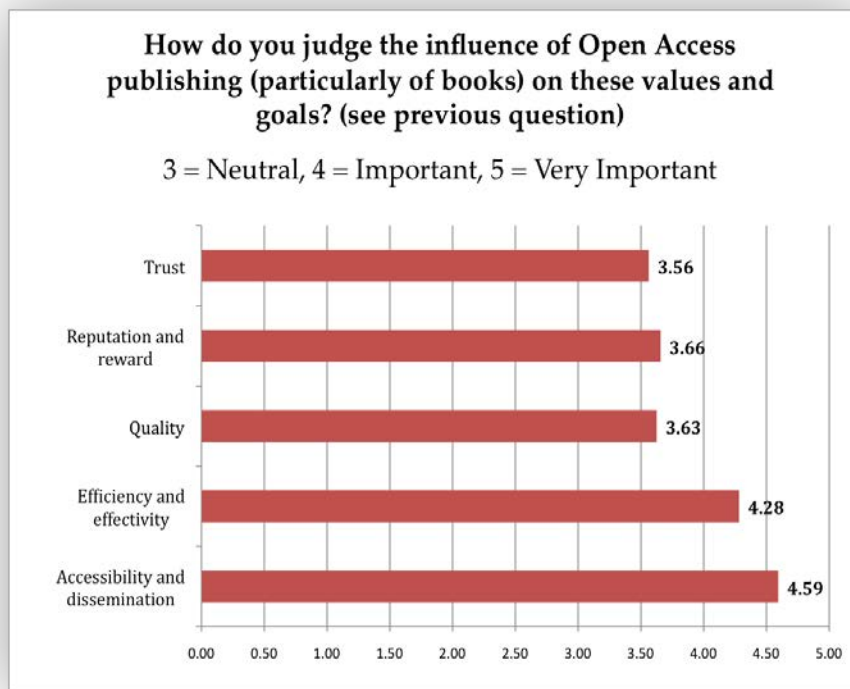
**FIGURE 44. Authors. E-book purchasing (N = 32)**



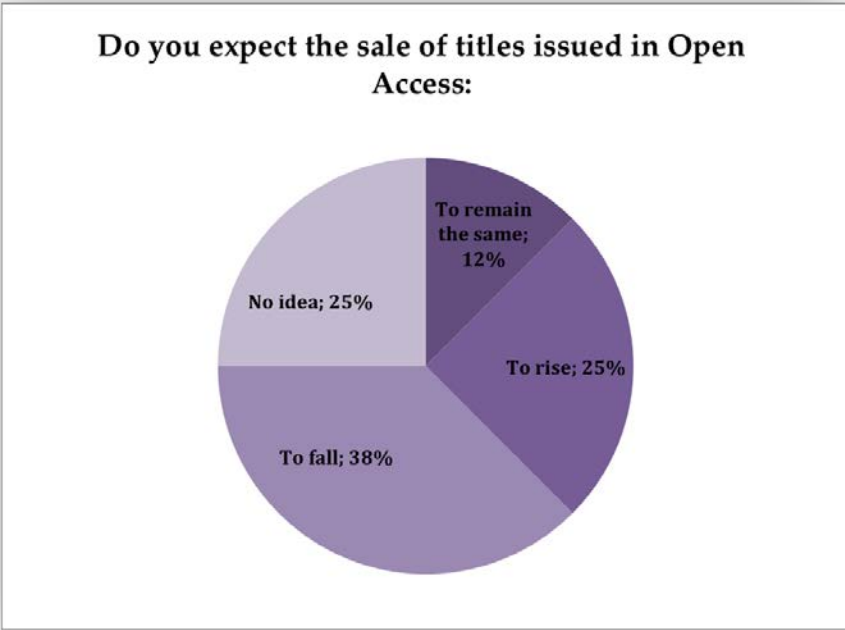
**FIGURE 45. Authors. Publishing motives (N = 32)**



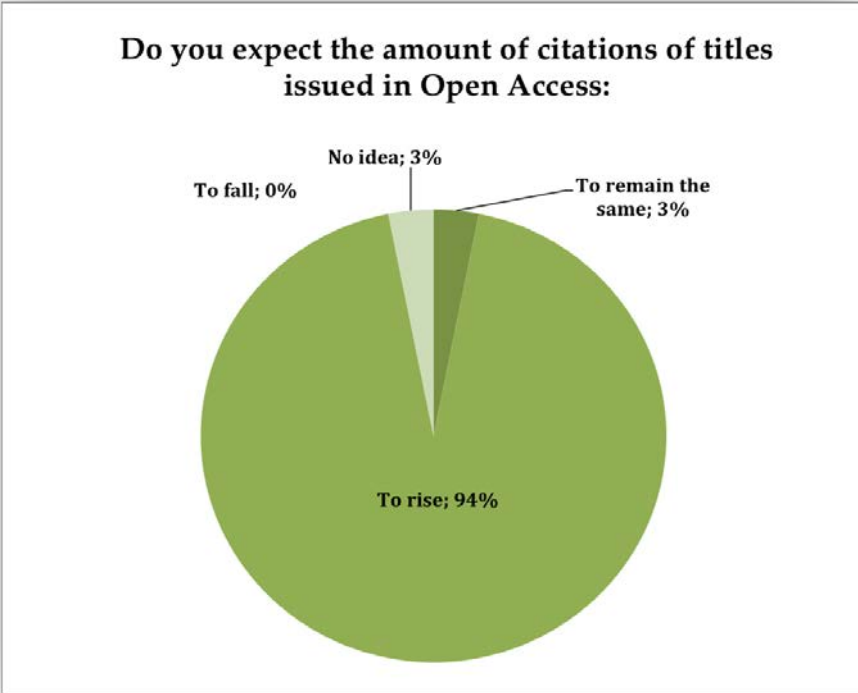
**FIGURE 46. Authors. Values in scholarly communication (N = 32)**



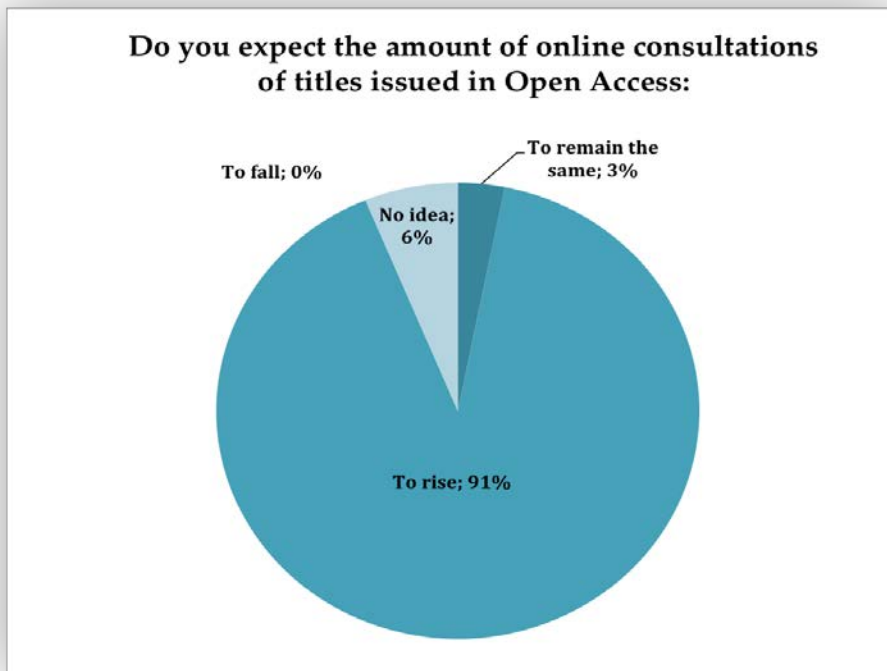
**FIGURE 47. Authors. The influence of Open Access on the values in scholarly communication (N = 32)**



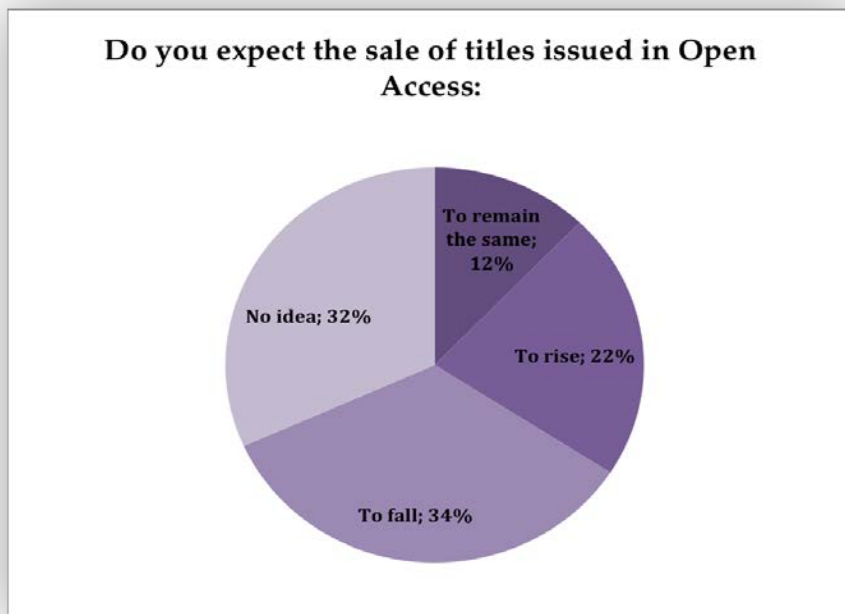
**FIGURE 48. Authors. Sales of Open Access books (N = 32)**



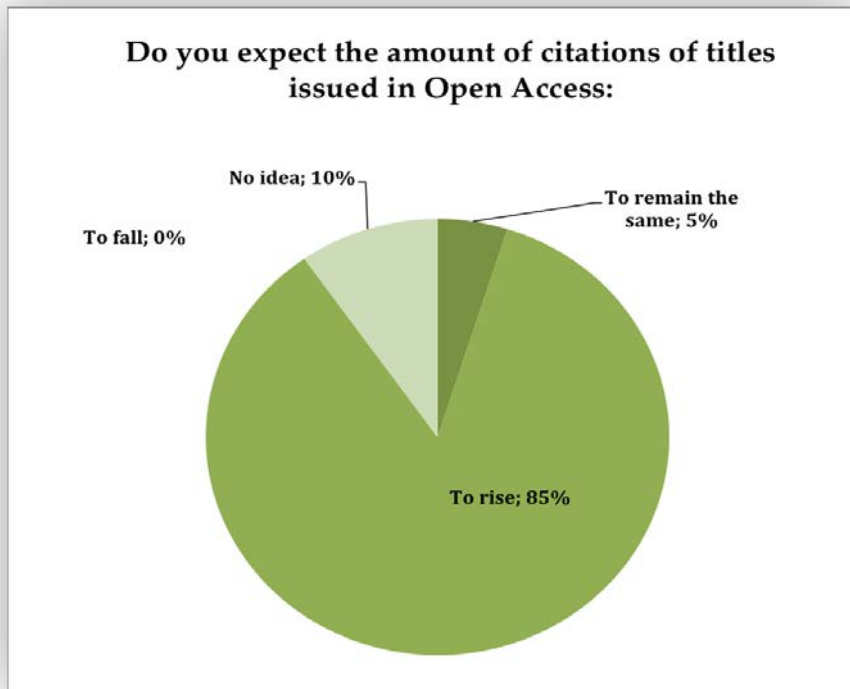
**FIGURE 49. Authors. Citations of Open Access books (N = 32)**



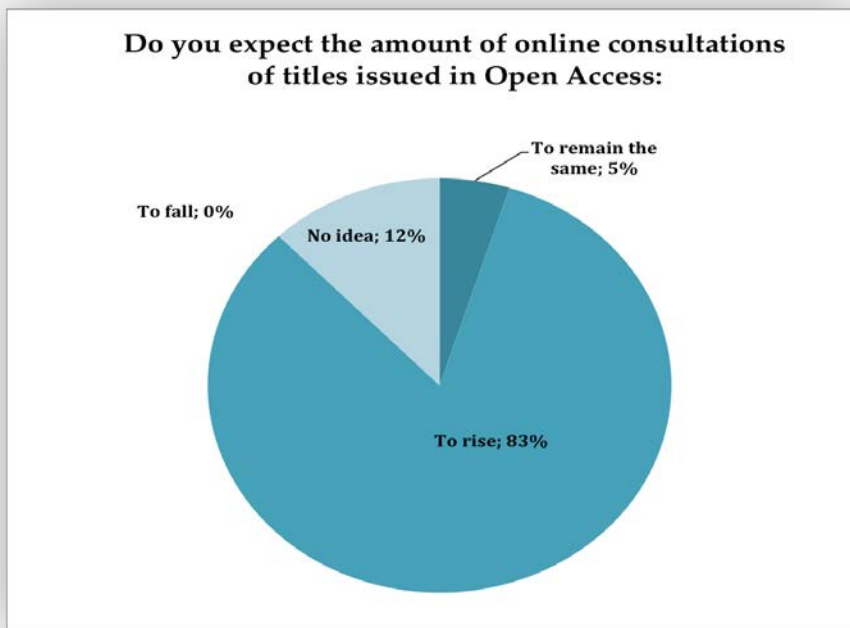
**FIGURE 50.** Authors. Online consultation of Open Access books (N = 32)



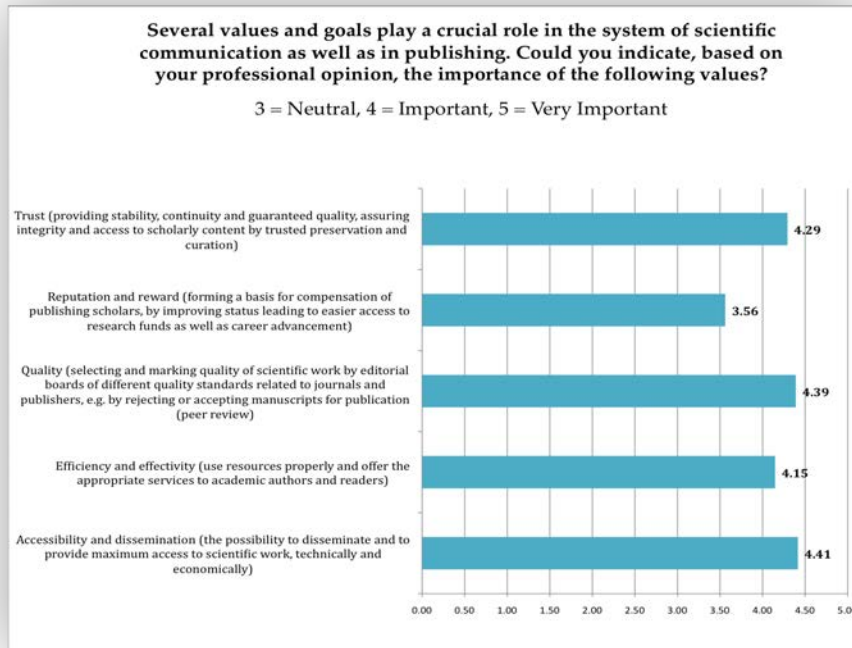
**FIGURE 51.** Sales of Open Access books (Authors and Publishers combined) (N = 41)



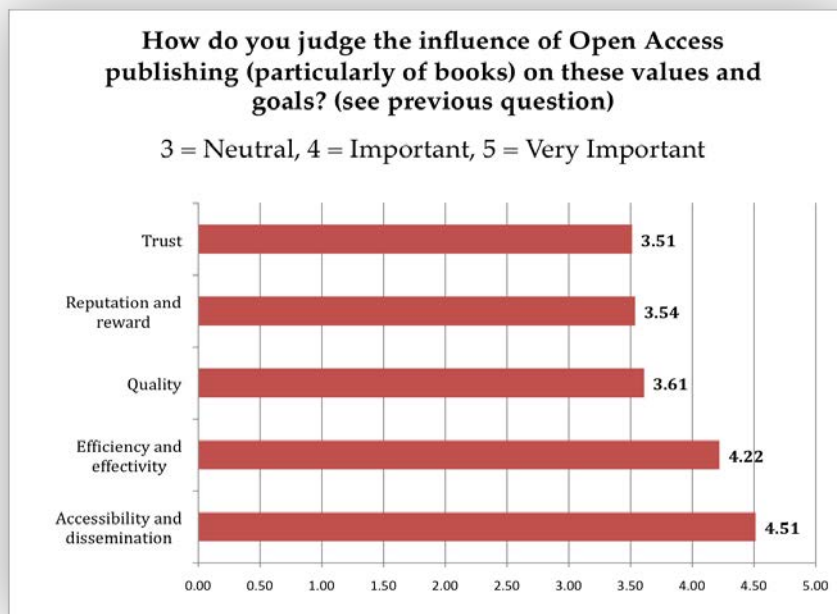
**FIGURE 52.** Citations of Open Access books (Authors and Publishers combined) (N = 41)



**FIGURE 53.** Online consultation of Open Access books (Authors and Publishers combined) (N = 41)



**FIGURE 54. Values in scholarly communication (Authors and Publishers combined) (N = 41)**



**FIGURE 55. Influence Open Access on the values in scholarly communication (Authors and Publishers combined) (N = 41)**

# 11 Appendix 4: Book titles and number of downloads

Title	Publisher	ISBN	Total		Number of months
Albania on the Move : Links between Internal and International Migration	Amsterdam University Press	9789089643551	538	38.43	14
Aspects of Urbanization in China : Shanghai. Hong Kong. Guangzhou	Amsterdam University Press	9789089643988	3164	210.93	15
David Gorlaeus (1591-1612) : An Enigmatic Figure in the History of Philosophy and Science	Amsterdam University Press	9789089644381	899	64.21	14
Decolonising the Caribbean : Dutch Policies in a Comparative Perspective	Amsterdam University Press	9789053566541	735	45.94	16
Fabels van liefde : Het mythologisch-amoureuze toneel van de rederijkers (1475-	Amsterdam University Press	9789089643391	503	35.93	14
Imagining Global Amsterdam : History. Culture. and Geography in a World City	Amsterdam University Press	9789089643674	1277	116.09	11
In Medias Res : Peter Sloterdijk's Spherological Poetics of Being	Amsterdam University Press	9789089643292	3530	147.08	24
Mobile Screens : The Visual Regime of Navigation	Amsterdam University Press	9789089643797	1419	83.47	17
Nieuw in Nederland : Feesten en rituelen in verandering	Amsterdam University Press	9789089644053	629	44.93	14
Perfect Worlds : Utopian Fiction in China and the West	Amsterdam University Press	9789089643506	1617	67.38	24
Sex and Drugs before Rock 'n' Roll : Youth Culture and Masculinity during Holland's	Amsterdam University Press	9789089644022	2034	184.91	11
War of Words : Dutch Pro-Boer Propaganda and the South African War (1899-1902)	Amsterdam University Press	9789089644121	1127	75.13	15
A Grammar of the Bedouin Dialects of Central and Southern Sinai	Brill	9789004201019	854	35.58	24
Catalogue of Turkish Manuscripts in the Library of Leiden University and Other Collections in	Brill	9789004221901	1614	124.15	13
Ceramics and the Spanish Conquest	Brill	9789004204409	1367	68.35	20
Commercial Republicanism in the Dutch Golden Age : The Political Thought of Johan &	Brill	9789004221390	1854	92.70	20
Coping With the Gods	Brill	9789004204904	2997	124.88	24
Joost van den Vondel (1587-1679) : Dutch Playwright in the Golden Age	Brill	9789004217539	2092	104.60	20
Literary Cultures and Public Opinion in the Low Countries. 1450-1650	Brill	9789004206168	2178	90.75	24
Philo of Alexandria : An Annotated Bibliography 1997-2006	Brill	9789004210806	1332	66.60	20
Power and Status in the Roman Empire. AD 193-284	Brill	9789004203594	1731	72.13	24



Title	Publisher	ISBN	Total		Number of months
Shaping Medieval Markets	Brill	9789004201484	1599	66.63	24
The Organization of the Pyramid Texts (2 vol. set): Typology and Disposition	Brill	9789004218659	864	66.46	13
The Origin and the Evolution of Firms : Information as a Driving Force	IOS Press	9781607509561	1140	67.06	17
At the edges of states; Dynamics of state formation in the Indonesian borderlands	KITLV Press	9789067183741	2770	162.94	17
Beyond Empire and Nation; The Decolonization of African and Asian societies. 1930s-1960s	KITLV Press	9789067182898	2072	172.67	12
Cleanliness and culture: Indonesian histories	KITLV Press	9789067183758	3703	185.15	20
Contemporary Indonesian Film; Spirits of Reform and ghosts from the past	KITLV Press	9789067183819	2869	204.93	14
Curaçao in the Age of Revolutions. 1795-1800	KITLV Press	9789067183802	2180	94.78	23
Healers on the colonial market; Native doctors and midwives in the Dutch East Indies	KITLV Press	9789067183826	4259	202.81	21
Heirs to world culture; Being Indonesian 1950-1965	KITLV Press	9789067183796	5363	268.15	20
Islam and the making of the nation: Kartosuwiryo and political Islam in twentieth-	KITLV Press	9789067183864	46433	3869.42	12
Lords of the land, lords of the sea; Conflict and adaptation in early colonial Timor. 1600-1800	KITLV Press	9789067183789	3685	193.95	19
Regime change and ethnic politics in Indonesia; Dayak politics of West Kalimantan	KITLV Press	9789067183895	2614	201.08	13
Rudolph Agricola: Six Lives and Erasmus's Testimonies	Koninklijke van Gorcum	9789023250722	361	32.82	11
A Key to the Treasure of the Hakim : Artistic and Humanistic Aspects of Nizami Ganjavi's	Leiden University Press	9789087280970	2177	108.85	20
Bending Opinion : Essays on Persuasion in the Public Domain	Leiden University Press	9789087280994	2036	101.80	20
Cities Full of Symbols : A Theory of Urban Space and Culture	Leiden University Press	9789087281250	2669	133.45	20
Newton and the Netherlands : How Isaac Newton was Fashioned in the Dutch Republic	Leiden University Press	9789087281373	920	115.00	8
Stemmen op berkenbast : Berichten uit middeleeuws Rusland: dagelijks leven en	Leiden University Press	9789087281618	472	31.47	15
The Great Umar Khayyam : A Global Reception of the Rubáiyát	Leiden University Press	9789087281571	874	97.11	9
Turning over a New Leaf : Change and Development in the Medieval Book	Leiden University Press	9789087281557	1894	118.38	16
A Life-Course Perspective on Migration and Integration	Springer Science + Business Media	9789400715448	1363	80.18	17
Land-Use Modelling in Planning Practice	Springer Science + Business Media	9789400718210	1350	84.38	16
The Measurement and Analysis of Housing Preference and Choice	Springer Science + Business Media	9789048188932	1427	83.94	17
The Role of Community-Mindedness in the Self-Regulation of Drug Cultures : A Case Study from	Springer Science + Business Media	9789400738607	1584	105.60	15
Making Room for People : Choice. Voice and Liveability in Residential Areas	Techne Press	9789085940326	2930	133.18	22
Agriculture, peasantry and poverty in Turkey in the neo-liberal age	Wageningen Academic	9789086861927	2170	127.65	17
Private food law: Governing food chains through contract law, self-regulation, private	Wageningen Academic	9789086867301	1317	59.86	22
Unlocking markets to smallholders: Lessons from South Africa	Wageningen Academic	9789086861347	3171	186.53	17

# 12 Appendix 5: Costs per book

	<b>Binding</b>	<b>Total</b>	<b>Total OA</b>	<b>OA costs - fixed</b>	<b>OA costs - variable</b>	<b>Total print</b>
Book 17	Paperback	€ 20,660	€ 9,940	€ 225	€ 9,715	€ 10,720
Book 43	Hardback	€ 17,548	€ 8,936	€ 425	€ 8,511	€ 8,612
Book 42	Paperback	€ 16,521	€ 8,709	€ 425	€ 8,284	€ 7,812
Book 14	Paperback	€ 16,518	€ 7,518	€ 225	€ 7,293	€ 9,000
Book 6	Hardback	€ 15,420	€ 5,154	€ 600	€ 4,554	€ 10,266
Book 50	Paperback	€ 15,151	€ 7,240	€ 225	€ 7,015	€ 7,911
Book 59	Hardback	€ 14,955	€ 4,763	€ 600	€ 4,163	€ 10,193
Book 35	PoD	€ 14,850	€ 8,250	€ 25	€ 8,225	€ 6,600
Book 19	Paperback	€ 14,823	€ 7,929	€ 225	€ 7,704	€ 6,894
Book 2	Hardback	€ 14,794	€ 5,037	€ 600	€ 4,437	€ 9,757
Book 34	PoD	€ 14,378	€ 6,810	€ 25	€ 6,785	€ 7,568
Book 24	Hardback	€ 14,155	€ 5,322	€ 600	€ 4,722	€ 8,833
Book 46	Hardback	€ 14,025	€ 6,625	€ 425	€ 6,200	€ 7,400
Book 45	Hardback	€ 13,975	€ 6,375	€ 175	€ 6,200	€ 7,600
Book 47	Hardback	€ 13,975	€ 6,675	€ 475	€ 6,200	€ 7,300
Book 26	Hardback	€ 13,946	€ 5,874	€ 600	€ 5,274	€ 8,072
Book 18	Paperback	€ 13,901	€ 7,435	€ 225	€ 7,210	€ 6,466
Book 44	Hardback	€ 13,675	€ 6,375	€ 175	€ 6,200	€ 7,300
Book 16	Paperback	€ 13,435	€ 6,295	€ 25	€ 6,270	€ 7,140
Book 55	Hardback	€ 13,381	€ 5,228	€ 225	€ 5,003	€ 8,153
Book 9	PoD	€ 13,165	€ 9,800	€ 25	€ 9,775	€ 3,365
Book 65	Hardback	€ 12,902	€ 6,105	€ 425	€ 5,680	€ 6,797
Book 62	PoD	€ 12,818	€ 6,705	€ 325	€ 6,380	€ 6,113
Book 32	PoD	€ 12,770	€ 6,390	€ 25	€ 6,365	€ 6,380
Book 33	PoD	€ 12,610	€ 6,450	€ 25	€ 6,425	€ 6,160
Book 15	Paperback	€ 12,513	€ 5,345	€ 225	€ 5,120	€ 7,168
Book 3	Hardback	€ 12,429	€ 4,719	€ 600	€ 4,119	€ 7,710
Book 22	Hardback	€ 12,048	€ 5,160	€ 600	€ 4,560	€ 6,888
Book 39	Paperback	€ 12,046	€ 6,589	€ 425	€ 6,164	€ 5,457
Book 51	PoD	€ 11,987	€ 5,032	€ 225	€ 4,807	€ 6,955

	<b>Binding</b>	<b>Total</b>	<b>Total OA</b>	<b>OA costs - fixed</b>	<b>OA costs - variable</b>	<b>Total print</b>
Book 38	Paperback	€ 11,522	€ 6,218	€ 425	€ 5,793	€ 5,304
Book 37	Paperback	€ 11,405	€ 6,123	€ 425	€ 5,698	€ 5,282
Book 63	Paperback	€ 10,639	€ 5,953	€ 25	€ 5,928	€ 4,687
Book 60	Hardback	€ 10,600	€ 5,431	€ 600	€ 4,831	€ 5,169
Book 5	Hardback	€ 10,291	€ 3,742	€ 600	€ 3,142	€ 6,549
Book 11	PoD	€ 10,234	€ 7,214	€ 25	€ 7,189	€ 3,020
Book 8	PoD	€ 10,070	€ 7,490	€ 25	€ 7,465	€ 2,580
Book 41	Hardback	€ 9,534	€ 4,925	€ 425	€ 4,500	€ 4,609
Book 57	Paperback	€ 9,437	€ 5,377	€ 225	€ 5,152	€ 4,060
Book 1	Hardback	€ 9,391	€ 4,039	€ 600	€ 3,439	€ 5,352
Book 7	PoD	€ 9,262	€ 6,242	€ 25	€ 6,217	€ 3,020
Book 13	Paperback	€ 9,150	€ 5,600	€ 200	€ 5,400	€ 3,550
Book 4	Hardback	€ 9,093	€ 4,390	€ 600	€ 3,790	€ 4,703
Book 53	Paperback	€ 8,630	€ 4,800	€ 200	€ 4,600	€ 3,830
Book 58	Paperback	€ 8,450	€ 3,650	€ 250	€ 3,400	€ 4,800
Book 20	Hardback	€ 8,250	€ 3,401	€ 600	€ 2,801	€ 4,849
Book 52	Paperback	€ 7,900	€ 4,400	€ 200	€ 4,200	€ 3,500
Book 10	PoD	€ 7,855	€ 5,342	€ 25	€ 5,317	€ 2,513
Book 12	Paperback	€ 6,935	€ 3,200	€ 200	€ 3,000	€ 3,735
Book 56	Paperback	€ 6,082	€ 3,085	€ 225	€ 2,860	€ 2,997

# 13 Appendix 6: Costs per page

.....

	OA-Peer review (fixed)	OA-Platform (fixed)	OA-Marketing	OA-Editing/direct personnel costs	OA-DTP	OA-Overhead/indirect personnel costs	OA-Other/direct costs	OA-Royalties	OA-Cover	Print-Printing, binding	Print-Distribution	Print-Overhead/indirect personnel costs	Print-Other/direct costs	Print-Marketing	Print-Royalties	Total
Book 17	€ 0.63	€ 0.08	€ 0.94	€ 8.13	€ 13.44	€ 6.45	€ 0.00	€ 0.00	€ 1.41	€ 10.63	€ 9.41	€ 4.65	€ 2.03	€ 1.88	€ 4.91	€ 64.56
Book 56	€ 0.99	€ 0.12	€ 1.49	€ 2.48	€ 13.37	€ 5.54	€ 0.00	€ 0.00	€ 2.48	€ 10.89	€ 9.10	€ 5.20	€ 2.72	€ 2.97	€ 4.60	€ 61.95
Book 43	€ 1.74	€ 0.11	€ 1.74	€ 13.04	€ 6.96	€ 3.80	€ 0.00	€ 0.00	€ 1.41	€ 11.74	€ 7.17	€ 1.74	€ 1.74	€ 3.04	€ 6.74	€ 60.98
Book 52	€ 0.89	€ 0.11	€ 1.79	€ 2.68	€ 6.70	€ 11.17	€ 0.00	€ 0.00	€ 0.00	€ 19.42	€ 8.96	€ 6.26	€ 1.76	€ 0.00	€ 0.00	€ 59.74
Book 60	€ 1.37	€ 0.11	€ 1.37	€ 5.94	€ 13.93	€ 6.07	€ 1.83	€ 0.00	€ 0.00	€ 7.08	€ 10.05	€ 2.48	€ 0.91	€ 2.74	€ 4.66	€ 58.53
Book 55	€ 1.77	€ 0.11	€ 0.88	€ 5.53	€ 10.93	€ 4.91	€ 0.44	€ 0.00	€ 2.43	€ 13.27	€ 3.10	€ 7.73	€ 1.99	€ 1.33	€ 2.65	€ 57.09
Book 22	€ 0.94	€ 0.12	€ 1.42	€ 8.49	€ 6.37	€ 4.04	€ 0.00	€ 0.00	€ 2.36	€ 9.20	€ 9.54	€ 4.54	€ 2.59	€ 2.83	€ 4.10	€ 56.54
Book 16	€ 1.32	€ 0.08	€ 0.99	€ 3.29	€ 6.58	€ 14.75	€ 0.00	€ 0.00	€ 1.64	€ 11.02	€ 4.97	€ 5.51	€ 0.00	€ 1.15	€ 3.04	€ 54.35
Book 33	€ 0.00	€ 0.10	€ 0.00	€ 14.34	€ 4.92	€ 4.41	€ 0.00	€ 0.00	€ 2.66	€ 11.48	€ 3.28	€ 2.30	€ 5.74	€ 2.46	€ 0.00	€ 51.68
Book 35	€ 0.55	€ 0.09	€ 1.47	€ 11.03	€ 5.88	€ 3.22	€ 0.00	€ 0.00	€ 1.19	€ 10.66	€ 6.07	€ 1.47	€ 1.47	€ 2.57	€ 4.60	€ 50.28
Book 44	€ 0.00	€ 0.12	€ 1.42	€ 5.19	€ 14.15	€ 6.03	€ 1.18	€ 0.00	€ 0.00	€ 5.90	€ 8.96	€ 2.06	€ 0.00	€ 2.83	€ 2.36	€ 50.19
Book 2	€ 0.00	€ 0.08	€ 0.00	€ 13.47	€ 3.37	€ 3.82	€ 0.00	€ 0.00	€ 2.19	€ 11.58	€ 2.69	€ 2.32	€ 6.87	€ 2.02	€ 0.00	€ 48.41
Book 15	€ 0.00	€ 0.09	€ 1.06	€ 8.69	€ 6.56	€ 5.21	€ 0.00	€ 0.00	€ 0.71	€ 6.91	€ 7.80	€ 3.04	€ 1.95	€ 2.13	€ 3.49	€ 47.64

	OA-Peer review (fixed)	OA-Platform (fixed)	OA-Marketing	OA-Editing/direct personnel costs	OA-DTP	OA-Overhead/indirect personnel costs	OA-Other/direct costs	OA-Royalties	OA-Cover	Print-Printing, binding	Print-Distribution	Print-Overhead/indirect personnel costs	Print-Other/direct costs	Print-Marketing	Print-Royalties	Total
Book 14	€ 0.63	€ 0.08	€ 0.94	€ 8.44	€ 6.72	€ 4.27	€ 0.00	€ 0.00	€ 1.56	€ 7.19	€ 7.24	€ 3.39	€ 1.72	€ 1.88	€ 3.31	€ 47.35
Book 65	€ 0.51	€ 0.08	€ 1.35	€ 10.10	€ 5.39	€ 2.95	€ 0.00	€ 0.00	€ 1.09	€ 9.76	€ 5.56	€ 1.35	€ 1.35	€ 2.36	€ 5.22	€ 47.05
Book 53	€ 0.63	€ 0.08	€ 0.94	€ 5.94	€ 10.47	€ 3.94	€ 0.00	€ 0.00	€ 1.25	€ 6.41	€ 2.81	€ 4.21	€ 2.03	€ 1.88	€ 2.87	€ 43.44
Book 6	€ 1.52	€ 0.09	€ 1.14	€ 2.84	€ 4.55	€ 10.79	€ 0.38	€ 0.00	€ 1.89	€ 10.61	€ 3.59	€ 4.92	€ 0.00	€ 0.89	€ 0.00	€ 43.20
Book 42	€ 0.00	€ 0.10	€ 1.26	€ 17.87	€ 3.66	€ 4.58	€ 0.00	€ 0.00	€ 2.72	€ 8.66	€ 0.33	€ 1.21	€ 2.43	€ 0.00	€ 0.00	€ 42.82
Book 39	€ 0.88	€ 0.05	€ 0.66	€ 2.30	€ 4.39	€ 9.45	€ 0.22	€ 0.00	€ 1.64	€ 9.98	€ 4.39	€ 4.06	€ 0.00	€ 0.46	€ 0.00	€ 38.48
Book 26	€ 1.31	€ 0.08	€ 0.98	€ 2.29	€ 4.58	€ 9.45	€ 0.00	€ 0.00	€ 1.63	€ 6.21	€ 4.60	€ 3.58	€ 0.00	€ 0.46	€ 2.49	€ 37.65
Book 50	€ 1.19	€ 0.07	€ 1.06	€ 7.92	€ 4.22	€ 2.31	€ 0.00	€ 0.00	€ 0.86	€ 7.65	€ 4.35	€ 1.06	€ 1.06	€ 1.85	€ 3.30	€ 36.87
Book 38	€ 0.45	€ 0.06	€ 0.67	€ 2.90	€ 8.04	€ 3.56	€ 0.00	€ 0.00	€ 1.12	€ 6.36	€ 4.69	€ 2.93	€ 1.79	€ 1.34	€ 2.98	€ 36.87
Book 5	€ 0.00	€ 1.08	€ 0.86	€ 10.56	€ 0.00	€ 3.23	€ 0.00	€ 0.00	€ 0.00	€ 8.62	€ 7.33	€ 0.00	€ 2.16	€ 2.59	€ 0.00	€ 36.42
Book 8	€ 0.00	€ 0.12	€ 1.39	€ 13.01	€ 3.59	€ 3.62	€ 0.00	€ 0.00	€ 3.01	€ 7.24	€ 0.37	€ 1.34	€ 2.69	€ 0.00	€ 0.00	€ 36.37
Book 19	€ 0.49	€ 0.06	€ 0.74	€ 7.72	€ 5.69	€ 4.00	€ 0.00	€ 0.00	€ 0.74	€ 5.51	€ 3.92	€ 2.53	€ 1.59	€ 1.47	€ 1.87	€ 36.33
Book 4	€ 1.19	€ 0.07	€ 0.89	€ 2.68	€ 3.87	€ 9.42	€ 0.00	€ 0.00	€ 1.49	€ 8.18	€ 2.68	€ 4.33	€ 0.00	€ 1.04	€ 0.00	€ 35.85
Book 51	€ 1.02	€ 0.00	€ 0.00	€ 10.20	€ 0.00	€ 5.10	€ 0.00	€ 0.00	€ 0.00	€ 8.67	€ 1.02	€ 0.00	€ 0.00	€ 2.55	€ 6.81	€ 35.38
Book 34	€ 0.74	€ 0.09	€ 1.49	€ 2.79	€ 5.76	€ 9.12	€ 0.00	€ 0.00	€ 0.00	€ 4.83	€ 5.82	€ 3.26	€ 0.00	€ 1.18	€ 0.00	€ 35.08
Book 7	€ 1.14	€ 0.14	€ 2.27	€ 3.13	€ 2.56	€ 8.30	€ 0.00	€ 0.00	€ 0.00	€ 9.66	€ 2.84	€ 3.47	€ 0.00	€ 1.06	€ 0.00	€ 34.56
Book 57	€ 1.45	€ 0.09	€ 1.09	€ 3.62	€ 7.25	€ 4.35	€ 0.00	€ 0.00	€ 0.00	€ 9.85	€ 0.00	€ 5.80	€ 0.00	€ 0.00	€ 1.05	€ 34.54
Book 18	€ 0.83	€ 0.00	€ 1.67	€ 5.00	€ 5.00	€ 2.50	€ 3.33	€ 0.00	€ 0.00	€ 5.63	€ 2.92	€ 2.71	€ 0.00	€ 3.33	€ 0.00	€ 32.92
Book 62	€ 0.75	€ 0.00	€ 1.49	€ 4.48	€ 5.97	€ 2.24	€ 2.99	€ 0.00	€ 0.00	€ 6.27	€ 2.61	€ 2.43	€ 0.00	€ 2.99	€ 0.00	€ 32.20
Book 11	€ 0.54	€ 0.76	€ 0.43	€ 2.01	€ 4.85	€ 0.95	€ 0.92	€ 0.48	€ 0.00	€ 11.00	€ 9.35	€ 0.00	€ 0.00	€ 0.87	€ 0.00	€ 32.16
Book 9	€ 0.78	€ 1.09	€ 0.63	€ 2.89	€ 3.45	€ 1.02	€ 1.33	€ 0.51	€ 0.00	€ 10.35	€ 8.87	€ 0.00	€ 0.00	€ 1.25	€ 0.00	€ 32.16
Book 47	€ 0.93	€ 1.31	€ 0.75	€ 3.45	€ 4.53	€ 1.25	€ 0.00	€ 0.00	€ 0.47	€ 11.97	€ 4.63	€ 0.00	€ 0.00	€ 1.49	€ 0.00	€ 30.78
Book 46	€ 0.00	€ 0.05	€ 0.00	€ 10.10	€ 2.42	€ 2.78	€ 0.00	€ 0.00	€ 1.31	€ 6.06	€ 1.62	€ 1.21	€ 3.23	€ 1.21	€ 0.00	€ 30.00
Book 10	€ 0.75	€ 1.05	€ 0.60	€ 2.77	€ 4.36	€ 1.08	€ 1.27	€ 0.22	€ 0.00	€ 10.32	€ 4.50	€ 0.00	€ 0.00	€ 1.20	€ 0.00	€ 28.12
Book 24	€ 0.58	€ 0.81	€ 0.47	€ 2.15	€ 5.66	€ 0.87	€ 0.99	€ 0.17	€ 0.29	€ 10.53	€ 4.56	€ 0.00	€ 0.00	€ 0.93	€ 0.00	€ 28.02
Book 63	€ 0.49	€ 0.69	€ 0.39	€ 2.62	€ 3.86	€ 0.89	€ 0.84	€ 0.44	€ 0.25	€ 10.46	€ 6.15	€ 0.00	€ 0.00	€ 0.79	€ 0.00	€ 27.86
Book 13	€ 0.00	€ 0.05	€ 0.00	€ 7.26	€ 2.53	€ 2.24	€ 0.00	€ 0.00	€ 1.37	€ 6.11	€ 1.68	€ 1.22	€ 3.16	€ 1.26	€ 0.00	€ 26.88
Book 59	€ 0.54	€ 0.76	€ 0.43	€ 2.00	€ 4.46	€ 0.91	€ 0.92	€ 0.18	€ 0.00	€ 9.44	€ 6.35	€ 0.00	€ 0.00	€ 0.86	€ 0.00	€ 26.84

	OA-Peer review (fixed)	OA-Platform (fixed)	OA-Marketing	OA-Editing/direct personnel costs	OA-DTP	OA-Overhead/indirect personnel costs	OA-Other/direct costs	OA-Royalties	OA-Cover	Print-Printing, binding	Print-Distribution	Print-Overhead/indirect personnel costs	Print-Other/direct costs	Print-Marketing	Print-Royalties	Total
Book 32	€ 0.00	€ 0.06	€ 0.78	€ 11.20	€ 2.72	€ 2.95	€ 0.00	€ 0.00	€ 1.68	€ 4.25	€ 0.18	€ 0.75	€ 1.50	€ 0.00	€ 0.00	€ 26.09
Book 12	€ 0.00	€ 0.07	€ 0.84	€ 9.72	€ 2.46	€ 2.62	€ 0.00	€ 0.00	€ 1.83	€ 5.81	€ 0.22	€ 0.81	€ 1.63	€ 0.00	€ 0.00	€ 26.02
Book 58	€ 0.41	€ 0.58	€ 0.33	€ 1.52	€ 3.84	€ 0.74	€ 0.70	€ 0.37	€ 0.00	€ 8.55	€ 7.68	€ 0.00	€ 0.00	€ 0.66	€ 0.00	€ 25.36
Book 20	€ 0.58	€ 0.81	€ 0.46	€ 2.49	€ 6.11	€ 1.14	€ 0.98	€ 0.00	€ 0.00	€ 6.40	€ 4.64	€ 0.00	€ 0.00	€ 0.93	€ 0.00	€ 24.54
Book 45	€ 0.00	€ 0.05	€ 0.55	€ 10.16	€ 3.26	€ 2.80	€ 0.00	€ 0.00	€ 1.19	€ 4.41	€ 0.17	€ 0.53	€ 1.07	€ 0.00	€ 0.00	€ 24.20
Book 37	€ 0.38	€ 0.53	€ 0.30	€ 1.39	€ 4.70	€ 0.79	€ 0.00	€ 0.00	€ 0.75	€ 7.80	€ 3.76	€ 0.00	€ 0.00	€ 0.60	€ 0.00	€ 21.00
Book 1	€ 0.46	€ 0.00	€ 0.92	€ 3.67	€ 4.59	€ 3.21	€ 0.00	€ 0.00	€ 0.00	€ 3.21	€ 1.61	€ 1.49	€ 0.00	€ 1.83	€ 0.00	€ 20.99
Book 41	€ 0.33	€ 0.46	€ 0.26	€ 1.22	€ 2.73	€ 0.56	€ 0.56	€ 0.17	€ 0.00	€ 8.54	€ 4.41	€ 0.00	€ 0.00	€ 0.53	€ 0.00	€ 19.78
Book 3	€ 0.54	€ 0.76	€ 0.43	€ 2.01	€ 4.00	€ 0.87	€ 0.92	€ 0.00	€ 0.00	€ 6.16	€ 3.20	€ 0.00	€ 0.00	€ 0.87	€ 0.00	€ 19.77

# 14 References

---

- Adema, J. (2012). *DOAB User Needs Analysis - Final Report* (p. 77). Amsterdam. Retrieved from <http://doabooks.files.wordpress.com/2012/11/doab-user-needs.pdf>
- Adema, J., & Hall, G. (2013). The Political Nature of the Book: On Artists' Books and Radical Open Access. *New Formations*, 78(1), 138–156. doi:10.3898/NewF.78.07.2013
- Adema, J., & Rutten, P. (2010). *Digital Monographs in the Humanities and Social Sciences: Report on User Needs. Social Sciences* (p. 144). Retrieved from [http://project.oapen.org/images/documents/d315\\_user\\_needs\\_report.pdf](http://project.oapen.org/images/documents/d315_user_needs_report.pdf)
- Antelman, K. (2004). Do Open-Access Articles Have a Greater Research Impact? *College & Research Libraries*, 65(5), 372–382. Retrieved from <http://crl.acrl.org/content/65/5/372.abstract>
- Association of Research Libraries (ARL) :: ARL Statistics 2009-10. (2012). Retrieved May 14, 2012, from <http://www.arl.org/stats/annualsurveys/arlstats/arlstats11.shtml>
- Eysenbach, G. (2006). Citation Advantage of Open Access Articles. *PLoS Biol*, 4(5), e157. Retrieved from <http://dx.doi.org/10.1371/journal.pbio.0040157>
- Ferwerda, E. (2013). Open Access Models for Monographs Gaining Momentum. In *APE 2013*. Berlin.
- Fitzpatrick, K. (2011). *Planned Obsolescence: Publishing, Technology, and the Future of the Academy*. NYU Press.
- Frass, W., Cross, J., & Gardner, V. (2013). *Open Access Survey: Exploring the views of Taylor & Francis and Routledge authors* (p. 16). Retrieved from <http://www.tandf.co.uk/journals/pdf/open-access-survey-march2013.pdf>
- FWF Austrian Science Fund - Funding Programs - Stand-alone Publications. (2013). Retrieved August 13, 2013, from [http://www.fwf.ac.at/en/projects/stand\\_alone\\_publications.html](http://www.fwf.ac.at/en/projects/stand_alone_publications.html)
- Greco, A. N., & Wharton, R. M. (2008). Should university presses adopt an open access [electronic publishing] business model for all of their scholarly books? In L. Chan & S. Mornati (Eds.), *ELPUB2008. Open Scholarship: Authority, Community, and Sustainability in the Age of Web 2.0 - Proceedings of the 12th International Conference on Electronic Publishing held in Toronto, Canada 25-27 June 2008* (pp. 149–164). Toronto. Retrieved from [http://elpub.scix.net/data/works/att/149\\_elpub2008.content.pdf](http://elpub.scix.net/data/works/att/149_elpub2008.content.pdf)
- Harzing, A.-W. (2008). Google Scholar-a new data source for citation analysis. *University of Melbourne*.
- Hilton III, J., & Wiley, D. (2011). Free E-Books and Print Sales. *Journal of Electronic Publishing (JEP)*, 14(1). doi:10.3998/3336451.0014.109
- Houghton, J., Rasmussen, B., Sheehan, P., Oppenheim, C., Morris, A., Creaser, C., ... Gourlay, A. (2009). Exploring the costs and benefits Economic implications of alternative scholarly publishing models : Exploring the costs and benefits. *Victoria*, (January), 287. Retrieved from [http://ie-repository.jisc.ac.uk/278/1/EI-ASPM\\_Summary.doc](http://ie-repository.jisc.ac.uk/278/1/EI-ASPM_Summary.doc)
- Housewright, R., Schonfeld, R. C., & Wulfson, K. (2013). *Ithaka S+R | Jisc | RLUK UK Survey of Academics 2012* (p. 92). Retrieved from [http://repository.jisc.ac.uk/5209/1/UK\\_Survey\\_of\\_Academics\\_2012\\_FINAL.pdf](http://repository.jisc.ac.uk/5209/1/UK_Survey_of_Academics_2012_FINAL.pdf)
- Howard, J. (2013). Open-Access Movement Makes Inroads Beyond Science - Publishing. *The Chronicle of Higher Education*, (25 July 2013). Retrieved from [http://chronicle.com/article/Open-Access-Movement-Makes/140549/#disqus\\_thread](http://chronicle.com/article/Open-Access-Movement-Makes/140549/#disqus_thread)

- Jump, P. (2011). Monographs finally join citations database. *Times Higher Education*. Retrieved from <http://www.timeshighereducation.co.uk/417771.article>
- Kempf, J., Adema, J., Rutten, P., & OAPEN. (2010). Report on Best Practices and Recommendations. Retrieved from [http://project.oapen.org/images/D316\\_OAPEN\\_Best\\_practice\\_public\\_report.pdf](http://project.oapen.org/images/D316_OAPEN_Best_practice_public_report.pdf)
- Knowledge Exchange. (2010). *The Impact of Open Access Outside European Universities*. Business (p. 13). Copenhagen: Knowledge Exchange. Retrieved from <http://www.knowledge-exchange.info/Default.aspx?ID=412>
- Knowledge Exchange, & Friend, F. (2011). *Open Access business models for research funders and universities* (p. 52). Copenhagen. Retrieved from <http://www.knowledge-exchange.info/Default.aspx?ID=459>
- Kousha, K., & Thelwall, M. (2009). Google book search: Citation analysis for social science and the humanities. *Journal of the American Society for Information Science and Technology*, 60(8), 1537–1549.
- Lawrence, D., Bernhardsson, K., Eriksson, J., Henning, K., Hertil Lindelöw, C., Neidenmark, T., ... Svensson, A. (2013). *A National Consortium for Open Academic Books in Sweden : An investigation funded by National Library of Sweden, Swedish Research Council and Riksbankens Jubileumsfond*. Linköping University, University Library. doi:10.3384/liu:diva-94273
- Linmans, A. J. M. (2010). Why with bibliometrics the Humanities does not need to be the weakest link. *Scientometrics*, 83(2), 337–354. doi:10.1007/s11192-009-0088-9
- Manchester University Press - Open Access. (2013). Retrieved August 06, 2013, from <http://www.manchesteruniversitypress.co.uk/cgi-bin/subscribe?showgroup=igo6>
- Mendez, M., & Chapman, K. (2006). The use of scholarly monographs in the journal literature of Latin American history. *Electronic Journal of Academic and Special Librarianship*, 7(3). Retrieved from [http://southernlibrarianship.icaap.org/content/vo7no3/mendez\\_mo1.htm](http://southernlibrarianship.icaap.org/content/vo7no3/mendez_mo1.htm)
- Morrison, H. (2013). Economics of scholarly communication in transition. *First Monday*, 18(6). doi:10.5210/fm.v18i6.4370
- Nederhof, A. J. (2006). Bibliometric monitoring of research performance in the Social Sciences and the Humanities: A Review. *Scientometrics*, 66(1), 81–100. doi:10.1007/s11192-006-0007-2
- Palgrave Macmillan - Palgrave Open. (2013). Retrieved August 06, 2013, from <http://www.palgrave.com/open/>
- Pinter, F. (2012). Open Access for Scholarly Books? *Publishing Research Quarterly*, (2). Retrieved from <http://www.springerlink.com/content/55j36t4x312nu451/>
- Schmidt, B., & Kuchma, I. (2012). *Implementing Open Access Mandates in Europe : OpenAIRE Study on the Development of Open Access Repository Communities in Europe*. Universitätsverlag Göttingen.
- Science Europe. (2013). Science Europe Position Statement: Principles for the Transition to Open Access to Research Publications. Retrieved August 19, 2013, from [http://www.scienceeurope.org/uploads/Public documents and speeches/SE\\_OA\\_Pos\\_Statement.pdf](http://www.scienceeurope.org/uploads/Public documents and speeches/SE_OA_Pos_Statement.pdf)
- Snijder, R. (2010). The profits of free books: an experiment to measure the impact of open access publishing. *Learned Publishing*, 23(4), 1–13. doi:10.1087/20100403
- Snijder, R. (2013, May 6). Measuring monographs: A quantitative method to assess scientific impact and societal relevance. *First Monday*. doi:10.5210/fm.v18i5.4250
- Steele, C. (2008). Scholarly Monograph Publishing in the 21st Century: The Future More Than Ever Should Be an Open Book. *Journal of Electronic Publishing*, 11(2). doi:10.3998/3336451.0011.201
- Suber, P. (2012). *Open Access*. MIT Press. Retrieved from <http://books.google.nl/books?id=1wtmvu49g0YC>
- Thompson, J. B. (2005). *Books in the Digital Age: The Transformation of Academic and Higher Education Publishing in Britain and the United States* (p. 468). Polity Press.
- Trounson, A. (2012). Loss-making monographs face a grim future. *The Australian*. Retrieved September 17, 2013, from <http://www.theaustralian.com.au/higher-education/loss-making-monographs-face-a-grim-future/story-e6frgcjx-1226246679624#>
- UK HSS Researcher Survey Results (OAPEN-UK project report). (2012). Retrieved from <http://oapen-uk.jiscebooks.org/research-findings/researchersurvey/>



- Wasserman, M. (1998). Reprint: How Much Does It Cost to Publish A Monograph and Why? *Journal of Electronic Publishing (JEP)*, 4(1). doi:10.3998/3336451.0004.104
- Withey, L., Cohn, S., Faran, E., Jensen, M., Kiely, G., Underwood, W., ... Keane, K. (2011). Sustaining Scholarly Publishing: New Business Models for University Presses. *Journal of Scholarly Publishing*, 42(4), 397–441. doi:10.3138/jsp.42.4.397