Introduction

Open access for books

This subsection serves as an introduction to open access for academic books. Topics include what open access is, what its benefits are, common myths about open access, digital and print publication books, the difference between open access and non-open access books and how open access books differ from open access journals.

For authors

OA books landscape

The following articles delve into the concept of open access publishing, exploring its fundamental principles and how it differs from traditional publishing models.

The definitions and forms of open access literature are explained, highlighting the importance of accessibility and the removal of barriers for readers. Moreover, an overview is given of the support available from research institutions for authors considering publishing open access, detailing the resources and policies they must navigate. Finally, one of the articles contrasts open access and non-open access books, examining differences in rights, quality, availability, cost and formats.

Together, these pieces provide a useful overview of the open access landscape, emphasising its growing significance in scholarly communication.

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Articles

- What is open access?
  Open-access (OA) literature includes all scholarly outputs that are digital, online, free of charge, accessible without the registration or other access barriers, and free of most copyright and licensing restrictions. OA is entirely compatible with peer review, and all the major OA initiatives for scientific and scholarly literature insist on its importance.
- Checking OA book policies
  Institutions and funders increasingly require that researchers make their books openly available in order to maximise the impact of the research they support. Open access policies vary considerably, so you should check what requirements apply to you prior to choosing a publisher to ensure that they can comply.
- more

For authors

The benefits of OA

This collection of articles provides insights into the benefits and rationale behind publishing open access books, particularly highlighting diverse success stories of open access authors.

Publishing open access books offers significant advantages such as increased readership, wider distribution and higher impact, enabling both academic and non-academic audiences to access the books freely. Open access benefits early career researchers by boosting visibility, expanding ethical research sharing and enhancing citation opportunities, although challenges such as costs and publisher quality must be considered.

Despite misconceptions about the quality of open access, the growing support from funders and successful case studies highlight its potential for real-world impact, scholarly advancement and broader audience engagement.

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Articles

- Open access book 'success stories': the authors write
- Why publish an open access book?
  Publishing open access means your book or chapter can be read, reviewed, shared, and cited without depending on readers buying it or libraries stocking it. Open access therefore greatly increases the opportunities for your work to be read widely and to have an impact on the world.
- more

For authors

Beyond monographs

Research data is vital for supporting open access books and maintaining research integrity. Good research data management (RDM) ensures that data is organised, stored and shared effectively, with institutional support often available for planning and ethics considerations. Sharing data in repositories can boost citations and collaboration opportunities, although ethical constraints, such as confidentiality in medical and social sciences, may limit data sharing.

Funders and publishers may require data to be openly available and some publishers offer tools to help manage and publish research data. The two articles in this section unfold these topics and also address important differences between open access and non-open access book publishing.

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Articles

- [Research data and open access books](#)
  Your book may have research data associated with it that requires management. Sharing your data can generate more interest in your work.
- [The difference between open access and non-open access books](#)
  When considering which model to choose, what are the fundamental differences between an open access book and a non-open access book?

For authors

Author success stories

This collection of case studies features a group of authors who explain in their own words how open access publication has benefited their work. The authors come from different disciplinary and geographical backgrounds and have published with a range of publishers; they explore different reasons why open access was a successful choice for them.

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Articles

- [Open access book 'success stories': the authors write](#)
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Introduction

OA books landscape

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The definitions and forms of open access literature are explained, highlighting the importance of accessibility and the removal of barriers for readers. Moreover, an overview is given of the support available from research institutions for authors considering publishing open access, detailing the resources and policies they must navigate. Finally, one of the articles contrasts open access and non-open access books, examining differences in rights, quality, availability, cost and formats.

Together, these pieces provide a useful overview of the open access landscape, emphasising its growing significance in scholarly communication.

OA books landscape - articles

What is open access?

Open-access (OA) literature includes all scholarly outputs that are digital, online, free of charge, accessible without the registration or other access barriers, and free of most copyright and licensing restrictions. OA is entirely compatible with peer review, and all the major OA initiatives for scientific and scholarly literature insist on its importance.

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Checking OA book policies

Institutions and funders increasingly require that researchers make their books openly available in order to maximise the impact of the research they support. Open access policies vary considerably, so you should check what requirements apply to you prior to choosing a publisher to ensure that they can comply.

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Common myths about open access

This section aims to dispel some of the myths around open access publishing and includes sub-sections on print, peer review, quality and prestige, book processing charges, third party copyright and plagiarism.

Research institutions

Your employer may have specific services available to help you when publishing a book open access. You will also be required to adhere to their policies.

The difference between open access and non-open access books

When considering which model to choose, what are the fundamental differences between an open access book and a non-open access book?

The research life cycle in relation to the publication of an open access book

Researchers may be obliged to publish their work open access or may want to explore their options of publishing open access. This article describes a typical research life cycle, consisting of eight stages that relate to the eventual publication of the research results in book form. Each life cycle phase introduces specific questions relating to authoring and publishing open access books that researchers may want to consider as their research progresses.

Open access for books

- OA books landscape
- The benefits of OA
- Beyond monographs
- Author success stories

Open access for books

What is open access?

Published June 21 2024 | Revised October 1 2024

Open access (OA) literature includes all scholarly outputs that are digital, online, free of charge, accessible without registration or other access barriers and free of most copyright and licensing restrictions. Open access is entirely compatible with peer review and all the major open access initiatives for scientific and scholarly literature insist on its importance, see also.

There are typically two forms of open access. Open access definitions suffer from a lack of standardisation within the community, but these types are generally understood to be:

- Gratis open access: the practice of making a work available online free of charge.
- Libre open access: the practice of making a work available online free of charge and with some additional reuse rights, typically granted through a Creative Commons (CC) licence.

Gratis open access removes price barriers, whereas libre open access additionally removes at least some permission barriers, allowing users to copy, redistribute and/or adapt a work. Open access contrasts with more traditional models of restricted access publishing in which copies of works are made available direct only to paying customers. Read more

Exact definitions of open access are the subject of debate. It is important to note that many open access proponents and some research funders do not consider a work truly openly accessible if it only meets gratis open access requirements. Indeed, only libre open access is compliant with most major international statements that define open access.

Source acknowledgements

This section draws on definitions of open access provided by:

- The OASPA Code of Conduct Statement on Open Access, which is made available under a CC BY 4.0 licence, https://creativecommons.org/licenses/by/4.0/
- A Very Brief Introduction to Open Access by Peter Suber and used under a CC BY 3.0 United States licence, https://creativecommons.org/licenses/by/3.0/

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- Suber, P. (2004). A Very Brief Introduction to Open Access. Retrieved from https://dash.harvard.edu/handle/1/4727454

Further reading

- A genealogy of open access: negotiations between openness and access to research. https://digitalcommons.unl.edu/scholcom/61/)
- A Very Brief Introduction to Open Access https://dash.harvard.edu/handle/1/4727454
- How Open Is It? http://www.sparc.arl.org/sites/default/files/hoii_guide_rev4_web.pdf
- Open Access Scholarly Publishers Association Code of Conduct https://oaspa.org/membership/code-of-conduct/
- Read the Budapest Open Access Initiative https://www.budapestopenaccessinitiative.org/read

Open access for books

Research institutions

Published June 21 2024 | Revised September 26 2024

Your employer may have specific services available to help you when publishing a book open access. You will also be required to adhere to their policies.

Many organisations provide help that may include:

- open access and research data management services to advise and support authors. These are often centrally based in a library or research office. There may also be local discipline-specific support within faculties;
- support with publication costs, a university press, or help liaising with funders who offer support;
- project coordinators and research support offices to help with grant applications to support your book;
- intellectual property advice (sometimes based in a Research and Commercialisation or University Affairs office);
- local peer review in your faculty;
- support from colleagues on choosing an appropriate publication venue for your topic;
- additional visibility of your research outputs via public-facing platforms such as the repository, staff profiles and university web pages;
- training and guidance on advertising your work online (see University of Glasgow for an example of an institutional page which aims to support you on this subject);
- training and guidance on exploring interest in your work (see Utrecht University for an example of an institutional page which aims to support you on this subject).

Your organisation may expect you to:

- familiarise yourself with local policies;
- communicate your research;
- register accepted research outputs such as publications and the associated research datasets on a central information system and/or repository;
- consider choosing a publication route that offers open access;
- consider how publication routes align with any open access requirement of your funders;
- ensure your affiliation to the organisation is accurately worded in the publication;
- rectify any inconsistencies or errors in the published material;
- support colleagues, especially early career researchers or research assistants in understanding open access for books.

Research organisations:

- are committed to good research practice frameworks such as the [Concordat to Support Research Integrity](#) (this includes open communication in making research findings widely available);
- use levels of open access as indicators of success and may return these in national assessment exercises, such as the [Research Excellence Framework](#) (REF).

Further reading

- Developing your digital footprint https://www.gla.ac.uk/myglasgow/research/development/rescomms/
- Publishing Support https://www.uu.nl/en/university-library/advice-support-to/researchers/publishing-support?utm_source=internet%20UU-EN&utm_medium=nieuwsberichtEN&utm_campaign=UB-%20Lancering%20Publishing%20Support
- Research Excellence Framework https://www.ref.ac.uk/
- The concordat for research integrity https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/the-concordat-for-research-integrity.aspx

Open access for books

The difference between open access and non-open access books

Published June 21 2024 | Revised September 25 2024

When considering which model to choose, what are the fundamental differences between an open access book and a non-open access book?

Rights

Where a non-open access book typically assigns most, if not all, copyright to a publisher, an open access book usually takes a [Creative Commons (CC) licence](#) which permits authors to retain copyright, whilst allowing readers to redistribute, re-use and adapt the content in new works under the terms of whichever [licence is applied](#). As a result, if you want to include [third-party material](#) in your open access book, you must notify the rights holder of the licence under which your book will be released when seeking permissions.

Quality

Publishing open access does not affect the quality of a book (Springer Nature, 2018). Most publishers apply the same standards and procedures for both open access and non-open access titles, from editorial processes such as peer review, to production processes including design and typesetting.

Availability

An open access book will usually be made available via the publisher's website as well as other ebook platforms such as the [OAPEN Library](#), though these may [vary by publisher](#). However, you can also make your book available elsewhere, such as on a department webpage or on your own website. A non-open-access book will only be available via the conventional routes: for purchase, or within a library that has purchased a copy. These [policies](#) will vary across publishers.

Cost

There may be a charge to cover the costs of making the book open access, but this depends on the model for publishing. There may also be funds available to cover the

costs (see [Overview of available Funding](#)). Royalty payment policies may also differ between publishers for open access and non-open access books (see [Contracting and copyright](#)).

Formats

Depending on the publisher, an open access book may be available in different formats to a non-open access book. For example, some publishers may only make a PDF version open access, whilst others will make the book available in the same ebook formats as non-open access (Wellcome Trust, 2015), such as HTML, EPUB and MOBI. The open access book may also be made available for purchase in print.

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- Wellcome Trust. (2015). Open Access Monographs and Book Chapters: A practical guide for publishers. Retrieved from https://wellcome.ac.uk/sites/default/files/wtp059497.pdf

Further reading

- Copyright and licensing for open access books https://www.springernature.com/gp/researchers/the-source/blog/blogposts-open-research/copyright-and-licensing-for-open-access-books/17458878
- Marking your work with a CC license https://wiki.creativecommons.org/wiki/Marking_your_work_with_a_CC_license
- Open Access and Monographs https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/UUK-Open-Access-Evidence-Review.pdf

Introduction

The benefits of OA

This collection of articles provides insights into the benefits and rationale behind publishing open access books, particularly highlighting diverse success stories of open access authors.

Publishing open access books offers significant advantages such as increased readership, wider distribution and higher impact, enabling both academic and non-academic audiences to access the books freely. Open access benefits early career researchers by boosting visibility, expanding ethical research sharing and enhancing citation opportunities, although challenges such as costs and publisher quality must be considered.

Despite misconceptions about the quality of open access, the growing support from funders and successful case studies highlight its potential for real-world impact, scholarly advancement and broader audience engagement.

The benefits of OA - articles

Open access book 'success stories': the authors write

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Why publish an open access book?

Publishing open access means your book or chapter can be read, reviewed, shared, and cited without depending on readers buying it or libraries stocking it. Open access therefore greatly increases the opportunities for your work to be read widely and to have an impact on the world.

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Benefits of open access book publishing for early career researchers

This article discusses the particular benefits of open access book publishing with respect to distribution, online portfolios, and impact and ethics for early career researchers, while addressing important challenges of publishing open access.

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Open access book 'success stories': the authors write

Published June 21 2024 | Revised September 25 2024

This collection of case studies features a group of authors who explain in their own words how open access publication has benefited their work. The authors come from different disciplinary and geographical backgrounds and have published with a range of publishers; they explore different reasons why open access was a successful choice for them.

There are [many good reasons](#) to publish an open access book, but it is not yet the default publication route for most authors. Why, then, should you take the plunge and pursue open access for your work?

In this collection, a range of authors detail their own experiences publishing open access, and how it has resulted in a successful outcome for their book. Each author answered the same set of questions and each case study includes a description of the book and how it can be accessed. However, the meaning of 'success' was not defined, in order to give free reign to authors to comment on their own experiences of publishing open access, and to explore what 'success' in that context means to them.

The case studies brought together here reveal many different types of success that can be enabled by open access. These include: a greater number of readers than expected, leading to more citations and further invitations for collaboration; a more significant impact in practice among a non-academic or para-academic audience; swifter adoption for teaching; more widespread discussion about the book and its arguments than might otherwise have been expected; a rapid impact on a quickly-moving subject; fruitful leeway for experimentation in the form of the book; the ability to align the politics of the author's arguments with the way those arguments are published; the increased availability of the book to particular groups or regions; heightened visibility afforded to a marginalised topic.

These different types of 'success' are perhaps surprising in their number and heterogeneity, going beyond the clear but characterless emphasis on 'greater usage' or 'more equitable access' to delve into what that means in practice, and the granular, meaningful change it can bring about.

We have suggested keywords below for each 'success story' in order to make the collection easier to browse as it grows. The full collection is gathered together by the OAPEN OA books toolkit. However, we have also included links to the stories at their respective publishers' websites in the 'Further reading' section below.

We hope that these stories will inspire authors who haven't yet published an open access book to do so, as well as showcasing some of the excellent open access books that are available to read. We also hope that this collection encourages publishers and their authors to submit further success stories. For help and guidance about how to do so, please contact Claire Redhead: claire.redhead@oaspa.org (OASPA).

Finally, we would like to thank the participating publishers and their authors for contributing to this collection of success stories.

Further reading

- The Open Access Books Network 'OA Workouts' series (October 2021 - January 2022), including five authors discussing their open access books and the opportunities and challenges of publishing OA, https://openaccessbooksnetwork.hcommons.org/2022/01/26/just-doing-it-five-talks-on-digital-scholarship-and-open-book-publishing/
- Springer Nature author case studies https://www.springernature.com/gp/open-research/journals-books/books/testimonial

Why publish an open access book?

Published June 21 2024 | Revised October 1 2024

*Publishing open access means your book or chapter can be read, reviewed, shared and cited without depending on readers buying it or libraries stocking it. Open access therefore greatly increases the opportunities for your work to be read widely and to have an impact on the world.

An open access book or chapter can be accessed more easily upon publication and over time, therefore attracting a much wider audience. Open access publications fulfill a broader range of funder mandates and can be readily shared, discussed and debated, thus providing more opportunities for peer and public engagement.

Increased readership, usage and citation

Open access books are available to anyone with an internet connection, anywhere in the world, which greatly increases the opportunities for your work to be read, discussed and cited.

Sales of academic monographs are declining (Jubb, 2017) while in contrast, open access books are accessed and downloaded in large numbers and there is some evidence to suggest they receive more citations than non-open access books. Publishers often make their usage data available to authors, allowing you to track how often your book is read and cited around the world.

Wider and more diverse audiences

As open access books can be more easily discovered and shared, publishing your work as an open access book can lead to audiences outside of your usual networks finding your research. Not only do open access books reach a larger audience but they have the potential to reach a more diverse one, including academics from other disciplines, independent researchers, policymakers, industries and the general public. This could lead to greater awareness of your research, more conference invitations and more collaborative opportunities. Open access work is also more accessible for institutions and individuals who might lack the resources to purchase it otherwise, and for people with disabilities who struggle to access a library easily (Eve, 2019).

Real-world impact and public engagement

As open access books can be widely read and shared, they can more easily receive public notice. For example, the open access anthology Tolerance: The Beacon of the

[Enlightenment](#) (Warman, 2016) received considerable media attention (Chester, 2016; Coughlan, 2016; Flood, 2016; Provata-Carlone, n.d.; Reisz, 2016) in the wake of the Charlie Hebdo shootings in France, and has received [over 51,000 views and downloads to date](#) (OBP b, n.d.). Open access work can also be discussed and shared easily on social media.

[Altmetrics](#) can be used to track these types of public impact, which can be integrated into the usage data that the publisher shares (University of Pittsburgh Library Guides, n.d.).

Open access work can also be more easily used in areas such as [policy development, school education and citizen science](#) (Tennant et al., 2016) while events such as the COVID-19 pandemic have demonstrated the value of [open access in the humanities as well as the sciences](#), particularly in times of crisis (Van Gerven Oei, 2020).

Quicker and more lasting impact

Open licences and digital distribution allow swift access to newly published material. Open access work is also much more likely to remain accessible over time, as it does not rely on the publisher printing more copies in order to circulate.

Open research, better research

Open access creates more possibilities for readers to engage with and improve your research. For example, depending on the [licence](#) chosen, textbooks can be made available in interactive editions with teacher annotations; chapters can be easily extracted for course packs; bibliographies can be uploaded to Wikiversity for continual updating; and there are particular disciplinary benefits for certain subjects, such as [anthropology](#) (Miller, 2012).

Greater author control

Authors usually retain copyright and reuse rights when publishing open access, giving you much greater control over your own work. [Effective promotion](#) and sharing of your own work are more easily achieved when you can send readers a link to access the book freely.

Compliance with funder mandates

An increasing number of [major funders](#), particularly in the UK and Europe, have an open access policy for the work they support.

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Further reading

- Impact of Open Access https://libguides.qub.ac.uk/openaccess/impact
- Open Access benefits https://sparceurope.org/what-we-do/open-access/oa-benefits/
- The Impact of Open Access: A Visual Framework https://www.bepress.com/portfolio_dc/impact-open-access-framework/

Benefits of open access book publishing for early career researchers

Published June 21 2024 | Revised September 25 2024

This article discusses the particular benefits of open access book publishing with respect to distribution, online portfolios and impact and ethics for early career researchers, while addressing important challenges of publishing open access.

Why is open access publishing important for early career researchers (ECRs)?

Early career researchers are increasingly drawn to open access publishing as it not only facilitates career advancement through the dissemination of research but it also responds to the growing demand on authors to establish an online presence and satisfies an increased desire for ethical commitment (Roscoe, 2020).

As an early career researcher, you can also benefit from the broader advantages of open access, which apply to all researchers, including global geographical distribution and readership reach, higher impact and citation rates, equity, innovative metrics and the retainment of copyright (See Why publish an open access book?).

Online portfolio

The creation of an online portfolio allows you to benefit from open access publishing by achieving greater visibility through self-promotion (See Self-promotion).

Impact and ethics

Open access publishing will allow you to expand repertories of scholarly communication, thereby promoting transparency and reproducibility. For example, you can share your findings as a way of "giving back to the community", while relevant stakeholders, including those in industry, policy, advocacy and activism, have a greater chance of accessing your work (Early Career Researchers Advisory Board for Wellcome Open Research, 2020; Miller, 2015).

Challenges

The challenges of open access book publishing which you may face as an early career researcher include imposed restrictions on flexibility of publishing, necessary costs such

as book processing charges, time investment such as curating your own online portfolio, and the emerging "incentive structure" (Allen & Mehler, 2019).

If you are looking to publish your first book, you should consider both the advantages and disadvantages of publishing with a university press, a commercial or scholar-led publisher. In certain disciplines, publishing your first book with a university press is considered a mark of distinction, whereas in other disciplines, this is inconsequential.

If you are looking to establish yourself as an early career researcher, do not be put off by misinformation about open access publishing. Myths, such as open access books being of poor quality, are gradually being dispelled thanks to the increased production of high-quality open access books and the growing number of funders who mandate open access for books. In some cases, early career researchers have become early-adopters of open access, as they seek to connect with relevant communities and stakeholders.

When considering a potential publisher, you should enquire about quality assurance, peer review procedures, editorial guidance and the degree of copy-editing, marketing and promotion support which you will receive. You should also be aware that open access publishing has become increasingly commercialised (See How to choose a publisher for your open access book).

Please note that some publishers do not deliver the rigour of academic scrutiny expected of scholarly publishing nor provide appropriate standards of service, which may limit the visibility of your publication. This is sometimes referred to as "Predatory publishing", seeking to take advantage of your receptivity to open access (Berger, 2017), and, under the auspices of "public value", may mislead you into publishing material in bogus outlets (Holmwood, 2018).

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Further reading

- Understanding books http://kuresearch.org/experiences.htm

Introduction

Beyond monographs

Research data is vital for supporting open access books and maintaining research integrity. Good research data management (RDM) ensures that data is organised, stored and shared effectively, with institutional support often available for planning and ethics considerations. Sharing data in repositories can boost citations and collaboration opportunities, although ethical constraints, such as confidentiality in medical and social sciences, may limit data sharing.

Funders and publishers may require data to be openly available and some publishers offer tools to help manage and publish research data. The two articles in this section unfold these topics and also address important differences between open access and non-open access book publishing.

Beyond monographs - articles

Research data and open access books

Your book may have research data associated with it that requires management. Sharing your data can generate more interest in your work.

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The difference between open access and non-open access books

When considering which model to choose, what are the fundamental differences between an open access book and a non-open access book?

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Research data and open access books

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Your book may have research data associated with it that requires management. Sharing your data can generate more interest in your work.

Research data is any information (digital or physical) required to underpin research. It takes many forms and can vary by discipline ranging from measurements, numbers and images to documents and publications. Research data management (or RDM) is the organisation, storage, preservation and sharing of data collected and used in a research project. There are growing research data requirements imposed by funders and publishers (University of Pittsburgh, Library System. n.d.).

Good research data management is crucial for verification of results and to maintain the integrity of the research. Shared data also allows researchers to replicate work efficiently and add to existing datasets (Jisc, n.d.).

Institutional support

Your school or college may have local project coordinators or peers who can help you include costs for data management in funding applications.

Most research institutions have a research data management service or local data contacts, sometimes referred to as champions or stewards, who can help you with the research data management needs specific to your discipline. Support might include reviewing data management plans, advice on ethics, consent, data protection, organising and storing your data, sharing all or part of your data or restricting access where necessary and providing a unique digital object identifier (DOI) to cite your data.

If you do not have an institutional data management service there are many sources of advice available. Examples include the e-learning Foster Open Science (FOS) which includes training materials on Open Science or The Digital Curation Centre (DCC), a centre of expertise in digital information curation with a focus on research data management (FOS, 2018; DCC, n.d.), and How to be FAIR with your data. A teaching and training handbook for higher education institutions.

Can all research data be shared?

This will depend on the agreements you have with any collaborators or funders and whether there is any third party copyright. A good data management planning process will help you consider data sharing questions (an example here).

Ethical issues around data concerning human subjects may determine if data can be shared.

Some disciplines such as Natural Sciences and Engineering are less likely to use human participants whereas Medical and Social Sciences, which often rely upon human participants, may not be able to share all of their research data due to reasons of confidentiality or anonymity.

As well as research and data management services your organisation is likely to have ethics committees and processes to assist with determining what is appropriate to share. You should consider this before gathering the data.

Data repositories

Some funders require data to be stored in a specific repository (an example here). Otherwise it is recommended that you post your data to a relevant subject repository where it has the most chance of being found by others who may cite it or want to collaborate with you. The Registry of Research Data Repository web page is a good tool to find a suitable repository If there is no suitable repository, or if your research institution requires it, most have an institutional repository and will provide storage for you. One study found that researchers who shared their data in a repository were associated with an average 25% increase in citations to their research papers (Colavizza, Hrynaszkiewicz, Staden, Whitaker & McGillivray, 2020).

Seek help from your institutional research data management support at an early stage particularly if you have a large or unusual dataset.

Publisher support and requirements

Publishers may encourage or require you to provide a statement about where data that supports your results can be found, and in some cases may require you to make the data openly available, although this is more common in STM journals than books. Some publishers have tools and services to assist authors in managing and sharing their data, including the option to publish data descriptors (essentially short articles) of valuable data sets.

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Further reading

- Information Guide (1): Introduction to Ownership of Rights in Research Data http://eprints.gla.ac.uk/171314/1/171314.pdf
- Information Guide (2): Making Research Data Available. http://eprints.gla.ac.uk/171315/1/171315.pdf
- Information Guide (3): Choosing a Licence for Research Data http://eprints.gla.ac.uk/171316/1/171316.pdf
- Information Guide (4): Frequently Asked Questions: Using Research Data http://eprints.gla.ac.uk/171317/1/171317.pdf
- Registry of Research Data Repositories https://www.re3data.org/
- Toads, embryos and the selfish benefit of good research data management. https://www.jisc.ac.uk/blog/toads-embryos-and-the-selfish-benefit-of-good-research-data-management-01-apr-2020

The difference between open access and non-open access books

Published June 21 2024 | Revised September 25 2024

When considering which model to choose, what are the fundamental differences between an open access book and a non-open access book?

Rights

Where a non-open access book typically assigns most, if not all, copyright to a publisher, an open access book usually takes a Creative Commons (CC) licence which permits authors to retain copyright, whilst allowing readers to redistribute, re-use and adapt the content in new works under the terms of whichever licence is applied. As a result, if you want to include third-party material in your open access book, you must notify the rights holder of the licence under which your book will be released when seeking permissions.

Quality

Publishing open access does not affect the quality of a book (Springer Nature, 2018). Most publishers apply the same standards and procedures for both open access and non-open access titles, from editorial processes such as peer review, to production processes including design and typesetting.

Availability

An open access book will usually be made available via the publisher's website as well as other ebook platforms such as the OAPEN Library, though these may vary by publisher. However, you can also make your book available elsewhere, such as on a department webpage or on your own website. A non-open-access book will only be available via the conventional routes: for purchase, or within a library that has purchased a copy. These policies will vary across publishers.

Cost

There may be a charge to cover the costs of making the book open access, but this depends on the model for publishing. There may also be funds available to cover the costs (see Overview of available Funding). Royalty payment policies may also differ

between publishers for open access and non-open access books (see [Contracting and copyright](#)).

Formats

Depending on the publisher, an open access book may be available in different formats to a non-open access book. For example, some publishers may only make a PDF version open access, whilst others will make the book available in the same ebook formats as non-open access (Wellcome Trust, 2015), such as HTML, EPUB and MOBI. The open access book may also be made available for purchase in print.

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- Wellcome Trust. (2015). Open Access Monographs and Book Chapters: A practical guide for publishers. Retrieved from https://wellcome.ac.uk/sites/default/files/wtp059497.pdf

Further reading

- Copyright and licensing for open access books https://www.springernature.com/gp/researchers/the-source/blog/blogposts-open-research/copyright-and-licensing-for-open-access-books/17458878
- Marking your work with a CC license https://wiki.creativecommons.org/wiki/Marking_your_work_with_a_CC_license
- Open Access and Monographs https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/UUK-Open-Access-Evidence-Review.pdf

Introduction

Publishing open access books

This subsection looks at the publication process: how it relates to the research life cycle, what options authors have when considering to publish an open access book, how to find publishers that meet your needs, the services that you can expect from publishers, the peer review process, explanations of the legal context of publishing (the book contract, licensing, rights management), how open access books are made discoverable and how they can be re-used.

For authors

Publishing options

The articles in this section offer essential insights into the publication process, guiding authors on how to select suitable publishers, anticipate potential delays and manage costs efficiently.

The significance of understanding various digital formats – including PDF, HTML, EPUB and Kindle – is underscored as each presents unique advantages and accessibility features. Furthermore, considerations regarding copyright, peer review processes and discoverability are explored, ensuring authors are well-equipped to make informed decisions.

The articles also delve into the complexities of self-publishing that offers more control and speed but lacks the support and peer review process offered by established publishers. The different types of publishers are also discussed, including commercial, university and academic-led presses, all offering different services.

Finally, services like the Directory of Open Access Books and OAPEN help find suitable publishers for open access books.

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Articles

- Digital and print publication
  This section focuses on the digital and print publication of your book, providing a few essential hints to help you identify suitable publishers, predict and avoid delays, reduce cost and minimise the time it will take you to publish your manuscript.
- How to choose a publisher for your open access book

As with any book proposal, when choosing a publisher for your open access book you should consider whether they publish high-quality work in your subject area, but also explore important issues including licensing, fees, and discoverability.

- [more](#)

For authors

Discoverability and dissemination

In the evolving landscape of academic publishing, ensuring the discoverability and dissemination of open access works is paramount for authors and publishers alike. The articles in this section explore how open access publications can reach a wider audience, examining the critical role of various platforms, library systems and digital tools in enhancing visibility. They will highlight the importance of effective metadata – including persistent identifiers such as DOI and ORCID – and strategic marketing, as well as the value of self-promotion by authors.

By leveraging these methods, researchers can significantly amplify the impact of their work, facilitating greater engagement and accessibility in an increasingly interconnected scholarly environment.

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Articles

- [Dissemination and discoverability](#)
  Authors expect publishers to ensure that their works are as widely disseminated as possible. This article examines the various methods readers can use to discover and access your research.
- [Marketing](#)
  After your open access book has been published, how will your publisher market and promote your work?
- [more](#)

For authors

Quality assurance & peer review

The quality of peer review is independent of whether a book is published open access or not, with reputable publishers ensuring high standards regardless. Authors should check the credentials of publishers to ensure that proper peer review and editing is undertaken.

In this article, tools are discussed that can help authors identify trusted publishers, like 'Think, Check, Submit' and the Directory of Open Access Books (DOAB). Peer review practices vary across disciplines and countries and there are ongoing discussions about improving peer review, including experimenting with open peer review models.

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Articles

- [Peer review and quality control](#)
  Peer review, selective submission standards, editorial support and other attributes of prestigious publication are independent of the openness of the publication. Some open access publishers apply the highest standards of quality control, some non-open access publishers publish low-quality works and vice versa. When publishing your book open access, always check the credentials of the publisher.

Introduction

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The significance of understanding various digital formats – including PDF, HTML, EPUB and Kindle – is underscored as each presents unique advantages and accessibility features. Furthermore, considerations regarding copyright, peer review processes and discoverability are explored, ensuring authors are well-equipped to make informed decisions.

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Finally, services like the Directory of Open Access Books and OAPEN help find suitable publishers for open access books.

Publishing options - articles

Digital and print publication

This section focuses on the digital and print publication of your book, providing a few essential hints to help you identify suitable publishers, predict and avoid delays, reduce cost and minimise the time it will take you to publish your manuscript.

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How to choose a publisher for your open access book

As with any book proposal, when choosing a publisher for your open access book you should consider whether they publish high-quality work in your subject area, but also explore important issues including licensing, fees, and discoverability.

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Self-publishing your open access book

There are advantages and disadvantages to self-publishing an academic book. Advantages include speed and autonomy. Disadvantages include the labour involved and the lack of peer review, quality assurance, dissemination and marketing support provided by a reputable press. This article explores these issues and the tools and platforms that can enable you to self-publish.

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Types of publishers and publishing services

There are multiple types of publishers which differ in their approaches and operating models but offer broadly similar services. This article details the types of publishers, the services you should expect, and some of the charges you might encounter.

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How to find open access book publishers

The Directory of Open Access Books (DOAB) is the largest resource to find open access book publishers, with around 400 publishers listed. Other ways to find open access book publishers include the OAPEN list of compliant publishers, the list of OASPA members, and various platforms that host open access books. Self-publishing may also be an option for you.

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Publishing OA books

- Publishing options
- Discoverability and dissemination
- Quality assurance & peer review

Publishing OA books

Digital and print publication

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*This section focuses on the digital and print publication of your book, providing a few essential hints to help you identify suitable publishers, predict and avoid delays, reduce cost and minimise the time it will take you to publish your manuscript.

It is in everyone's interest to have your book produced as quickly and accurately as possible to achieve timely dissemination of new research and ideas. One way of ensuring this is to have clear discussions with the publisher regarding the editorial and production requirements.

Digital formats: Various digital formats are available. It is important to be clear about what you would like and to know if the publisher offers this output, as not all publishers offer all formats and there may be additional costs depending on the business model.

PDF (Portable Document Format)	Most publishers will offer the book in this format. It is widely used and accessible though will have a limited search function.
HTML (Hypertext Markup Language)	You may want your book to have website integration, in which case you will require an HTML output to be produced. Some publishers will offer this but it may also be possible to have this on certain OA hosting sites.
EPUB	By far the most searchable format and compatible with eReaders, this format allows greater accessibility to visually impaired readers and the ability to read the book offline.
Kindle file format	The format used by Amazon, which allows the same functionality of an EPUB.

[Persistent identifiers (PID)](#): Previous ways of measuring the success of a book, through sales and traditional citations, are not as appropriate for open access books, for which usage data and [altmetrics](#) are more important. To clearly identify an online work and facilitate measurement of usage in both scholarly and non-scholarly environments, it is essential that a Digital Object Identifier (DOI) is assigned to your book and preferably to every chapter as well. Similarly, you should check that your publisher works with standardised identifiers for authors and other contributors, such as ORCiD or ISNI, to ensure that credit for your work is allocated to you.

Can readers get a print copy? Most publishers will offer a print version through their distribution services. If the publisher offers print-on-demand (POD), then your options

for trim size may be more limited than publishers may previously have been able to offer. This standardisation of the trim size will mean that the title will be printed consistently and easily every time it is purchased through a POD service.

Metadata: Be clear in your discussions from the outset about the title, sub-title and other bibliographic information about your book. This will allow the publisher to promote and disseminate your book's metadata sooner, thus increasing the discoverability of your book, and the increased use of your work. Consider publishers who engage with standardised metadata (See Metadata).

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Publishing OA books

How to choose a publisher for your open access book

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*As with any book proposal, when choosing a publisher for your open access book you should consider whether they publish high-quality work in your subject area, but also explore important issues including licensing, fees and discoverability.

Many academic publishers produce open access books, including university, commercial and academic-led publishers (See Types of publishers and publishing services). A publisher should give clear information on their website about the services they offer and any fees involved, the open access model they offer and their peer-review processes. They should provide accurate contact details, including a named contact, phone number and physical address.

Consider whether the publisher is a member of OASPA and thus fulfils the OASPA membership criteria, and consult sources, such as the OAPEN list of publishers, which indicate compliance with the access requirements of European research funders. You do not need to restrict your search to publishers on these lists, but they are a useful starting point. The website "Think. Check. Submit." helps authors to determine if a publisher is trustworthy, by providing a checklist for books and chapters.

Other important aspects to consider when choosing a publisher for your open access book include:

Fees

Some publishers charge a book processing charge (BPC) when publishing an open access book. If the press charges a fee, check that the costs and the services they cover are laid out transparently. Some publishers may offer royalties on print sales of open access books, which you may wish to take into consideration.

If you expect your institution or funder to pay a fee, make sure that the publisher meets their requirements (OAPEN b, n.d.). It is also worth making sure that you have checked with your funder that the costs will indeed be covered.

Peer review

As with any book project, you should make sure your prospective publisher uses rigorous peer-review processes. These should be detailed on their website. See if your publisher complies with the peer-review requirements of independent bodies, such as OAPEN, DOAB and OASPA (See Peer review and quality control).

Copyright and reuse rights

Unlike some publishers who will require you to sign over your copyright or certain reuse rights before they will publish your book, many publishers do not require this for open access books, therefore allowing you and others to share and reuse your work (See Contracting and copyright).

Format

Some publishers only make an open access PDF (Portable Document Format) version of the book. Others produce formats such as HTML (Hypertext Markup Language) or XML (Extensible Markup Language), which are more easily searchable and reusable. Publishers may also offer an EPUB, which is compatible with most e-readers and work together with Amazon to provide an AZW3 format for Amazon e-readers. Many open access publishers will also sell a print copy in addition to the digital version (See Digital and print publication).

Licensing

Any open access book must be openly licensed. There is a range of licences available: check that your publisher has clearly explained your licensing options and you have chosen the most appropriate licence for your work. You should also check whether your institution or funders' open access policy includes requirements regarding the licence you can use. (See Choosing a licence).

Embargo period

Some publishers might not publish an open access edition of the book until paid-for editions have been in circulation for a period of time. Other presses release the open access edition immediately. Check if your funder or institution's open access policy permits an embargo period, and if so, whether there are stipulations about its maximum length.

Discoverability and dissemination

Check that open access books on a publisher's website are clearly marked and easy to find, and try searching for a publisher's books on the web to see how high they appear in the search results.

Are their books widely available in stores and libraries? Are they featured on large open access platforms such as OAPEN and the DOAB? See, for example, Open Book Publishers' page on the distribution and retail of their open access books (See Dissemination and discoverability).

What is the marketing and publicity plan for the book? Will the fact that it is open access be widely promoted?

Archiving

Consider whether the publisher ensures long-term archiving and preservation of digital editions, for example via OAPEN or [CLOCKSS](#).

Open access via a repository (self-archiving)

Some publishers will not publish an open access edition of the book, but they allow a pre-publication version, typically the author's manuscript, to be freely shared online, such as in an institutional repository. This is also known as [green open access](#).

Usage statistics

Some publishers will be able to provide you with download and citation figures for your open access book. This information could help you secure further funding for future projects and help to build your career.

Source acknowledgements

- The information in this section is substantially informed by Barnes (2018), which is used under the CC BY 4.0 licence, https://creativecommons.org/licenses/by/4.0/

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- OAPEN a. (n.d.). OAPEN: Online library and publication platform. Retrieved from oapen.org: https://www.oapen.org/home
- OAPEN b. (n.d.). Funder requirements. Retrieved from oapen.org: https://oapen.org/resources/15172476-funder-requirements
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- OAPEN d. (n.d.). List of compliant book publishers. Retrieved from oapen.org: https://oapen.org/resources/13516596-funder-compliant-publishers
- OASPA a. (n.d.). Open Access Scholarly Publishers Association. Retrieved from oaspa.org: https://oaspa.org/
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- Open Book Publishers [OBP]. (n.d.). Distribution and Retail. Retrieved from openbookpublishers.com: https://www.openbookpublishers.com/section/22/1

Further reading

- Books and chapters https://thinkchecksubmit.org/books-and-chapters/
- Metadata for Open Access monographs https://oapen.fra1.digitaloceanspaces.com/f7fd05f3b9464ac69efe368f1dddc2fb.pdf
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- The challenges and opportunities for open access (OA) book publishers https://www.internationalbunch.com/post/the-challenges-and-opportunities-for-open-access-book-publishers

Publishing OA books

Self-publishing your open access book

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There are advantages and disadvantages to self-publishing an academic book. Advantages include speed and autonomy. Disadvantages include the labour involved and the lack of peer review, quality assurance, dissemination and marketing support provided by a reputable press. This article explores these issues and the tools and platforms that can enable you to self-publish.

To decide whether or not to self-publish, you should consult with your department or with colleagues in your field about how a self-published book might be received. Consider whether you have used self-published academic books in your own research and examine the range of open access options available. There is a broad variety of publishers, ranging from commercial, to university presses, to scholar-led publishers, so if one publisher does not appeal to you it is worth seeing what others have to offer as well as exploring self-publishing (See [How to choose a publisher for your open access book](#)).

What are the advantages of self-publishing?

Self-publishing can be faster than working with a publisher. You have greater control over the book and you receive any money you make from the sale of non-open access editions (unless you engage a company that takes a percentage of sales as payment). Note that some publishers offer royalties on the sale of non-open access editions of open access books.

Some academics prefer self-publishing because they want to publish in an experimental format and they cannot find a suitable publisher to support them, or because [they believe](#) (Schrock, 2016) that publishing companies have too much control over research.

What are the disadvantages of self-publishing?

You lose the labour and expertise that a publisher should put into navigating all aspects of publication and dissemination. Reputable publishers offer high standards of editorial and production support, marketing support, access to distribution channels, existing relationships with libraries and booksellers, archiving and other services (See [Types of publishers and publishing services](#)). It is a lot of work to coordinate all of this by yourself, and difficult to achieve to a high standard.

Any reputable publisher provides rigorous peer review of your work. Publication with a publisher or university press therefore gives confidence to readers and peers that your research is academically sound. Self-published work does not always have this benefit. There might also be legal matters that need to be addressed, a publisher could support the author with this. Whereas if self-publishing you may need to look into this yourself.

How do I self-publish?

There is a range of companies and individuals who can supply the services you need to self-publish.

The whole process: Companies such as [Lulu](#) and [Inkshares](#) provide services such as editorial and production support, marketing and distribution. They charge fees or take a percentage of sales in return. They are not all dedicated exclusively to academic work. Not all of these companies offer specific open access options. If they do not, you must [add a Creative Commons licence to your work](#) (see [Choosing a Licence](#)).

Proof-reading and copy-editing: There are many freelance editors and proofreaders, and companies who provide these services. It is important to check that they are accredited by a recognised body. For example, the [UK Chartered Institute of Editing and Proofreading](#) (CIEP) has a [directory](#) through which you can find a suitable professional.

Distribution: Companies such as [Ingram Spark](#) enable you to upload a cover and the interior of the final book manuscript, publish in a number of formats (print or ebook) and distribute to readers and libraries. They charge a fee and do not offer any editorial or marketing support. Again, if the company does not have an open access option you must add a Creative Commons licence to your work.

ISBNs and DOIs: If you want your book to be sold in bookshops and included in library collections, you should ensure it has an ISBN (see [Nielsen UK](#); [Bowker](#); [ISBN International](#)). It is advisable to obtain a DOI (Digital Object Identifier) to make your book more discoverable (see [DOI FAQ](#)); it is also recommended that you obtain DOIs for individual chapters.

Other tools and platforms: Tools such as [dokieli](#) and [LaTeX](#) and platforms such as [PubPub](#), [arXiv](#) and [Humanities Commons](#) allow you to publish academic work online. You can add persistent identifiers and seek feedback from peers. Some platforms are free to use, but many are intended for content that is article-length, rather than a book project. You can also share a self-published work on your own website and it might be possible to deposit it in an institutional repository, depending on the repository's policy for self-published work.

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- Ingram Spark. (n.d.). Self-Publish Like a Pro. Retrieved from ingramspark.com: https://www.ingramspark.com/how-it-works
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Further reading

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- Linked Research https://linkedresearch.org/

Publishing OA books

Types of publishers and publishing services

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*There are multiple types of publisher which differ in their approaches and operating models but offer broadly similar services. This article details the types of publisher, the services you should expect and some of the charges you might encounter.

Types of publisher

Type of publisher	About	Examples
Commercial publishers	Commercial publishers are not affiliated to an academic institution. They have a for-profit business model, so money made in excess of operating costs might be paid to shareholders.	Springer Nature, Taylor and Francis, Bloomsbury Publishing, Brill Publishing, Cappelen Damm/ NOASP, De Gruyter. Some well-known publishers are owned by, or imprints of, these organisations, e.g., Palgrave Macmillan (Springer Nature), Routledge (Taylor & Francis).
University presses	University presses are attached to a university / universities, and often receive financial support from them. They might receive academic support, e.g., peer reviewers or editorial boards might be drawn from the university's academic staff. If the press makes money in excess of its operating costs, this might be returned to the university.	Cambridge University Press, Oxford University Press, Manchester University Press, Harvard University Press, Michigan University Press.
New university presses (NUPs)	These are university presses established since the 1990s, often explicitly to publish open access books. In many other respects, they are run like a university press. However, as with library	UCL Press, White Rose University Press, Huddersfield University Press, University of Westminster Press, Scottish Universities Press, Lever Press, Amherst College

Type of publisher	About	Examples
	publishing (see below), NUPs are often library-led, albeit with an academic-led steering group or editorial board.	Press, Stockholm University Press, ANU Press, UTS ePRESS.
Academic-led presses (ALPs), also known as scholar-led presses	These are presses that are not affiliated to an institution, but are run by academics. They are almost all not-for-profit, meaning any money made in excess of operating costs is reinvested into the running of the press. As with NUPs, many of these presses were founded specifically to publish open access books.	Open Book Publishers, punctum books, Mattering Press, meson press, mediastudies.press, African Minds (which together make up the ScholarLed consortium). The Radical Open Access Collective has a useful directory of academic-led presses.
Library publishing	Some academic libraries provide publishing services, commonly producing journals but sometimes including books. They might work in tandem with a university press at the same institution.	The Library Publishing Coalition produces an annual directory of the publishing activities of academic and research libraries.

Services

Most reputable publishers offer a range of services, typically including:

- Peer review
- Editorial support in developing the manuscript (usually in response to peer review)
- Support in securing third-party permissions
- Copy-editing
- Proof-reading
- Type-setting
- Producing editions in a range of formats (e.g., paperback, hardback, ePub, AZW3, PDF, XML, HTML)
- Metadata tagging
- Marketing
- Distribution to open platforms, libraries, and sales outlets
- Archiving
- Reporting the book's usage (impact)

Costs

Publishers sometimes charge authors for certain services. These can include:

- **book processing charge (BPC)**: some publishers charge a fee to publish a book open access;

- **editorial services**: some publishers require the author to pay for these. Alternatively, if your book requires extensive copy-editing, a press might charge for the additional work involved;
- **indexing**: publishers typically expect the author to provide an indexed manuscript, but will provide an indexing service for a fee;
- **image management**: if your book includes a large amount of third-party material (e.g. images, video, audio), a publisher might charge a fee to assist with clearing the rights and for the additional typesetting work.

If a publisher charges a fee, you should establish exactly what services you expect to receive. The costs should be laid out transparently in advance (See How to choose a publisher for your open access book).

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Publishing OA books

How to find open access book publishers

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The Directory of Open Access Books is the largest resource to find open access book publishers, with around 400 publishers listed. Other ways to find open access book publishers include the OAPEN list of compliant publishers, the list of OASPA members and various platforms that host open access books.

The most extensive resource to find open access book publishers is the Directory of Open Access Books (DOAB). DOAB lists academic, peer-reviewed books that are available under an open licence. Publishers that apply to have their books listed here are screened for their peer review process and licensing policy.

DOAB provides the option to browse by publisher, which results in an alphabetical list of around 400 publishers, followed by the number of open access books which they have listed in DOAB. You can also browse by subject, to find publishers who work with authors in your field. If you are interested in a particular publisher, click on the link, and you will find the URL of their website and, in many cases, tabs with more information: 'about', 'peer review' and 'licence'. If you are looking for publishers in your language area, start by searching for a subject and then select the language area of your choice on the results page.

OAPEN maintains a list of publishers that comply with the open access requirements of European research funders, currently the European Research Council (ERC), Wellcome, the Austrian Science Fund (FWF) and the Swiss National Science Foundation (SNSF). The list aims to inform authors about compliant publishers. Listed publishers need to confirm their compliance to be included (OAPEN n.d.).

Many book publishers are members of OASPA, the Open Access Scholarly Publishing Association, which means they fulfil OASPA membership criteria.

Another way to find publishers is to search for open access books and book publishers on hosting platforms, such as OAPEN, OpenEdition, Project Muse, JSTOR and ORL. A more extensive list is curated by Open Book Publishers and can be found here.

Once you have found one or more potential publishers find out if they answer your specific needs (See How to choose a publisher).

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Introduction

Discoverability and dissemination

In the evolving landscape of academic publishing, ensuring the discoverability and dissemination of open access works is paramount for authors and publishers alike. The articles in this section explore how open access publications can reach a wider audience, examining the critical role of various platforms, library systems and digital tools in enhancing visibility. They will highlight the importance of effective metadata – including persistent identifiers such as DOI and ORCID – and strategic marketing, as well as the value of self-promotion by authors.

By leveraging these methods, researchers can significantly amplify the impact of their work, facilitating greater engagement and accessibility in an increasingly interconnected scholarly environment.

Discoverability and dissemination - articles

Dissemination and discoverability

Authors expect publishers to ensure that their works are as widely disseminated as possible. This article examines the various methods readers can use to discover and access your research.

read more…

Marketing

After your open access book has been published, how will your publisher market and promote your work?

read more…

Metadata

In order for your book to be discovered, publishers need to create metadata. This includes bibliographic information, such as title, abstract, publication date etc., but also about you as the author. Metadata is then passed on to stakeholders in the scholarly communications chain, such as service providers, platforms and tools, researchers, funders, librarians, data curators and repositories in order for others to discover your work.

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Self-promotion

After your open access book has been published, how can you self-promote your work? If your motivations for publishing an open access book include reaching a wider audience and different communities for more reach and real-world impact as well as career advancement, then you may find the following suggestions useful.

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Metrics

Usage metrics can help you to demonstrate the reach and impact of your open access book. You should speak with publishers about the kinds of usage metrics that will be available once your book has been published.

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Publishing OA books

- Publishing options
- Discoverability and dissemination
- Quality assurance & peer review

Publishing OA books

Dissemination and discoverability

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*Authors expect publishers to ensure that their works are as widely disseminated as possible. This article examines the various methods readers can use to discover and access your research.

Just because a publication is open access does not mean it is discoverable. Open access publishers work hard to ensure that open access publications are available in all the places that you would expect to find a non-open access book. The difference is that, for gold open access in particular access is immediate. In all cases, the Creative Commons (CC) or other licence applied to the publication must be adhered to.

Publishers[1]

The first place you can expect your open access book to be available is via your publisher. Publishers should make sure that the open access edition of your book is clearly listed next to the printed and other editions that are for sale either online or in a more traditional publisher catalogue. Some publishers have their own platforms, or websites, where they are able to host open access books for readers to freely download.

Vendor platforms

Vendor platforms, such as Project Muse and JSTOR, make the digital version of a book available to the reader as part of a package of other titles, usually via a library subscription. Open access books are increasingly available in these packages. Due to the number of libraries that use these systems, vendor platforms can reach a larger audience. Other platforms, such as the OAPEN Library and OpenEdition Books, specialise in open access publications and are free to all.

Library catalogues and discovery systems

Many open access publishers make their data available to library catalogues, so that open access books can be found alongside their print counterparts. In addition, OAPEN, DOAB and many presses supply data to library discovery systems such as Primo, EDS and Summon to allow open access books to be retrieved in searches of all library material. Many libraries also show their researchers how to find open access content within these systems.

Digital learning environments and reading lists

Check with your research support team if open access books are included in these systems. [Kortext](#) and [Talis Aspire](#) in the UK and the [Unizin Consortium](#) in the US all allow for the inclusion of open access content.

Google Scholar and Google Books

Perhaps surprisingly, it is not straightforward to get open access books indexed by Google Scholar and Google Books. However, OAPEN and many publishers have been successful in getting their lists indexed. The [COPIM project](#) is currently working to improve this.

Abstracting and Indexing (A&I) services

Many A&I services accept individual books that are submitted for review and potential acceptance into the index. The format of the book is not relevant to these systems, so open access will be treated in the same way as print. However, it will be more easily accessed if included.

Online book sellers

It can sometimes be complicated to list content with a zero price point - such as open access books - on online retail platforms such as Amazon. However, many suppliers do include open access publications. The [COPIM project](#) is working on this for all open access publishers.

Current research information systems and institutional repositories

All authors of open access books are encouraged to make their work available in their own institutional or subject repository. Indeed, many national and international funders, such as Europe's Horizon 2020 programme, make this a condition of funding. Many institutional repositories are indexed by Google and also [CORE](#), the world's largest repository of open access research material.

Reference management software

Just like any other material, open access books can easily be listed in research management software, such as [Zotero](#). The process is seamless with the added bonus of instant access.

Communication between scholars

It is important to acknowledge that scholars communicate between themselves (see [How will researchers use, re-use and build upon my research?](#)). In fact open access books can be shared far more easily than books behind a paywall, as long as users adhere to the licence of the book in question.

Source acknowledgements

- 1. This section has been adapted from a scoping report by Stone, et al. (2020) from the COPIM project https://www.copim.ac.uk/work-package/wp5/ under a CC BY 4.0 licence, https://creativecommons.org/licenses/by/4.0/

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Publishing OA books

Marketing

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*After your open access book has been published, how will your publisher market and promote your work?

How your open access book will be marketed by your publisher can vary depending on their strategies and resources. Open access publishing offers advantages such as increased accessibility and shareability, which can enhance discoverability and dissemination of your work (See dissemination and discoverability article). To understand how your book will be made available, it is important to communicate with your publisher regarding the digital formats and platforms where it will be hosted.

In the digital age, publishers increasingly rely on various online channels to reach a broader global readership and employ targeted marketing techniques. The publisher's capabilities may differ, with some dedicating more time and resources to book promotion, and some may have a larger network for reaching potential readers. The publisher's access to relevant bookseller and researcher networks also plays a role in the promotion process. Additionally, a publisher's global reach can be strengthened through effective search engine optimization (SEO) of their website.

To gain insights into a potential publisher's marketing strategies for open access books, it is advisable to review their websites or directly approach them for information. Marketing activities can encompass a range of tactics, including newsletters, e-alerts, catalogues, booths at conferences, virtual bookshelves which became more popular during the COVID-19 lockdown, press releases, review copies for editors, author interviews, book launches, book flyers, dedicated web pages, social media posts (both organic and promoted), inclusion in library packages, and more. Some publishers may even request a list from authors, identifying potential target audiences for book marketing. When considering a publisher, it is crucial to align their marketing activities with your own goals for publishing the book. Additionally, ensure that the publisher can provide metrics and information to demonstrate the impact of your book, so you can assess its reach and influence.

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Further reading

- Author FAQs: Distribution & Marketing https://www.luminosoa.org/site/faqs/#author-faqs-open-access

Publishing OA books

Metadata

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Metadata

Peripheral information about an object, in this case a book. For instance, author, affiliation, title, date published, publisher, ISBN, licence are all pieces of metadata pertaining to a book (Eve, 2014). See also [Persistent Identifier (PID)](#).

The following toolkit article(s) mention(s) this glossary term:

[Digital and print publication](#)

[Metadata](#)

References

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[Metadata](#)

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Publishing OA books

Self-promotion

Published June 21 2024 | Revised September 25 2024

After your open access book has been published, how can you self-promote your work? If your motivations for publishing an open access book include reaching a wider audience and different communities for more reach and real-world impact as well as career advancement, then you may find the following suggestions useful.

Rationale for self-promotion

"Why should I self-promote, aren't the promotional activities of the publisher enough?" There are several reasons why you should engage in the self-promotion of your open access book.

- **Targeting**: Arguably, authors are the most informed about how to reach their disciplinary area of specialisation, peer groups and academic network, and these direct channels might increase trust. Self-promotion through announcements on disciplinary or scholarly associations' mailing lists, blogs, messages and videos allow for targeted and directed sharing of open access books.
- **Resources**: Smaller publishers may be limited by resources and time. Check what kind of marketing they are able to offer your book.
- **Public engagement**: Universities across the world increasingly expect researchers to engage in public scholarship.
- **Career advancement**: Self-promotion, which expands visibility and recognition, is an important part of academic self-branding.
- **Increased impact**: Promotion via digital channels might lead to the discovery of your work by stakeholders beyond the publisher's network, including journalists, practitioners, industry and policy makers.

Widespread but divided

Self-promotion via social media is increasingly common among authors who publish open access. The affordances of social media, including scalability, visibility and spreadability provide specific opportunities for promoting open access books. A 2017 Springer Nature survey of more than 3,000 researchers revealed that over 95% of respondents use some form of social media or scholarly collaboration network for professional purposes. Using your own social networks for promotion could help to increase the impact of your research (Springer Open, 2018). Self-promotion also gives you an advantage over other authors who may not choose to do so.

Where/how should I self-promote?

Strategies for self-promotion include:

- considering how you can "cultivate a community and curate a conversation" (Ocampo, 2019). Think about which strategies best suit the audiences you want to reach;
- maintaining your own author website, including blogs, podcasts and videos;
- with widespread stable [Digital Object Identifiers (DOIs)](#), directly sharing links to your open access book with specific audiences, while referring them back to a persistent domain;
- including your Open Researcher and Contributor ORCID ID, which provides a persistent digital identifier that you can control. This way, output will be linked to yourself, even when moving between research institutions;
- linking your open access book to your personal institutional website, as well as to Academic Social Networking Sites (ASNS), such as [ResearchGate](#), [SSRN](#), [https://arxiv.org](#) and [Academia.edu](#). Use social media platforms including [Twitter](#), [YouTube](#), [Instagram](#), [Weibo](#) and [Facebook](#);
- considering services such as [KUDOS](#), a web-based platform that aims to 'help researchers ensure their research gets found, read and cited in a world of information overload' (Growkudos, n.d.) maximise visibility and impact of their work. A recent case study conducted in 2017 suggests that performing actions on publications, such as sharing, explaining, or enriching, could help to increase the number of full text downloads of a publication (Erdt. Aung. Aw. Rapple & Theng., 2017);
- setting SMART (specific, measurable, attractive, realistic and time-specific) goals for self-promotion (Ocampo, 2019). You could start a Facebook page on the topic of your book, invite 100 friends to like it, then publish a post about your book publication process once a week. Another proven successful strategy is to offer virtual class visits, in which you give a presentation to students in those courses that have engaged with your work (Ocampo, 2019; Kieńć, 2014).

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Publishing OA books

Metrics

Published June 21 2024 | Revised September 25 2024

Usage metrics can help you to demonstrate the reach and impact of your open access book. You should speak with publishers about the kinds of usage metrics that will be available once your book has been published.

Many open access book publishers and platforms provide information about how often books are downloaded and cited, as well as the countries from which the books are accessed. It is increasingly possible to see how often books are mentioned on social media, in book reviews, news articles, or on Wikipedia (sometimes referred to as alternative metrics or 'altmetrics'). Both commercial and community-owned open source tools and services are increasingly available to help publishers and authors make the most of this data and achieve their goals.

Usage metrics can help you to gain a better understanding of the communities engaging with your work. You may even refer to usage data in job and promotion applications as evidence for the impact of your work. You should consider what you are hoping to achieve through the publication of your book and ask your publisher about the kinds of usage data which will be available to them, as well as how they plan to share this information with you.

Though measuring the use of open access books is complex and evolving, for authors interested in maximising the impact of their book, there is growing evidence that:

- open access books are downloaded more often than their non-open access counterparts;
- there is greater diversity in the communities accessing open access books than for books that require paywall access;
- open access books are mentioned more often on social media than non-open access books;
- open access books are cited more often than non-open access books.

Sales of academic monographs in the UK have reportedly fallen from an average of 100 to 60 per book in the UK over the past decade (Jubb, 2017). While measuring the use of open access books is complex and evolving, in comparison, open access books are accessed and downloaded thousands of times (Lucraft, 2018) and research has found they receive 10% more citations than non-open access books (Snijder, 2019).

A 2017 report on usage of open access books by KU Research found that institutions located in the Global South are relatively high users of open access books made

available via the JSTOR platform when compared to institutions located in the US, UK and Western Europe (Exploring the uses of OA books via the JSTOR platform, 2017).

According to a white paper released by Springer Nature in 2017 (The OA Effect, 2017):

- on average open access books were downloaded more than seven times as often as non-open access books, during their first year of publication;
- citations were 50% higher for open access books than non-open access books, over a four-year period;
- open access books receive an average of ten times more online mentions than non-open access books, over a three-year period.

Making a book open access ensures that access to the knowledge which it contains is not restricted to readers who are members of a well-funded library or those who can afford to purchase their own copy. Removing paywall barriers may also encourage readers to recommend books to others via social media and make it more likely that a book will be cited by other scholars. Usage metrics can help authors to capture this information, and, when combined with qualitative approaches, can help to tell their book's unique 'impact' story across channels and target audiences.

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- Getting the best out of usage data for open access monograph presses: A case study of UCL Press. Retrieved from https://onlinelibrary.wiley.com/doi/full/10.1002/leap.1168
- Open Access Around the World: Tracking Our Books Using Online Statistics: Retrieved from https://blogs.openbookpublishers.com/open-access-around-the-world-tracking-our-books-using-online-statistics/

Quality assurance & peer review

The quality of peer review is independent of whether a book is published open access or not, with reputable publishers ensuring high standards regardless. Authors should check the credentials of publishers to ensure that proper peer review and editing is undertaken.

In this article, tools are discussed that can help authors identify trusted publishers, like 'Think, Check, Submit' and the Directory of Open Access Books (DOAB). Peer review practices vary across disciplines and countries and there are ongoing discussions about improving peer review, including experimenting with open peer review models.

Quality assurance & peer review - articles

Peer review and quality control

Peer review, selective submission standards, editorial support and other attributes of prestigious publication are independent of the openness of the publication. Some open access publishers apply the highest standards of quality control, some non-open access publishers publish low-quality works and vice versa. When publishing your book open access, always check the credentials of the publisher.

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Publishing OA books

- Publishing options
- Discoverability and dissemination
- Quality assurance & peer review

Publishing OA books

Peer review and quality control

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Peer review, selective submission standards, editorial support and other attributes of prestigious publication are independent of the openness of the publication. Some open access publishers apply the highest standards of quality control, some non-open access publishers publish low-quality works and vice versa. When publishing your book open access, always [check the credentials](#) of the publisher.

Credibility and trust are important to all reputable publishers. Many established publishers and presses who have introduced open access as an option for their authors will not ask you whether you want to make your book open access until the proposal has been accepted by an initial peer review (although you may certainly request it upon submission). Likewise, new open access publishers and presses need to establish credibility and trust for their brand and recognise the importance of building a strong reputation for editorial support, peer review, copy-editing, production, promotion and marketing. Reputable publishers, whatever their business model, have no interest in producing substandard books since their own reputation will suffer and they will become unsustainable if they do so.

Be wary of 'predatory publishers' or vanity publishing houses. Many of these publishers print and sell books without any editing or peer review. In addition, there may be hidden charges and you may lose all rights to the work.

The website "Think, Check, Submit" helps authors to determine if a publisher is trustworthy, by providing a [checklist for books](#). Publishers should be clear about the type of peer review they use and the services they offer authors, such as copy-editing.

The [Directory of Open Access Books](#) (DOAB) provides a good starting point for researchers who want to check the credentials of an open access publisher; only those who meet its criteria for peer review and licensing are listed. In order for a publisher to be approved for inclusion in DOAB, for example, they must show that their publications are subjected to independent and external peer review prior to publication. DOAB requires the peer review process of each open access publisher to be described upon application. This information is then listed on the DOAB website.

You should also be aware that peer review practices for books tend to vary depending on the type of publication, such as monographs or edited collections, within different disciplinary fields and in different countries or language areas. There is a greater variety of peer review practices [for books than for journal articles](#). The term often used for the variety of editorial practices across disciplines and countries is 'bibliodiversity', to

underline the value of this diversity and the notion that it deserves to be protected. Although peer review practices for books vary, the [Committee on Publication Ethics](#) (COPE) provides clear [guidelines](#) for good practice for peer review.

Finally, there is an ongoing debate about the future of peer review as to how it could be improved. Several publishers are currently experimenting with open peer review. Open peer review can take a number of forms, such as naming reviewers and making reviewers' comments public for authors and other prospective parties to respond. An excellent starting place for those interested in learning more about new models of peer review is [Kathleen Fitzpatrick's Planned Obsolescence](#), itself released in draft form for open peer review in 2009 (Fitzpatrick, 2011).

Source acknowledgements

This article makes extensive use of the following sources:

- 'Guide to monograph publishing for arts, humanities and social science researchers', an output of the OAPEN-UK project, made available under a CC BY licence, https://creativecommons.org/licenses/by/4.0/
- 'Understanding Open Access. When, Why, & How to Make Your Work Openly Accessible', created by the Author Alliance (2015), made available under a CC BY licence, https://creativecommons.org/licenses/by/4.0/

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Further reading

- Committee on Publication Ethics (COPE) Guidelines on good publication practice https://publicationethics.org/files/u7141/1999pdf13.pdf
- Reputation, reputation, reputation – quality control and reward systems https://doi.org/10.11647/OBP.0173.0091

Introduction

Business models and funding

This subsection provides information about the different publishing models for open access books and explains green, gold and diamond open access. There are also articles about funding: how open access books are funded, common eligibility criteria to receive funding and how to find funding to cover open access publication costs.

For authors

Business models and funding

This article explores the various business models underpinning open access book publishing.

With options such as book processing charges, freemium, institutional subsidies, library membership and crowdfunding, authors can choose a model that aligns with their situation.

The diverse landscape of funding strategies highlights the necessity for authors to understand the financial implications and guarantees associated with each model, ensuring that their work reaches a wide audience without compromising quality.

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Articles

- Business models for OA book publishing
  As open access ebooks are freely available for everyone to read, additional revenue sources are required to help cover the costs of publication. A variety of business models are used to support open access books, including, but not limited to, book processing charges, institutional subsidy, subscribe-to-open, library membership and freemium models.
- Green, gold, diamond – different models for open access books
  Open access can be achieved in a number of ways, with varying results. A publisher might make the book available open access, or an author might archive a pre-publication manuscript version in a repository for anyone to read. Other models are also explored in this article.

For authors

Funding OA books

This overview highlights the essential eligibility criteria and funding opportunities available for authors planning to publish open access books. The first article outlines common requirements for grant applications, including proof of peer review and acceptance by reputable publishers.

The second article delves into various funding sources, such as institutional support and crowdfunding, enabling authors to navigate the financial landscape effectively. Together, these insights serve as a valuable resource for researchers seeking to successfully secure funding for their open access publications.

read more…

Articles

- Eligibility criteria for grant applications
  When writing your open access book, you may be able to apply for funding from a grant-making organisation, your institution, or your research funder. Specific requirements for such applications vary widely, but you should be aware of certain common eligibility criteria.
- Finding funding for your OA book
  If your publisher requires that you provide funding to support the publication of your open access book via a book processing charge (BPC) or open access fee, you may be able to access funding from your institution or a grantmaking organisation. You or your publisher could also organise a crowdfunding campaign.

Introduction

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The diverse landscape of funding strategies highlights the necessity for authors to understand the financial implications and guarantees associated with each model, ensuring that their work reaches a wide audience without compromising quality.

Business models and funding - articles

Business models for OA book publishing

As open access ebooks are freely available for everyone to read, additional revenue sources are required to help cover the costs of publication. A variety of business models are used to support open access books, including, but not limited to, book processing charges, institutional subsidy, subscribe-to-open, library membership and freemium models.

read more…

Green, gold, diamond – different models for open access books

Open access can be achieved in a number of ways, with varying results. A publisher might make the book available open access, or an author might archive a pre-publication manuscript version in a repository for anyone to read. Other models are also explored in this article.

read more…

Business models

- Business models and funding
- Funding OA books

Business models

Business models for OA book publishing

Published June 21 2024 | Revised September 27 2024

As open access ebooks are freely available for everyone to read, additional revenue sources are required to help cover the costs of publication. A variety of business models are used to support open access books, including, but not limited to, book processing charges, institutional subsidy, subscribe-to-open, library membership and freemium models.

Publishers use a variety of different business models to support open access book publishing. Some of these models require a fee to be paid by the author's funder or institution, but many do not. As an author, you should be particularly aware of whether a fee will be charged, whether your book is guaranteed to be made open access, and whether your book will be made open access immediately on publication or at a later point.

Open access book models[1]

Model	Description	Example publishers / service providers
Book processing charge (BPC) / Open Access fee	A fee is charged by the publisher in order for the ebook to be made open access immediately on publication; usually all ebook formats will be open access. The fee is typically paid by the author's funder or institution.	Bloomsbury, Brill, CUP, De Gruyter, Elsevier, InTechOpen, Manchester University Press, MDPI, OUP, Springer Nature (incl. Palgrave Macmillan), T&F (incl. Routledge), University of California Press (Luminos)
Embargoed/ delayed BPC	A book is initially sold as a non-open access title, and a fee is charged by the publisher to make it open access at a later point. The fee is reduced as it is off-set by the initial sales period.	Bloomsbury, Brill, Manchester University Press, T&F/Routledge
Freemium	A version of the ebook is made open access or freely available at no charge to the author; the free access is subsidised by other revenue sources, such as sales of	OECD, Open Book Publishers, OpenEdition, Open Humanities Press, Punctum Books

Model	Description	Example publishers / service providers
	other e-formats, print sales, and/or library membership fees.	
Embargoed/delayed freemium	A book is initially sold as a non-open access title, and is later made open access at no charge to the author if agreed criteria are met, for example after a sales target has been achieved or after a specified embargo period.	Cambridge University Press, JSTOR/Path to Open
Institutional subsidy / New University Presses (NUP)	An institution subsidises publication at an open access press based at or associated with the institution. Fees may not apply or may be discounted; academics based at the institution may receive additional discounts or fee waivers.	Lever Press, Scottish Universities Press, UCL Press, Universitätsverlag Göttingen, University of Huddersfield Press, University of London Press, University of Westminster Press, White Rose University Press
Library Membership	Libraries or other institutions pay an annual membership fee to a publisher that underwrites some costs of making books open access; the member institution and/or its authors may receive additional benefits such as discounts on book processing charges (BPCs).	Open Book Collective, Open Book Publishers, Punctum Books, University of California Press (Luminos)
Library consortium ("Institutional crowdfunding")	Libraries pledge a fee towards making a collection of books open access, covering some or all of the costs between them. Once enough libraries have confirmed participation and the target amount is achieved, the collection is made open access.	De Gruyter, Knowledge Unlatched, Transcript, KOALA, Jisc's Open Access Community Framework, LYRASIS' Open Access Community Investment Program
Subscribe to Open	Libraries subscribe to or purchase specified collections of closed-access books, which may include backlist titles. The subscription fees are used to fund open access for newly published books.	Bloomsbury, Central European University Press, Liverpool University Press, MIT Press, Taylor & Francis, University of Michigan Press
Crowdfunding	Individuals pledge fees to make a book open access; once enough individuals have confirmed participation and the target amount is achieved, the book is made open access.	Unglue.it (typically in collaboration with publishers, e.g., CUP, OBP), self-published authors

Publishing services will vary depending on the publisher. However, regardless of any fee or subsidy, you should expect OA books to be peer-reviewed and the publisher to offer the same level of service as you would receive for a non-open access book.

If a fee (BPC) is levied, the amount may depend on what other sources of revenue are available to the publisher to subsidise it. Publishers may receive financial support or resources that enable them to publish open access books at a reduced fee or free of charge to the author. For example, university presses may benefit from endowments or grant funding; some scholar-led presses work as cooperatives using volunteer labour (Speicher, 2018). Some publishers may also waive or discount fees for authors from low-income or lower-middle income countries, or for authors who do not have funding.

With the exception of the BPC models, the table above describes different types of [Diamond OA models](#) (used to describe open access where publication is made freely available on the publisher platform and there is no fee to the author or their research organisation). These models are new to many libraries and publishers.

Owing to the diversity of scholarly books and book publishers, there is no single model that could support open access book publishing single-handedly, and it is likely that different publishers will continue to operate different models. Indeed, individual publishers may themselves offer more than one model for open access books. There is no one business model that is 'the best': all have their own strengths, weaknesses, opportunities and threats (Collins et al, 2015).

Source acknowledgements

1. The table 'Open access book models' was informed by Collins et al. (2015) and Speicher et al. (2018).

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- Pinter, Frances. (2018). Why do book processing charges vary so much? Journal of Electronic Publishing. https://doi.org/10.3998/3336451.0021.101

Introduction

Funding OA books

This overview highlights the essential eligibility criteria and funding opportunities available for authors planning to publish open access books. The first article outlines common requirements for grant applications, including proof of peer review and acceptance by reputable publishers.

The second article delves into various funding sources, such as institutional support and crowdfunding, enabling authors to navigate the financial landscape effectively. Together, these insights serve as a valuable resource for researchers seeking to successfully secure funding for their open access publications.

Funding OA books - articles

Eligibility criteria for grant applications

When writing your open access book, you may be able to apply for funding from a grant-making organisation, your institution, or your research funder. Specific requirements for such applications vary widely, but you should be aware of certain common eligibility criteria.

read more…

Finding funding for your OA book

If your publisher requires that you provide funding to support the publication of your open access book via a book processing charge (BPC) or open access fee, you may be able to access funding from your institution or a grantmaking organisation. You or your publisher could also organise a crowdfunding campaign.

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Business models

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Business models

Eligibility criteria for grant applications

Published June 21 2024 | Revised September 27 2024

When writing your open access book, you may be able to apply for funding from a grant-making organisation, your institution, or your research funder. Specific requirements for such applications vary widely, but you should be aware of certain common eligibility criteria.

The following list provides examples of common eligibility criteria for applications to fund open access books. Clarifying these with a funder as early as possible may facilitate the funding award process.

Proof of rigorous peer review

Many funders require the manuscript to be peer reviewed (See Peer review and quality assurance). Some simply require confirmation that the publisher has or will conduct standard peer reviewing. Others might require a copy of the peer reviews. Some funders are particular about who is an eligible peer reviewer and/or what version or proportion of the manuscript has been reviewed (see the Austrian Science Fund (FWF)'s guidelines for an example of such requirements).

Proof of acceptance by a reputable publisher

Some funders require that the manuscript has been accepted by a reputable publisher before funding can be requested. They may request email confirmation or a brief letter of acceptance from the publisher, or even a copy of the book contract (see the Dutch Research Council (NWO) Open Access Books application form for an example of such requirements). They may also require proof that the publisher is compliant with certain international research or open access standards.

Author eligibility

Where multiple authors contribute to an edited collection, funders or institutions may only offer funding for chapters where the affiliated researcher/grantee is an author. They may also restrict funding to cases where the affiliated researcher is an editor of the collection.

Where funds are provided/distributed by an institution, author eligibility may be determined by:

- institutional department;
- affiliation at the time the research was conducted;
- affiliation of co-authors: institutional funding may be restricted or pro-rated for books co-authored by researchers from different institutions, particularly if their institution provides a similar fund;
- availability of book processing charge (BPC) funding from alternative sources, e.g., research funders.

Where funds are provided by a research funder, eligibility may be determined by their grant programme or the country in which the research was conducted for national funders (Springer Nature, n.d.).

Terms of availability

Many funders, especially those with established open access policies or involvement in open access policy coalitions, such as Wellcome Trust, will have requirements regarding the type of open access licence under which the book is published (See Open access book policy landscape). The least restrictive Creative Commons licence, CC BY, is most widely accepted. Some funders also require deposition of the published book or chapter in a specific repository.

Benefits of open access

Funders may ask for details about the potential benefits of publishing your book open access, such as dissemination to a broader audience; greater impact within the field of research; and reaching key audiences that might otherwise not have access to the research. This toolkit also provides a summary of such benefits (See Why publish an open access book?). You may wish to enquire as to whether your chosen publisher can provide reports on the usage of your open access book.

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- NWO. (n.d.). Open Access Books. Retrieved from https://www.nwo.nl/en/calls/open-access-books
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- Wellcome Trust. (2020). Compliance for monographs and book chapters. Retrieved from https://wellcome.ac.uk/funding/guidance/open-access-guidance/complying-with-our-open-access-policy

Further reading

- About Sherpa Juliet https://v2.sherpa.ac.uk/juliet/about.html
- Application Guidelines (including checklists) for the Stand-Alone Publications https://www.fwf.ac.at/fileadmin/files/Dokumente/Antragstellung/Selbstaendige_Publikationen/pub_application-guidelines.pdf
- Creative Commons. (n.d.) Creative Commons Licenses. Retrieved from https://creativecommons.org/licenses/
- OAPEN. (n.d.). Funder requirements. Retrieved from https://oapen.org/funders/15172476-funder-requirements

Business models

Finding funding for your OA book

Published June 21 2024 | Revised September 26 2024

If your publisher requires that you provide funding to support the publication of your open access book via a [book processing charge (BPC)](#) or open access fee, you may be able to access funding from your institution or a grant-making organisation. You or your publisher could also organise a crowdfunding campaign.

Institution

Funding may be available through your institution:

- Your institution may have a special fund for supporting researchers publishing books in open access (see, for example, Springer Nature's ['Funding for open access books'](#) or the [overview](#) collated by the Radical Open Access Collective).
- Your research office, college/faculty and/or department might be willing to fund the publication, either through an established intramural grant programme or a one-off request.
- Funding may be available through Research Grants:
- If you have active research grant funding, your funder may allow you to use grant funds to make your book open access. Alternatively, if you are entitled to a portion of the ['indirect costs'](#) for a current or past grant, your institution might allow you to use these to support the publication.

Grant-making organisations:

Funding may also be available through grant-making organisations:

- Some organisations allow you to include publication fees as direct costs in future grant applications.
- Some organisations will pay the publication costs of any research resulting from previous grants (see, for example, [the open access policy of the Wellcome Trust](#)).
- Some organisations provide grant programmes specifically to fund open access books. See, for example, the National Endowment for the Humanities (NEH) [Fellowships Open Book Program](#) and the Dutch Research Council's [Open Access Books funding instrument](#).

Crowdfunding

Finally, crowdfunding can help engage an audience of readers and provide funding to support publication:

- You or your publisher could organise a crowdfunding campaign to support the publication of the book (see an example from the crowdfunding platform, Kickstarter).
- You or your publisher could register as a rightsholder on Unglue.it, a crowdfunding platform specifically for books.

If you are writing an open access book with co-authors, you may wish to find out if they are able to secure part of the funding. You should also consider whether your publisher will permit the funds to come from more than one source.

Further reading

- Dutch Research Council Open Access Books https://www.nwo.nl/en/funding/our-funding-instruments/sgw/open-access-books/open-access-books.html
- Fellowships Open Book Program https://www.neh.gov/grants/odh/FOBP
- Kickstarter https://www.kickstarter.com/?ref=nav
- Open Access Policy https://wellcome.ac.uk/grant-funding/guidance/open-access-guidance/open-access-policy
- Unglue.it http://unglue.it/

Introduction

Open Access book policies

This subsection covers the whole life cycle of policy development for open access books. There are articles about the overall landscape of open access book policies, including a review of available literature and articles about attitudes, needs and challenges regarding open access policies. Other articles cover key policy elements and policy implementation.

For policymakers

OA book policy landscape

The articles in this section explore the current attitudes and challenges surrounding open access books within the European Research Area (ERA), based on findings from the PALOMERA project.

Through stakeholder interviews and surveys, key issues emerge, such as the unclear regulatory landscape, the perceived lack of prestige associated with open access publications and concerns over multilingualism.

The articles also outline essential elements for effective open access book policies, highlighting the importance of stakeholder involvement, financial resources and technical infrastructure. Ultimately, addressing these challenges is vital for enhancing the visibility and impact of open access books in the scholarly communications landscape.

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Articles

- Attitudes towards open access books in the European Research Area
  This article is based on interviews with stakeholders conducted for the PALOMERA project. Interviewees highlighted three aspects of open access scholarly book publishing within Humanities and Social Sciences. First, unclear regulations create legal and technological challenges for actors despite their commitment to open access publishing. Second, the focus of open access on English can threaten multilingualism and bibliodiversity. Third, open access books struggle with a perceived lack of prestige compared to printed formats, impacting author incentives and trust in open access systems.
- Key elements of an open access books policy
  In 2023, PALOMERA devised a list of policymaking elements for academic books to identify gaps and good policy practices among institutional, regional, national

and international open access-related policies. These elements also serve as a framework to help policymakers more precisely pinpoint their expectations, which has the potential to ensure better policy compliance.

- more

For policymakers

Policy life cycle

The open access books policy life cycle, as proposed by the PALOMERA project, outlines a structured six-stage process for developing and refining open access book policies. This framework guides policymakers from initial research and formulation through to implementation, monitoring and evaluation, ensuring that each stage is comprehensively addressed.

By emphasising the importance of stakeholder engagement and iterative consultation, the life cycle aims to create effective policies that adapt to the evolving landscape of open access publishing. Overall, it serves as a valuable tool for fostering transparency and enhancing the accessibility of scholarly works.

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Articles

- Policy life cycle for open access books
  The open access books policy life cycle refers to a six-stage life cycle put forward by the PALOMERA project as a means to support funders in their policy development process by providing a structured approach to the creation of a particular open access books policy. The six stages are: 1. Research 2. Policy formulation 3. Public consultation 4. Implementation 5. Monitoring and impact 6. Evaluation and review The open access books policy should be a continuing cycle of development. The policy section of the Toolkit is designed to support all aspects of the policy.

For policymakers

Best practices and case studies

Articles

- Processes surrounding open access book policy formulation and implementation
  Based on input from national research funders in the European Research Area, this article provides insights into the reality of policymaking for open access books. All interviews have been anonymised, but the identities of the interviewees are known to the authors.

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The articles also outline essential elements for effective open access book policies, highlighting the importance of stakeholder involvement, financial resources and technical infrastructure. Ultimately, addressing these challenges is vital for enhancing the visibility and impact of open access books in the scholarly communications landscape.

OA book policy landscape - articles

Attitudes towards open access books in the European Research Area

This article is based on interviews with stakeholders conducted for the PALOMERA project. Interviewees highlighted three aspects of open access scholarly book publishing within Humanities and Social Sciences. First, unclear regulations create legal and technological challenges for actors despite their commitment to open access publishing. Second, the focus of open access on English can threaten multilingualism and bibliodiversity. Third, open access books struggle with a perceived lack of prestige compared to printed formats, impacting author incentives and trust in open access systems.

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Key elements of an open access books policy

In 2023, PALOMERA devised a list of policymaking elements for academic books to identify gaps and good policy practices among institutional, regional, national and international open access-related policies. These elements also serve as a framework to help policymakers more precisely pinpoint their expectations, which has the potential to ensure better policy compliance.

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Needs, obstacles and challenges of policymaking for open access books

As part of the data collection for the PALOMERA project, a survey was designed and distributed in 2023 on the needs, obstacles and challenges of policymaking for open access books. This article summarises the major findings of the survey analysis.

read more…

OA book policies

- OA book policy landscape
- Policy life cycle
- Best practices and case studies

OA book policies

Attitudes towards open access books in the European Research Area

Published September 12 2024 | Revised September 25 2024

This article is based on interviews with stakeholders conducted for the PALOMERA project. Interviewees highlighted three aspects of open access scholarly book publishing within Humanities and Social Sciences. First, unclear regulations create legal and technological challenges for actors despite their commitment to open access publishing. Second, the focus of open access on English can threaten multilingualism and bibliodiversity. Third, open access books struggle with a perceived lack of prestige compared to printed formats, impacting author incentives and trust in open access systems.

In the scholarly communications landscape, the shift towards open access has been predominantly focused on journal articles rather than books. This article delves into the perspectives of various stakeholders within the European Research Area regarding open access books, aiming to uncover attitudes, challenges and potential pathways to further advance this realm.

Methodology

The study used interviews to collect insights from the PALOMERA project's stakeholders, including researchers, librarians, publishers, research funding organisations and policymakers across different countries within the European Research Area. A total of 39 individual and three group interviews were conducted.

Policy and regulatory landscape. The analysis revealed a diverse policy landscape across European Research Area countries regarding open access to academic publications. While several countries like Lithuania, Poland and Switzerland have established support frameworks for open access, the policies often focus on journal publications rather than books. Many existing policies are non-binding, comprising recommendations rather than mandates, which presents a challenge to the adoption of policies for open access books.

Attitudes towards open access books: Despite the lack of explicit guidelines, stakeholders are positively inclined towards integrating open access books into institutional and national policies. Many interviewees strongly supported open access books, highlighting their importance within the scholarly community.

Research assessment. Current evaluation systems often do not assign significant value to open access books, focusing instead on journal publications for academic recognition.

Multilingualism: There is a concern that open access policies might inadvertently favour publications in English, potentially marginalising works in other languages and impacting linguistic diversity in scholarly output.

Prestige. The prestige of publications remains tied to factors such as quality control, peer review processes and publishers' reputations. The work's open access status does not significantly influence its perceived prestige.

Incentives and decision-making. Stakeholders pointed out that without explicit reward systems compliance with funder requirements for open access remains the primary incentive for authors to publish their work openly. Besides funder requirements, factors influencing the decision to publish open access include the format of the work, the author's career stage and available resources.

Research assessment and prestige. Regarding the role of publishers in the perceived prestige of open access books, authors were said to often perceive international and commercial publishers as more prestigious. This perception influences authors' decisions as to where they choose to publish their work, impacting open access adoption rates.

Conclusion

In conclusion, while there is growing support for open access books among stakeholders in the European Research Area, significant challenges remain. The absence of clarity and specificity about books in many policy documents and the influence of traditional criteria for research evaluation pose barriers to widespread adoption. Addressing these challenges requires concerted efforts from policymakers, funding agencies, publishers and researchers to develop policies that incentivise open access publication of books. Enhancing the visibility and impact of open access books while preserving linguistic diversity and academic quality is crucial for advancing open scholarly communications within HSS.

Further reading

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OA book policies

Needs, obstacles and challenges of policymaking for open access books

Published September 9 2024 | Revised September 25 2024

As part of the data collection for the PALOMERA project, a survey was designed and distributed in 2023 on the needs, obstacles and challenges of policymaking for open access books. This article summarises the major findings of the survey analysis.

This article shares the key findings of a stakeholder survey conducted in autumn 2023 as part of the PALOMERA project on the needs, obstacles and challenges of policymaking for open access books. It provides a snapshot of attitudes and levels of knowledge about open access book policies in general and individual measures in particular (Dreyer, Tummes & Stone, 2024).

A total of 420 complete responses were received from 30 countries within the European Research Area. Participants were able to select more than one stakeholder type, which resulted in a sample size for different stakeholder groups of 574.

Most stakeholders state that they have a good knowledge of the areas in which they are active. Declarations and policies are particularly well known in countries where they have been issued. In centrally organised countries, respondents are more aware of the existence and dissemination of their policies than in countries where federal states are responsible for education and where initiatives on a national level do not have the same impact.

Regarding the importance of stakeholder involvement for the implementation of open access book policies in their country, all countries surveyed stated that all stakeholders should be more intensively involved, with the exception of international publishers. A different picture emerges when looked at from the stakeholder perspective. In general, respondents not only think that their own group should be more strongly represented, but they also state that they would like to see a stronger presence from all other groups.

At the country level, the vast majority thought that an open access books policy at both the national and international level would change academic publishing for the better. However, interest in shaping national open access policies is less pronounced, with only around half of those surveyed being interested in participating. At the stakeholder level, there were similar results, but publishers were much more undecided. Interestingly, while being the least convinced about the change for the better within

academic publishing, publishers are the most interested in participating in the design of such a policy.

The conditions and environment of open access book publishing are rated more positively at the institutional level than at the national level. Financial resources and sufficient information are still considered to be a clear need. Technical infrastructure for open access books is considered to be slightly better. From the stakeholders' perspective, improving the conditions for the publication of open access books appears to remain a particular challenge.

There was broad agreement from all respondents that all quality measures were important for open access books. However, open peer review measures – although important to funders – were considered slightly less important by respondents, mirroring the response of the DIAMAS survey. All statements about measures to increase the visibility of open access books were also considered important to varying degrees by the whole sample.

Sufficient and correct entries in the metadata record was considered the most import aspect of this set of statements, reflecting the widely known issue that metadata for books should be improved. This was particularly supported by libraries and publishers in the stakeholder sample. The use of common persistent identifiers such as DOIs was considered almost equally important for similar reasons.

The transparent calculation of book processing charges was regarded as the most important statement in the economic measures section. Separate budget lines for open access and non-open access books are perceived as less important across the whole sample. However, this view may change over time if funders require evidence of payment as a condition of funding.

Regarding technical infrastructure, respondents were overwhelmingly in favour of publicly funded technical infrastructures rather than commercial solutions.

A key issue is the creation of awareness through a communication strategy. This topic came into light in large parts of the survey. For example, it is noticeable that stakeholders rate the situation in their own area of interest more positively. By implication, it can be assumed that if knowledge of the numerous products, services, funding opportunities, platforms and technical infrastructures were better, the transition of the book market to open access models would also be assessed more positively.

Overall, the survey underscores the need for tailored visibility strategies aligned with stakeholder priorities and policy frameworks to maximise the impact and accessibility of open access books.

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OA book policies

Key elements of an open access books policy

Published September 13 2024 | Revised September 26 2024

In 2023, PALOMERA devised a list of policymaking elements for academic books to identify gaps and good policy practices among institutional, regional, national and international open access-related policies. These elements also serve as a framework to help policymakers more precisely pinpoint their expectations, which has the potential to ensure better policy compliance.

As part of a policy-mapping process, the PALOMERA project devised a list of policymaking elements to identify gaps and good policy practices among institutional, regional, national and international open access book policies. These elements will also serve as a framework to help policymakers who are formulating their policy to better describe the specifics of their policy, which has the potential to better ensure policy compliance. The elements focus on a range of areas: from scope to copyright to funding to incentives and monitoring.

Scope This element defines what the term 'book' means in the policy, for example books, monographs, edited volumes, scholarly editions, book chapters and other types of longform scholarly publications. It is important to describe what is in scope of the policy and what is out of scope, or exempted. In addition, scope includes to whom the policy applies – for example academics in general or academics from a particular discipline, group or department.

The open access model If the policy prescribes or encourages a particular open access model, it should be specified and described succinctly. For example, this could be the version of record (gold or diamond open access where a book processing charge is paid or a community model is supported) or the author-accepted manuscript (green open access or self-archiving in a repository).

Stipulations on the open access publication

Time of open access publication Stipulate the designated time frame within which you require a work to be made open access under the policy. This can pertain to a final version of the work or to a pre-print or post-print, for example immediately upon publication or within an embargo period if necessary.

Deposited version If you require a particular version of the work to be made open access, specify the version of the work that authors are required to make open access under the policy and/or deposit (i.e. pre-print, post-print, publisher's version).

Publisher restrictions If authors are required to publish with certain publishers listed on national lists or in registries, you should clearly refer to these with links for reference.

Copyright, licensing and rights retention

Rights retention Provisions should be included that recommend authors to retain sufficient rights to publish open access. In practice, this means that authors should not transfer their copyright by default to publishers or make a non-exclusive publishing agreement unless this allows the author to publish open access. Please note that this cannot be done retrospectively after the author has signed the publishing contract, which would likely be an exception to the policy.

Licensing If you encourage open licensing, specify the type of open licence recommended or required for open access publications under the policy, for example CC BY, CC BY-SA, CC BY-NC, CC BY-ND, CC BY-NC-ND. [Refer to the Creative Commons info page on licensing for more information:](#)

Funding If you provide a funding mechanism/s to cover the costs of publishing an open access book or part of it, please specify this, including the application procedure, if relevant, the time frame and any limitations or caps. For example, is there a maximum funding level for book processing charges (BPCs) and are alternatives to the BPC funded, for example diamond open access.

Exceptions The policy should outline specific circumstances or scenarios in which certain rules or requirements may not apply and thus do not require authors to publish open access.

Monitoring and incentives Stipulating the processes that assess and verify open access policy compliance will help ensure policy compliance.

Defining incentives or benefits can encourage compliance. Alternatively, to discourage non-compliance, the consequences or penalties for those who do not follow the requirements should be described clearly and succinctly, including to whom they apply and when.

Policy document information

Policy review schedule Ideally, indicate the time frame of this policy and when it will next be reviewed, updated and revised, including the date if possible.

Policy licence Indicate whether the policy document itself is released under a specific open licence. This is useful in terms of how the policy text can be used, shared and modified by others who may want to build on this policy or translate it.

Introduction

Policy life cycle

The open access books policy life cycle, as proposed by the [PALOMERA project](#), outlines a structured six-stage process for developing and refining open access book policies. This framework guides policymakers from initial research and formulation through to implementation, monitoring and evaluation, ensuring that each stage is comprehensively addressed.

By emphasising the importance of stakeholder engagement and iterative consultation, the life cycle aims to create effective policies that adapt to the evolving landscape of open access publishing. Overall, it serves as a valuable tool for fostering transparency and enhancing the accessibility of scholarly works.

Policy life cycle - articles

Policy life cycle for open access books

The open access books policy life cycle refers to a six-stage life cycle put forward by the PALOMERA project as a means to support funders in their policy development process by providing a structured approach to the creation of a particular open access books policy.

The six stages are: 1. Research 2. Policy formulation 3. Public consultation 4. Implementation 5. Monitoring and impact 6. Evaluation and review

The open access books policy should be a continuing cycle of development. The policy section of the Toolkit is designed to support all aspects of the policy.
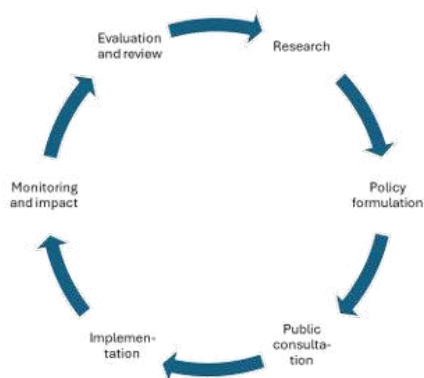
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OA book policies

- [OA book policy landscape](#)
- [Policy life cycle](#)
- [Best practices and case studies](#)

OA book policies

Policy life cycle for open access books

Published September 4 2024 | Revised September 30 2024

The open access books policy life cycle refers to a six-stage life cycle put forward by the PALOMERA project as a means to support the initial formulation and iteration of open access book policies regardless of which stage the policy is in the life cycle.

When considering a new open access books policy, a project plan should be created, which includes all aspects of the life cycle from initial research and policy launch to monitoring and evaluation. For example, it is important that, at the policy formulation stage, the creators of the policy understand how individual aspects of the policy will be monitored and how success will be measured. The length of time covered by the life cycle will vary according to national and organisational contexts but it is likely to cover a period of five to ten years, especially when including the first three 'pre-launch' stages.

1. Research

The first stage of the open access books policy life cycle refers to the research that policymakers need to undertake to understand what their policy will cover and how it fits in the wider landscape. Funders may want to consult with other regional, national and international policies to gain a greater understanding of the policy landscape. In order to do this, funders may want to use the PALOMERA Knowledge Base, a collection of documents including reports, policies, survey results and statistics that are relevant to open access policies regarding books in the European Research Area. Stakeholder analysis should also be conducted at this stage of the life cycle. For example, who should be involved (libraries, research funding organisations, research performing organisations, societies, publishers, researchers) and what is their current position about open access books.

2. Policy formulation

This stage of the life cycle describes the initial formulation of the open access books policy after initial research and contextualisation has been conducted. During this stage, funders may wish to consult with other funders regarding lessons learned, etc., which, for example, could be done through the PALOMERA Funder Forum. This process is likely to involve internal consultation as well as initial stakeholder consultation. Therefore, stages two and three are likely to be iterative processes.

3. Public consultation

This stage of the life cycle refers specifically to the public consultation that should be undertaken to ensure that appropriate stakeholders have had the opportunity to feed into the proposed open access books policy. This could form part of a wider open access policy consultation. At this point, a near final draft of the policy is required, so internal and initial stakeholder consultation needs to have taken place. However, this will be an iterative process and an appropriate amount of time should be given for stakeholders to provide feedback on the proposed policy, which may take as long as six months. This stage of the life cycle should also include the analysis of the consultation responses.

The PALOMERA Funder Forum may also be a useful tool during stages two and three of the life cycle.

4. Implementation

Implementation describes the whole process from the announcement of the open access books policy to the launch of the policy itself. This process is largely about preparation within the national context of the policy. The date when the policy will come into effect should be announced well in advance (at least 12 months) and include information about in-scope and out-of-scope works in terms of date of submission of manuscript or date of publisher-author contract/date of publication. During this stage, a variety of stakeholder engagement activities should take place alongside the promotion of detailed guidance about compliance with the policy. In addition, if funding is to be made available as part of the policy, appropriate internal and external workflows will be required to ensure effective means to apply for and receive funding. Regarding compliance, a detailed plan will be required to enable monitoring and impact to start at policy launch.

5. Monitoring and impact

As stated at the beginning of this article, methods of monitoring the policy and its impact need to be planned from the beginning. Once the policy is launched, these methods need to be in place to ensure the smooth running of the policy. There are two important areas that should be distinguished. The monitoring of compliance against the policy and the monitoring of impact, usage statistics for example. Monitoring of the policy will largely depend on the attributes of the policy and the national context, as well as on the availability of appropriate data. Engagement with open infrastructure providers will be required in order to run this and the next stage effectively, and to

keep the data FAIR where possible. FAIR data are data which meet principles of findability, accessibility, interoperability and reusability (FAIR).

6. Evaluation and review

The final stage of the open access books policy life cycle is conducting a formal review of the policy after a given amount of time. All policies should have a review date built into the life cycle to ensure to what extent the policy meets its objectives. This could be a full review, which will feed into stage one of the process and start the open access books policy life cycle again for a new version of the policy. This is an opportunity to review the landscape as well as the policy itself. For example, it is widely accepted that aspects of the open access books landscape are less mature than others, such as metadata quality. A review of the existing landscape may provide insight on where a new policy could be tightened or improved.

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Introduction

Best practices and case studies

Best practices and case studies - articles

Processes surrounding open access book policy formulation and implementation

Based on input from national research funders in the European Research Area, this article provides insights into the reality of policymaking for open access books. All interviews have been anonymised, but the identities of the interviewees are known to the authors.

read more…

OA book policies

- OA book policy landscape
- Policy life cycle
- Best practices and case studies

OA book policies

Processes surrounding open access book policy formulation and implementation

Published September 25 2024 | Revised September 26 2024

*Based on input from national research funders in the European Research Area, this article provides insights into the reality of policymaking for open access books. All interviews have been anonymised, but the identities of the interviewees are known to the authors.

During the summer of 2024, we asked research funders from around Europe a series of questions based on the open access books policy life cycle. The six questions refer to the six stages of the life cycle put forward by the PALOMERA project and provide insights into the reality of policymaking from our respondents.
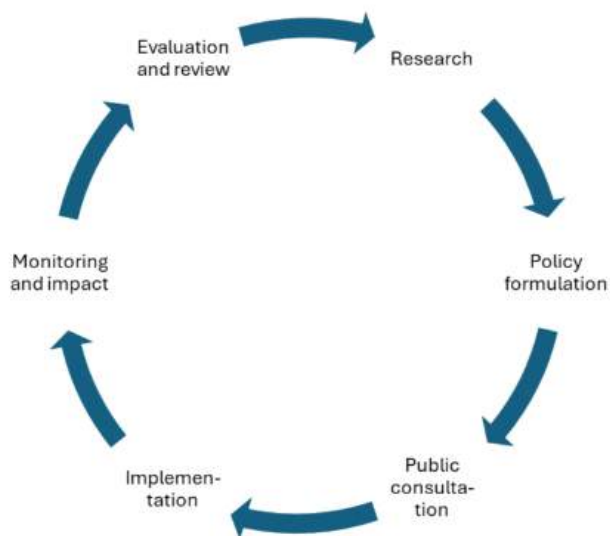
We received 10 responses (83% response rate), which have been grouped together in an anonymised form for this article. We are very grateful to all of the funders who responded to the questionnaire.

Research in support of a new open access books policy

We asked research funders to tell us about any research that was performed to inform the policy formulation. Unsurprisingly, many funders started with desktop research of existing studies and research and by looking for existing recommendations elsewhere,

such as the cOAlition S Statement on open access books (cOAlition S, 2021) and other funder policies already in existence (see PALOMERA Project Knowledge Base). This included surveying what other funders were doing in order to benchmark. A number of funders already had existing open access and/or open science policies, so part of the research was to revisit these policies and update them where necessary. For example, some funders had not previously included open access books as part of the policy. The European Commission policy was also consulted by one of the funders. Another part of the research process was to consult with national experts on open science as well as consult/survey publishers, authors, research performing organisations, librarians and other key national entities and experts. New reports have also been commissioned such as the OAPEN-CH study (Swiss National Science Foundation, 2018), which has since been used by many funders as part of their desktop research. Finally, research funders also referenced existing legal frameworks.

Policy formulation

This stage of the life cycle describes the initial formulation of the open access books policy after initial research and contextualisation have been conducted. As can be seen from the answers to the previous question, research funders consult and survey a wide number of stakeholders at the initial research phase or as part of the policy formation as the two stages may be iterative. However, there is no one size fits all approach to the policy formulation process as this is influenced by national practice as well as research. For example, some funders will use existing internal groups to form policy, while others will create multidisciplinary groups at management level as part of a collaborative effort. For many research funders there is an existing approval procedure hierarchy in place, involving steering groups, assistance from legal representation, the open science policy officer and ultimately consultation with the relevant government ministry.

Public consultation of the draft policy

Research funders were asked whether a public consultation took place and to reflect on how this process went. Firstly, it is important to note that three research funders held no public consultation about the policy. Of those that did, a number of funders thought that the consultation with stakeholders had worked well and was worth doing as it provided many insights from different stakeholders, but that it was also very time-consuming and resource intensive. Some funders chose to have a public consultation via the funder's website where comments could be made on all points of the policy. Stakeholders could then see where changes to the initial policy had been made as a result of the feedback. In one case, the stakeholders were made aware of upcoming changes. In another case, the process was highly transparent with the opportunity to give feedback on comments received. In these cases not all comments were adopted and the decisions behind this were not made public. One funder reported that it had also run an email campaign to solicit feedback and also held workshops with key stakeholder groups in addition to an open consultation.

Implementation

The funders that had reached the implementation stage of their open access books policy were asked to reflect on how this process was undertaken. In one case, the policy had not yet been implemented, but a roadmap had been produced and implemented in

the interim. Other funders had published the policy on their website with an accompanying news piece or high-level announcement ahead of the launch. Implementation of the new policy was also accompanied by a funding policy for books in a number of cases. One funder continued to engage with stakeholders by holding a series of workshops and training events and commissioning further consultation work as part of the implementation period. This led to the development of further resources to support stakeholders once the policy went live.

Monitoring and impact

There are two important areas that should be distinguished for this stage of the life cycle and respondents were asked to describe existing workflows and tools they had in place for them.

1. Monitoring of compliance against the policy. Research funders monitored compliance using a variety of tools and methods. Some were only used for books directly funded by book processing charges, while others had not implemented a compliance check at all. A variety of methods are in use. Some funders are developing their own tools (Mendes Moreira et al., 2022), while others use CRIS systems to monitor compliance. Others outsource this function to third party providers, while some funders only have manual checks in place to monitor compliance.

2. Monitoring of impact such as usage statistics. The majority of research funders in our sample did not monitor impact in this way. However, two funders reported that they used OAPEN (n.d.) to serve this purpose.

Evaluation and review

Asked whether they had performed a review of their policy, research funders responded that they had not got to this stage of the research policy life cycle yet and that their open access books policies were not expected to be reviewed in the near future. However, it is worth noting that from the responses to the first question, funders with more mature policies had clearly performed a light touch review as part of the research process for new policies, although there was no formal procedure.

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Introduction

Funding Policies

This subsection addresses means by which open access books are funded. One article looks at the funding landscape, highlighting research funders and institutions, and includes examples of the different ways these policies are organised in different countries. There are also separate articles providing details of funding mechanisms from research performing organisations and research funding organisations.

For policymakers

Funding mechanisms

Articles

- Funding mechanisms for open access books: Research performing organisations (RPOs)
  European research performing organisations (RPOs) have established open access policies that also come with a funding arm. Some RPOs and their libraries commit to open access for books, often by managing dedicated open access publication funds. This article looks at various funding mechanisms and the conditions and limitations of such funding.

For policymakers

OA book funding landscape

Articles

- Landscape of open access book policies and funding mechanisms
  This article provides a brief description of the landscape of open access book policies in the European Research Area (ERA), that include funding mechanisms to cover the costs of publishing. The main institutions providing funding are ministries, research funding organisations (RFOs) and research performing organisations (RPOs). The article also includes a brief overview of national open access policies and gives examples of the different ways these policies are organised in different countries.

Introduction

OA book funding landscape

OA book funding landscape - articles

Landscape of open access book policies and funding mechanisms

This article provides a brief description of the landscape of open access book policies in the European Research Area (ERA), that include funding mechanisms to cover the costs of publishing. The main institutions providing funding are ministries, research funding organisations (RFOs) and research performing organisations (RPOs). The article also includes a brief overview of national open access policies and gives examples of the different ways these policies are organised in different countries.

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Funding Policies

Landscape of open access book policies and funding mechanisms

Published September 10 2024 | Revised September 25 2024

This article provides a brief description of the landscape of open access book policies in the European Research Area (ERA), that include funding mechanisms to cover the costs of publishing. The main institutions providing funding are ministries, research funding organisations (RFOs) and research performing organisations (RPOs). The article also includes a brief overview of national open access policies and gives examples of the different ways these policies are organised in different countries.

The PALOMERA project identified 182 open access policy documents that include books. Several of these policy documents address the funding of publication costs for open access books. These include:

- 5 national level policies: Belgium, France, Germany, Serbia, Slovenia;
- 11 RFOs: these are outlined in a related article on RFOs in this section;
- 22 RPOs: 10 from Germany, 5 from Switzerland, 3 from the Netherlands and one from: Austria, UK, Norway, Latvia.

In most countries with policies for open access books, the main institutions providing funding are ministries, RFOs and RPOs. In some countries there are also charitable organisations that support open access books (e.g. Volkswagenstiftung). How funding is organised depends on national circumstances (i.e. historical, political, economic).

France has a National Plan for Open Science, co-ordinated by the Committee for Open Science with the French Ministry of Higher Education and Research. Funding for open access books resulting from publicly funded research can be obtained through the national Open Science fund.

Germany has national guidelines in a decentralised policy landscape, with state level policies that include funding mechanisms for open access books (e.g. Berlin and Brandenburg). The Federal Ministry of Education and Research in Germany covers a portion of the project-associated indirect costs through lump sums which can also be used to cover publication costs, even beyond the duration of the project. The German Research Foundation (DFG) has an open access publishing programme which provides grants to cover costs of open access books. In addition, DFG indirectly supports the publication of research results in open access by contributing to publication funds at

universities. As mentioned above, 10 RPOs in Germany provide funding for open access books.

Slovenia adopted a national policy for open science that included open access to academic books and also mentioned funding. Based on that legislation, the national funder ARIS introduced their policy on open research, explicitly mentioning open access books and funding.

Switzerland has a national Open Access Strategy in which both an RFO (SNSF) and RPOs (Swissuniversities) collaborate to jointly and sustainably promote open access to scientific knowledge. This includes support for open access for scholarly longform publications and additional publication formats, and it explains why there are several (5) RPOs in Switzerland that provide funding for open access books. These are further detailed in the related article on RPOs in this section.

The European Commission (EC) implements its open access policy through the Model Grant Agreement for grantees within its Framework Programme for Research. The EC has adopted the guidelines that were first introduced by the European Research Council (ERC) to explicitly include 'monographs and other longform publications' in its open access mandate. It therefore concerns all researchers within the European Research Area that are involved in research projects within the EU Horizon Europe Framework Programme.

In a number of countries without ministerial or government open access policies, or with open access strategies that do not mention books or funding, the national research funder can take the lead to develop a policy and a funding mechanism for open access books. Examples are UKRI (United Kingdom), NWO (Netherlands), FWF (Austria), the Research Council of Norway and the Research Council of Lithuania. Further details can be found in [Funding mechanisms for open access books: RFOs](#).

In countries with open access book policies and funding mechanisms based on a national strategy or from a national research funder, there will also be RPOs with open access policies that provide funding to cover publishing costs for open access books. These are generally managed by their libraries. See Funding mechanisms for open access books: RPOs for more details (to be published).

Both funders and libraries often collaborate to align on how funding is being provided. For funders, the important initiative is Coalition S, which has provided guidance for both open access journals and books. Coalition S, which is supported by several RFOs, recommends that funders mandate open access for books and that they provide funding to cover open access publication costs, but leaves it to the funders to decide how this should be done.

Libraries generally already collaborate through library consortia to negotiate agreements with publishers. These consortia can be on a national level, a regional or state level, or in some cases they are formed by a group of similar RPOs. As RPOs become engaged in supporting open access, this effort may also be taken up by consortia.

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Introduction

Funding mechanisms

Funding mechanisms - articles

Funding mechanisms for open access books: Research performing organisations (RPOs)

European research performing organisations (RPOs) have established open access policies that also come with a funding arm. Some RPOs and their libraries commit to open access for books, often by managing dedicated open access publication funds. This article looks at various funding mechanisms and the conditions and limitations of such funding.

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Funding Policies

Funding mechanisms for open access books: Research performing organisations (RPOs)

Published September 26 2024 | Revised September 26 2024

European research performing organisations (RPOs) have established open access policies that also come with a funding arm. Some RPOs and their libraries commit to open access for books, often by managing dedicated open access publication funds. This article looks at various funding mechanisms and the conditions and limitations of such funding.

Universities and research organisations can fund open access books centrally. Institutions and academic libraries often manage open access publication funds that are aligned with a country's strategy, as in Switzerland, or on the individual institution level, such as the Austrian Academy of Sciences, the Free University of Berlin or at the Erasmus University Library, which has a dedicated fund for books[1]. Some faculties have their own annual open access funds. RPOs that provide such funding can be seen in countries where national open access strategies for books exist, including where research funders mandate and provide funding, although this is not always the case.

Some organisations define the types of book publications they fund: monographs, book chapters, other edited scientific works or dissertations. Whilst some provide funding regardless of the publisher or discipline, others may stipulate conditions such as the work not having been published previously, that it is peer reviewed or that the entire edited collection is published open access, for instance at the University of Zurich or Bergen[2]. In some cases, publishing with any open access book publisher suffices whereas in other cases it may be a requirement that the publisher is listed in DOAB (Lund University), in a national register or that they follow national publishing requirements or standards, such as at Helmholtz[3]. In some instances, funds can be applied for if certain conditions are met, for example for innovation in HSS and economics as at the University of Potsdam[4]. Occasionally, universities are prepared to fund only certain processes and not, for example, printing or typesetting costs, surcharges for colours, more than one volume, for instance as seen at the University of Konstanz[5]. Some set a wide range of requirements to maintain excellent open access standards which need to be complied with before funding is granted, for example at the University of Zurich for the SSH or University of Trier. Such requirements might

involve the publisher transparently calculating and communicating its fees, the publication being openly licensed, the publication having a DOI or URN and that ORCIDs are used and deposited in the local repository, etc.[6] Furthermore, it stipulates that any print version may only be made available after the open access version has appeared.

Authors affiliated with the research organisation, for example employees, emeriti or PhD candidates, can apply in advance or at any time during the publication process. In some institutions, funds are provided for a maximum of three publications per author per year, as in the case of the University of Zurich[7].

Certain funds are only available for a specific time frame, for example a requirement that the funded work be published within 12 months, such as at higher education institutions in Berlin like the HU Berlin. However, sometimes additional funding can be applied for if more time is needed[8]. Some organisations allow funds to be combined with additional resources, whereas others only accept applications if no alternative funding streams are available, which is the case at the Erasmus University of Rotterdam, or if the grant period has expired[9]. Funds can also be used to bridge funding gaps between caps and costs.

Policies can specify certain funding models such as the BPC. However, in the PALOMERA collection, the BPC is not frequently mentioned. Knowledge Unlatched has also been mentioned as a model where the library shares the costs of publishing an open access book. For more on models, see here. Policies tend to focus more on what they will fund rather than limiting themselves to a certain funding model.

Some institutions set caps on what they fund. These caps can range from 2,000 to 15,000 €, although it is not always clear how these figures are calculated. The level of costs can, for example, depend on the type of open access book, as at the University of Konstanz[10]. Whereas some institutions provide more funds to authors who have made multiple contributions to one edited collection, others can limit the annual amount of funds issued to individuals or research groups, as seen at the University of Zurich[11]. Institutions can also become involved in determining the caps by negotiating on BPC levels, as at the Max Planck Gesellschaft[12].

Where the organisations source their funds from can differ. In Germany, some federal funding includes open access costs as an eligible cost, and certain regions provide publication funds of 100,000 € per year to its authors, for example in the Federal State of Brandenburg[13]. Many institutions earmark funds from local institutional budgets or use block grants from research funders. It should be pointed out that how institutions organise their funding is not always included in their policy pages or documents.

- 1 Swissuniversities. Nationale Open-Access-Strategie für die Schweiz. AktionsplanSwissuniversities. Nationale Open-Access-Strategie für die Schweiz. Aktionsplan; Austrian Academy of Sciences. Open Access; Open-Access-Policy der Freien Universität Berlin; Erasmus University of Rotterdam. Open Access Fund

- 2 University Library Zurich. Open Access Fonds Policy; Publication fund for Open Access at the University of Bergen

- 3 [Criteria for the Operation of Open Access Publication Funds and the Payment of Open Access Publication Fees, Helmholtz Open Science](#)

- 4 [Book Fund, Lund University; University of Potsdam. Open Access Strategy](#)

- 5 [Open Access Books, Funding Open Access, Universitaet Konstanz](#)

- 6 [Förderrichtlinien Juli 2022, Richtlinien zum Open Access-Publikationsfonds für die Geistes- und Sozialwissenschaften, Bibliothek der Universitaet Zuerich; University of Trier. Förderkriterien für Open-Access-Monographien und - Sammelbände.](#)

- 7 [University Library of Zurich. Richtlinien zum Open Access-Publikationsfonds für die Geistes- und Sozialwissenschaften.](#)

- 8 [HU Berlin. Publication Fund for Monographs.](#)

- 9 [Erasmus University of Rotterdam. Open Access Fund.](#)

- 10 [Open Access Books, Funding Open Access, Universitaet Konstanz.](#)

- 11 [University Library of Zurich. Richtlinien zum Open Access-Publikationsfonds für die Geistes- und Sozialwissenschaften.](#)

- 12 [Max Planck Digital Library.](#)

- 13 [Publication Fund for Open Access Monographs of the Federal State of Brandenburg.](#)

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Including in-text references (actual source). Please use APA style referencing. For an example, [see.](#)

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Further reading

The other toolkit articles dealing with publishing costs: in the same section, also the funding options article and the business models article in the researchers section