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A new platform for Open Access books in the humanities and social sciences

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What is OAPEN?

Open Access Publishing in European Networks (OAPEN) is a publishing initiative started in 2008 in response to the declining viability of the traditional publishing model for monographs in the humanities and social sciences. The consortium of European academic presses and universities that make up OAPEN believes that Open Access publishing is the way forward to embrace changes in the industry in order to save the crowning format of scholarly publishing: the peer-reviewed monograph. Both our member network and the OAPEN Library we have developed are not for profit, yet we remain keenly aware of the realities of the global book market. To promote quality research and its visibility worldwide, we would like to extend our network.

Let us join forces and learn from, and with, each other how best to share the benefits of OA publishing and to increase its impact in the digital age.
OAPEN founding partners

The Netherlands
- Amsterdam University Press
- Leiden University Press
- Leiden University
- University of Amsterdam

United Kingdom
- Manchester University Press

France
- Press Universitaires de Lyon

Denmark
- Museum Tusculanum Press

Germany
- Göttingen University Press

Italy
- Firenze University Press
OAPEN offers publishers, research institutes and libraries effective new ways of disseminating scholarly work. We have developed a new publishing model to help you finance and produce monographs in Open Access and, most importantly, we have founded the OAPEN Library, a publishing platform designed to give global impact to peer-reviewed research from across Europe.

Our members have digital publishing programmes, make use of digital repositories, publish in different European languages, command a worldwide distribution network (including the US), and work closely with university libraries. All titles available through the OAPEN Library have been subject to a stringent peer-review process.

To support OA scholarly publishing and to build up our membership base, we have developed a variety of vital services, including a production centre to produce and maintain e-books, and the digital OAPEN Library which provides free and unrestricted access to a growing collection of peer-reviewed titles. The OAPEN Library incorporates a quality assurance system as well as a framework for authors and publishers. It will serve as a branded collection to increase the visibility and retrievability of European scholarly output, and to set quality standards for OA content.

The following overview outlines the principles behind OAPEN and the OAPEN Library; our new publishing model; OA content; production and marketing services on offer to OAPEN members; and membership options. For more information, please see www.oapen.org.
Open Access offers many advantages to all stakeholders in scholarly communications. For authors, it extends the reach of their work by ensuring worldwide access and retrievability. And as unrestricted access leads to increased usage, it will also increase the impact of their publications and citation rates. Researchers benefit from direct access to publications, improved search mechanisms across collections and ease of use. Research funders ensure unrestricted access to research results, thereby improving the return on their investment in research. And by funding OA publications, they can also guarantee publication of research results once they have passed peer review. Libraries are able to provide wider access to scholarly information. Ultimately, OA publishing offers a more effective and sustainable approach to the dissemination of knowledge through the OAPEN Library.

The OAPEN publication model is based on three fundamental principles:

- that research and dissemination of research results should not be separated but treated as essential elements in the scholarly communication process. We therefore recommend that research funding include the costs of dissemination;
- that academic institutes supporting Open Access should extend their policies to include OA publishing. In other words, they should promote not only OA archiving of existing publications (the ‘green road’), but also OA publishing (the ‘golden road’). In addition, funds for OA publications should be available for both articles and books;
- that academic publishers should develop OA publishing as a service to the scholarly community. This might be compared to the way many journal publishers grant authors the option of publishing their articles in Open Access within subscription-based journals.
The OAPEN Library
The OAPEN Library is a dedicated collection of scholarly titles (peer-reviewed monographs and edited volumes) in the humanities and social sciences.

The goals of the OAPEN Library are:
- to build a branded collection of OA peer-reviewed titles;
- to increase the visibility and retrievability of high-quality European research;
- to promote OA book publishing by setting quality standards for content, based on transparent procedures for peer review and recommendations for OA licences.

The OAPEN publication model
The OAPEN publication model incorporates a legal framework, a system for quality assurance and technical specifications. We have designed it to improve worldwide access to monographs, but also to bring down the growing economic barriers facing traditional monograph publishing. It is a hybrid publication approach, combining OA and traditional print (or Print on Demand) publishing. We recommend that publications conform to one of the existing Creative Commons licences.

Publishers remain free to publish and sell other formats such as traditional print books, PoD and e-book formats. Publishers produce the OA format as a service for which they can charge a publication fee. The costing system developed for the model helps to calculate and offset production costs against the fees.
Publication subsidies can be solicited from a variety of sources, such as research funders, universities and research institutes, research libraries or their consortia. The objective is to ensure both the publication of and access to peer-reviewed research results. Therefore, research funders may promote or request OA publication of funded research. We will list funding opportunities for OA books as far as we are aware of them, but authors and publishers should pursue their own lines of enquiry.

Quality control

Quality assurance is important, as the common perception of freely available online content is that it is somehow inferior to printed or subscription-based content, or at least that its value is unclear. To qualify for OAPEN membership, you need to publish mainly scholarly titles and follow peer-review procedures.

The procedures for peer review vary across borders and publishing traditions. While we do not rank these procedures, we do have minimum requirements: reviewing should be conducted by independent peers and/or editorial boards, and editors (including series editors) should not act as reviewers.

OAPEN requires publishers to describe their peer-review procedures and to make them available for publication on the OAPEN website. The aim of transparency in peer-review procedures is to ensure and promote academic standards, which will benefit all publishers in the long run. A checklist of review procedures will be made available from www.oapen.org.
Licensing options for Open Access content

Open Access extends the reach of publications by ensuring worldwide access and retrievability, leading to more citations and advancing the dissemination of knowledge. The OAPEN Library is set up as a branded collection of OA publications to increase the visibility of high-quality academic research in Europe.

Of course, permission is needed from the copyright owner of the publication concerned to include it for third-party use in the OAPEN Library. OAPEN offers several options, most of which are based on Creative Commons licences.

**Creative Commons – Attribution licence CC-BY**
End users are allowed to copy, distribute, display and perform the copyrighted work as well as create derivative works based upon it – but only if they give credit the way requested.

Other Creative Commons licences are more restrictive:

**Creative Commons – No Derivative Works CC BY-ND**
End users are allowed to copy, distribute, display and perform only verbatim copies of a work, not derivative works based upon it, with credit to the author.

**Creative Commons – Non-Commercial CC BY-NC**
End users are allowed to copy, distribute, display and perform the work – and derivative works based upon it – but for non-commercial purposes only. Although their new works must also acknowledge the author and be non-commercial, they do not have to licence their derivative works on the same terms.

**Creative Commons – Attribution Non-Commercial No Derivatives CC BY-NC-ND**
This licence is the most restrictive of the four Creative Commons licences offered by OAPEN, allowing redistribution of verbatim copies of the works only. This licence is often called the “free advertising” licence because it allows others to download the works and share them with others as long as they mention the author and link back to the author, but they cannot change them in any way or use them commercially.

As OAPEN strives to adhere as much as possible to the principles set out in the Berlin Declaration, we recommend the more liberal Creative Commons licences.

- For more detailed information on Creative Commons licences, see: [http://creativecommons.org/about/licenses](http://creativecommons.org/about/licenses)

The last form of licensing accepted by OAPEN – referred to as “all rights reserved” – does not conform to the definition Open Access of the Berlin Declaration and is therefore not to be considered as Open Access publishing. It is nevertheless accepted for inclusion in the OAPEN Library to help publishers make the transition to freely accessible publications, particularly their back list titles, and to build up a collection of freely accessible content.

**All rights reserved**
End users are allowed to do any of the acts permitted under their national copyright act, including reading the work online, downloading, printing and copying it for personal or educational purposes. Beyond this, all rights are reserved. Unless stated otherwise, all works in the OAPEN Online Library fall under the OAPEN Deposit Licence – all rights reserved.

All titles in the OAPEN Library will have ‘earmarks’ clearly indicating to users which type of licence applies to the work concerned.
OAPEN licensing toolkit
The OAPEN licensing toolkit has been developed to assist publishers in arranging the necessary licensing issues for their publications in the OAPEN Library. This toolkit includes, but is not restricted to, standard agreements between authors and publishers with explanatory documents, standard letters to authors and an overview of users’ rights. More details are available upon request. The licensing toolkit can be found on www.oapen.org.

Costing an Open Access title
The OAPEN publication model is based on the assumption that publishers produce OA formats as a service for which they can charge a publication fee. We recommend that research funding bodies contribute these fees. As this is still a new form of publishing and there are currently few opportunities to charge for OA books, OAPEN recommends that publishers consider making books available in Open Access regardless of funding, perhaps restricted initially to their backlist or a selection of new titles. By providing at least some of their titles through Open Access, publishers promote OA publishing, which will ultimately help to increase future funding opportunities.

If publishers can obtain such a fee for their OA titles, they will need to determine the fee level. OAPEN does not prescribe how these fees should be calculated. However, we do offer a step-by-step calculation to establish the cost of an OA edition. Our approach is to separate all direct production costs of the electronic version (such as organising peer review, editing, typesetting and some basic marketing) from production and distribution costs of other, non-OA formats (such as printing, distributing, marketing and sales), and then to add overhead costs as a fixed percentage of the direct costs per format. You will find a detailed case study in a sample costing on www.oapen.org.

Publishers must also decide if they want to base their publication fees on the full cost of the OA format. This depends on the budgeted revenue from other formats and might vary according to the type of publication and print run. Publishers might charge a percentage of the cost for the OA format if they expect to sell other formats in sufficient numbers. Alternatively, publishers could charge the full cost of the OA format and offer funders a percentage of net revenues. You can see examples of alternative funding mechanisms on www.oapen.org.

Services for academic publishers
When you join OAPEN, you will gain access to a range of valuable services in the publishing chain. These include a production centre to produce and maintain e-books, and the online OAPEN Library networked with the most relevant service providers worldwide.

Our service package operates at two levels: basic and optional. Your OAPEN membership fee covers the basic service options, tailored to meet the general requirements of OA scholarly publishing. We have learned about these from our own experience as publishers and through user needs studies while developing the project. The reports from these studies are available on www.oapen.org.

Marketing your books and your press
This is a key concern for all publishers. We have therefore dedicated significant resources to develop advanced marketing tools to give your books maximum exposure.

Entering a title in the OAPEN Library triggers a chain of marketing events. As soon as you deliver the bibliographic data/metadata for your books, they will be exported to a number of relevant databases, search engines and networks.
Publishing costs printed edition (€)


Distribution 1067
Printing 1650
Cover 275
Overhead 1058
Indirect personnel company 1550
Marketing and Sales 747
Royalties 1067

Publishing costs OA edition (€)


Peer review 400
Editing 2100
Formatting 450
XML to PDF 325
Basic marketing 300
Indirect personnel company 1300
Overhead 975
As all the data in the OAPEN Library use XML tagging and are compliant with industry standards for metadata export, OAPEN Library titles can be harvested by all international institutions that collect metadata. In this way, your titles will be visible in a large number of scholarly databases to millions of scholars worldwide. The set-up and maintenance of such export mechanisms is often beyond what smaller presses can manage on their own. OAPEN will integrate with search engines and service providers such as Amazon, Google Book Search, Google Scholar, OCLC Worldcat and promote the contents of the Library through various means such as RSS feeds, e-newsletters and brochures.

In addition to the basic service, we offer several additional options. These are fee-based and include an editorial workflow tool and a PDF and XML generator. The choice of these services depends on your specific needs and resources.

**The OAPEN Library functionality**

The OAPEN Library serves as the central node for the academic content, directly accessible to the end user, while providing access for other services providers, gateways and catalogues. At www.oapen.org you can try out the functionality of the OAPEN Library and familiarise yourself with all its features. Publishers can supply links to encourage sales of print copies of their OA e-books from their own websites or through Amazon. The OAPEN Library is constantly developing and enhancing its functionalities.

**Support information**

Many academic publishers face similar challenges, and enhanced cooperation is one of our core values. In this spirit, we share valuable information and experiences on all aspects of OA publishing.

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**Joining OAPEN**

OAPEN combines the advantages of an independently operating commercial venture with the benefits of being embedded in the scholarly community. Joining the OAPEN network involves no membership costs, while giving you privileged access to information-sharing and lobbying that are an important part of the initiative. Listing your titles in the OAPEN Library involves a fee which starts at around €700, depending on the size of your frontlist, as well as the number of titles submitted to the OAPEN Library.

**Who should join?**

- publishers with a focus on the humanities and social sciences who would like to explore Open Access;
- research institutions with an existing publishing programme or an interest in publishing;
- research funders with programmes for the humanities and social sciences.

OAPEN is also open to cooperation with other partners, as long as their business goals are consistent with Open Access.

**Why join?**

- OAPEN is a mission-driven network dedicated to promoting OA publishing as an essential service to the academic community. OA publishing is in the public interest and should be seen as an essential service to the scientific community and to society at large.
- We promote common standards and share valuable information on, and experiences of, markets as well as business and publishing models. We will save you time and effort in the transition to sustainable OA publishing.
Under the umbrella of our network, you will become part of the vanguard/consortium of OA publishing and will be one of the first to benefit from the transition that is currently taking place.

Specifications for OAPEN Library e-books

- **File format**
The OAPEN Library consists of two types of documents: PDF files and XML files. Most publishers have PDF files available, which can be directly viewed and allows visitors to the OAPEN Library to search through the complete contents of the file (full text search). XML files – following the TEI guidelines – may also be used. XML files enable enhanced navigation.

- **Metadata**
Each book must be accompanied by metadata. The metadata is based on the Dublin Core standard. While there are about 19 different fields available, only 10 are mandatory. For describing content, the use of the BIC standard is compulsory. This ensures maximum usability for OAPEN Library visitors, while keeping the obligations for publishers at an acceptable level.

- **Adding documents**
Publishers can upload files directly into the OAPEN Library, using a secure environment. As an alternative, the OAPEN Library can harvest documents from a publisher’s repository. In order to enable this, the repository must comply with the DRIVER guidelines.

Terms and conditions
Becoming a member of the OAPEN Library involves two formal steps. First, you need to comply with the technical, legal and quality standards outlined in this brochure. You will then need to sign an agreement to join OAPEN. The agreement is available on www.oapen.org.

Our annual fee comprising annual membership and individual services of the production centre, starting at around €700 per year, is calibrated to the size of your front list and the number of titles submitted to the OAPEN Library. Different rates apply to new entrants and publishers who are already OAPEN members. While the established members receive an annual discount, new ones pay the full fee for the first year to cover the more work-intensive integration process. In this way, OAPEN rewards the long-term commitment of its partners. The membership discount can be significantly improved if you publish at least 50 per cent of your list in Open Access.

As OAPEN membership is confirmed annually, termination should be announced three months prior to the end of current membership.
Checklist
If you would like to join OAPEN, we will need the following information (full technical specifications are available at www.oapen.org):

General
• Contact information: name, position, email address, phone number
• General URL of the publisher, web shop or hosting institution
• Short description of the peer-review procedure used
• If you have a web shop, can it be searched using an ISBN? What is the format of the ‘search URL’?
• Are your titles available through Amazon.com or one of the European Amazon stores?
• Are your titles available through the Google Book Search programme?

Books
• Are your books available as PDF or as XML file?
• If available as PDF, do they comply with the PDF/A Schema?
• If available as XML file, do they comply with the TEI Schema?
• The number of digital books suitable for OAPEN (peer-reviewed)
• Language(s) of your publications

Metadata
The minimum mandatory required metadata fields for each book are:
• Title
• Publisher
• Creator
• Date
• Subject – BIC codes
• Subject – keywords
• Format, e.g., book
• ISBN
• Abstract in English
• Rights status

All fields except Title must be submitted in English.

Repository
If you use a repository, the URL of the repository would be useful.
The OAPEN network

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Aarhus University Press
AAUP – Association of American University Presses
Academia Press
Akademie Verlag
Aksant
Arbeitsgemeinschaft der Universitätsverlage
Athabasca University Press
Atlantis Press
Bochumer Universitätsverlag – Bochum University Press
Brill
DANS – Data Archiving and Networked Services
Editions de l’Université de Bruxelles
EKT – National Documentation Centre; EKT – National Hellenic Research Foundation
Forlagsgenossen – Danish Publishers Association
Huygens Institute
Igitur – Utrecht Publishing & Archiving Services
IMISCOE – International Migration Integration Social Cohesion
Institute of Economic Analysis & Prospective Studies at Al Akhawayn University
IOS Press
JISC Collections
KITLV Press
KNAW – The Royal Academy of Arts and Sciences
Ledizioni – Ledipublishing
NIOD, Netherlands Institute for War Documentation
Open Book Publishers
Open Humanities Press
Oxford University Press
Pickering & Chatto Publishers
Polimetrica
Purdue University Press
SLUB – Sächsische Landes-bibliothek / Staats- und Universitätsbibliothek Dresden
SPARC Europe – Scholarly Publishing and Academic Resources Coalition
Techne Press
Unipub – Oslo Academic Press
Universitat de València
Université Libre de Bruxelles
University of Calgary Press
Verlag der Österreichischen Akademie der Wissenschaften