

# oapen

## OAPEN-CH – The impact of open access on scientific monographs in Switzerland

A project conducted by the Swiss National Science Foundation (SNSF)



SWISS NATIONAL SCIENCE FOUNDATION

# Publishing information

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## Foreword

Open access is on the agenda of research funders in Switzerland and around the globe. The results of research funded with public money are to be made immediately available in digital form free of charge. This shift in thinking poses a huge challenge in particular for publishers of scientific books. Printed books still dominate in the humanities and social sciences. To address this situation, the Swiss National Science Foundation (SNSF) launched the OAPEN-CH pilot project in 2014. The SNSF's objective was to learn more about the open access publication of monographs in Switzerland in order to be able to adapt its funding policy accordingly. The aim of OAPEN-CH was to deliver insights to help all the various stakeholder groups – researchers, publishers, libraries, research funders – to make informed decisions. Accordingly, the SNSF adopted an advisory and cooperative approach for the project.

The findings of the shared learning process are now available. They are encouraging in that they produce a clear verdict for the scientific monograph: a digital edition that is freely available on the Internet increases the trackability, visibility and use of monographs. Open access does not have a negative impact on printed book sales. Conclusion: Facilitating and promoting open access will benefit the academic community and society at large as well as publishers and funders.

We wish to thank Eelco Ferwerda and Ronald Snijder from the OAPEN Foundation for their advice and support throughout the project, from its conception to completion of the present report. Our thanks are likewise due to the Steering Committee: Paul Schubert, President of the Research Council, Humanities and Social Sciences Division (until the end of 2016); Corina Caduff, Vice President of the Research Council, Humanities and Social Sciences Division (until the end of 2017); Ingrid Kissling-Näf, Head of the Humanities and Social Sciences Division (until the end of 2017); Gabi Schneider, Coordinator “Scientific Information” programme, swissuniversities; Christian Fuhrer, Head of Open Access, Main Library, University of Zurich.

We also wish to thank the members of the evaluation group, who selected the matched pairs examined: Paul Schubert, Corina Caduff, Dario Gamboni, Jon Mathieu and Ioannis Papadopoulos, all members of the Research Council of the Humanities and Social Sciences division. The Administrative Offices project team comprising Ingrid Kissling-Näf (lead), Brigitte Arpagaus, Regula Graf, Daniel Krämer, Eva Moser and Coralie Dorsaz did an excellent job.

Last but not least, our sincere thanks go out to the publishers which agreed to be part of the shared learning process. Without them we would not have been able to conduct this study.

The SNSF's target is for 100 per cent of the publications resulting from its funding to be available in open access mode by 2020. To this end, it put together a programme of measures and new provisions in force since 1 April 2018. The Open Access Policy 2020 will take the findings of OAPEN-CH on board and generously and unbureaucratically provide funds for the open access publication of scientific books and book chapters.

Matthias Egger

President of the National Research Council of the SNSF

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# Executive summary

## The transition to open access

The scientific publishing landscape is in a state of flux. While "open science" and "open access" have long been abstract slogans, in recent years they have led to a paradigm shift in the research community: unfettered access to publicly funded research is to be given free of charge. Free access to scientific publications is a cornerstone of this process of change.

In an initial stage, the focus of open access was on scientific journals. It was only in a second stage that the paradigm shift also extended to scientific monographs. The reasons for this delay are numerous and vary from country to country. They are frequently closely connected with the economic and cultural conditions within the various states and their respective language regions. Switzerland in particular, with its four national languages, is heavily exposed to the regional idiosyncrasies of the book market.

The transition to open access monographs is especially challenging for small and medium-sized publishers. Not only have sales of printed books been on a steady decline over the past few decades ("monograph crisis"), but many publishers have not yet adapted their business models and work processes to open access. Despite the fall in sales, the printed book is still held in high regard and continues to play a key role in the academic careers of researchers in the humanities and social sciences. Monographs – whether in printed or digital form – will remain an essential feature of the publishing landscape in the next few years.

## The OAPEN-CH pilot project

While there are still a number of hurdles to overcome, acceptance of open access monographs has grown in recent years. In the period from 2014 to 2017, the OAPEN-CH pilot project allowed the Swiss National Science Foundation (SNSF) to identify the difficulties arising during the transition phase and define future specifications for open access monographs. The SNSF carried out the project jointly with Swiss and German publishers in the humanities and social sciences.

The impact of open access was ascertained on the basis of the 105 monographs published under OAPEN-CH with funding of 1.5 million Swiss francs from the SNSF. The constructive exchange gave both the SNSF and the twelve participating publishers valuable insights into how to implement open access to monographs. The SNSF was able to draw on the acquired expertise for its new open access policy.

## The design of the OAPEN-CH study

The OAPEN-CH pilot project was designed to acquire know-how and first-hand experience of the publication and funding of open access monographs in Switzerland. Quantitative data on use, sales and costs was collected in order to investigate the effect of open access. The perceptions and expectations of authors and publishers were also integrated into the analysis.

A dual approach was taken for the collection of quantitative data. The publishers put together 53 matched pairs comprising two comparable monographs (in respect of discipline, target readership, language, length and price). The matched pairs were published under two different models:

Under Model 1, one of the monographs in the matched pair was published in both a digital and a printed version. The digital version needed to be made available immediately in an open access edition ("gold open access"). The printed version still had to be paid for. The other monograph in the matched pair was also made available in a digital and a printed version, but both versions had to be paid for.

Under Model 2, matched pairs that had already come out in printed versions were compared. One of the monographs was additionally published under the pilot project in a digital open access version ("green open access"), while the other monograph in the matched pair remained available in a printed version.

The impact of open access on the visibility, use, reach and number of monographs sold was investigated for both models. Under this quantitative evaluation, the open access monographs in the experimental group were compared with the printed monographs in the control group (see Annex 3).

### The effects on visibility, use, reach and sales figures

OAPEN-CH investigated whether open access had an effect on the visibility, use, reach and sales figures of monographs.

- **Trackability and visibility:** Open access had a statistically significant positive influence on the trackability and visibility of the monographs on the different platforms. Internet platforms engage different users and satisfy different purposes. For that reason, the parallel placing of monographs on publishers' websites, in the Swiss National Library, in an institutional repository, in the OAPEN Library and on Google Books ensures a broader dissemination of research findings.
- **International reach:** Placing open access monographs in the OAPEN Library increased international reach. The monographs were mainly used in neighbouring cultural and language regions (70 per cent of downloads were in France, Germany, Italy and Switzerland). At least one download of at least one pilot book was registered in a total of 136 countries.
- **Use:** Open access had a statistically significant influence on the use of monographs (number of book visits, page views and downloads). Monographs in the experimental group were used more frequently than books in the control group.
- **Sales figures:** Statistically, open access did not have a negative influence on the sales figures for printed books. The average number of monographs sold in the experimental group was only negligibly lower than the number in the control group. In fact, more copies overall were sold in the experimental group. However, the reverse conclusion – open access has a positive impact on sales figures – does not hold statistically either since there were hardly any differences between the two groups.

When interpreting the results, it must be borne in mind that the transition to open access publication of monographs is still in its infancy. The findings could change once open access monographs become an established part of the publishing landscape. That said, the findings concurred both with the results of the OAPEN-NL and OAPEN-UK pilot projects and with the lessons learned from other studies.

### The perceptions and expectations of authors and publishers

An online survey was conducted to explore the perceptions and expectations of the authors of OAPEN-CH pilot books. It showed a majority of respondents to be positive

towards open access, even though many of the authors still had little personal experience with it. Besides expecting research results to be disseminated more rapidly and to generate higher visibility, most respondents also hope to attract an increasing number of citations. At the same time, they expect sales to go down as soon as a monograph becomes freely accessible. The authors are largely in favour of measures to ensure the quality of peer review processes and they support the idea of placing an open access version in various repositories to increase the visibility of publications. They were very satisfied with the options and services provided by the publishers.

Publishers need to adapt their business models and their work processes when changing over to open access. They began to make the transition without the certainty that authors recognise the added value of open access and that they can cover the production costs. Not least for this reason, the representatives from the publishing community adhered to a dual business model (printed and digital editions side by side). Funding by the SNSF in the form of payment of book processing charges (BPCs) represents, however, a practicable way to cover the costs of the digital version and mitigate the impact of the financial imponderables associated with the transition.

Quality assurance is a key element of open access. At the outset of the project, the representatives of the publishers saw their task primarily as assuring a high quality of language use and design. Within the frame of OAPEN-CH, the publishers also established peer review processes to obtain independent external appraisals which satisfy international standards. They will continue developing and implementing content quality assurance processes in order to meet SNSF peer review requirements for monographs and collections.

### **The costs of open access monographs**

The costs of an open access monograph include all the services a publisher needs to provide to produce the first digital copy, e.g. editing, proofreading, layout or desktop publishing. Added to these costs are expenses for the peer review process, marketing, distribution and image rights. As expected, the costs of a digital monograph under the OAPEN-CH pilot project varied considerably. These variances reflect the different business models, work processes and budgeting practices of the participating publishers. Disregarding the statistical outliers, the average total costs of a digital open access monograph amounted to approximately 13,800 Swiss francs.

### **The new SNSF open access policy**

In the light of the OAPEN-CH findings, Switzerland's national open access strategy and a financial flow analysis of the Swiss publication system, the SNSF has fundamentally reframed its open access policy and now pays a modular book processing charge (BPC). This covers the costs of producing an open access monograph as well as the costs of the peer review process, distribution and metadata creation. The costs of particularly work-intensive digital publications and foreign language editing can be funded via supplementary modules.

Book chapter processing charges (BCPCs) can also be used to fund gold open access publication of articles in collections. Key findings in the humanities and social sciences are frequently published in anthologies. As pure printed publications without metadata, in many cases they do not enjoy high visibility, nor do they attract the attention they merit.

Having introduced BPCs and BCPCs, the SNSF ranks among Europe's leading research funders of monographs, anthologies and book chapters:



- The SNSF's Open Access Policy 2020 facilitates the transition to open access for numerous reviewed academic publications.
- The SNSF supports scientific publishers as central actors in the dissemination of research results.
- It promotes high-quality publications.
- It increases both the visibility and use of Swiss research at the national and international level.

Not least, via OAPEN-CH the SNSF prompted participating publishers to formulate their own open access policies and develop their own open access models.

# 1. Introduction

The findings of publicly funded research are, as far as possible, to be made immediately and unreservedly accessible to researchers and society at no charge. The SNSF is committed to this fundamental principle. It supports activities that contribute to open science, such as open access to scientific publications, open research and open research data, and a transition to research funding according to the criteria of the [DORA Declaration](#). The SNSF is among the forerunners of open access to publications and open research data in Europe. In 2006 it signed the [Berlin Declaration](#) and since 2008 has required funded researchers to make their project publications accessible in digital form free of charge.

The SNSF's open access requirement covers scientific articles in journals, articles in anthologies, and monographs. Funded researchers can fulfil this requirement in two ways: either via the green road to open access, where the research output is deposited in an institutional repository and made available after expiry of an embargo period, or via the gold road, where it is made available immediately. In 2013, the SNSF began assuming article processing charges (APCs) for articles appearing in open access journals and thereby opted exclusively for the gold road. However, it only introduced the open access requirement for scientific books as well in summer 2014. Instead of continuing to contribute financially to printed books, the SNSF went over to contributing solely to production costs for open access monographs published via the green road following an embargo period of 24 months maximum.

Extending the open access requirement to book publications met with some strong opposition. Scientists took to the media to voice their criticisms and ignited a public debate.<sup>1</sup> This marked the first time that open access had been discussed in a broader, non-academic arena in Switzerland.<sup>2</sup> Likewise stirred into action, Swiss scientific publishers collected signatures against the SNSF's new book policy.<sup>3</sup> Following an interpellation entitled "Open Access – A Threat to Swiss Publishers" the matter was addressed by Swiss parliament and the Swiss Federal Council in spring 2014.<sup>4</sup>

The SNSF and the representatives of the Swiss science publishers conducted direct discussions both prior to and after the launch of the new publication funding model. Although the science publishers were generally amenable to open access, not all questions on the transition could be settled. The smaller and medium-sized publishers, for instance, had still not developed business models for open access monographs in order to be able to cover the costs of their services. In the course of the discussions it was

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<sup>1</sup>E.g. Regula Weik, "[Ein Schlag ins Gesicht](#)". Tagblatt, 07.05.2014; Caspar Hirschi, [Der Schweizerische Nationalfonds und seine Open-Access-Strategie](#). Neue Zürcher Zeitung, 19.05.2014; Michael Hagner, [Gute Bücher benötigen Zeit und Papier](#). Neue Zürcher Zeitung, 23.05.2014.

<sup>2</sup> Barbara Hirschmann and Dirk Verdicchio, Open Access in der Schweiz (Open Access in Switzerland) in: Praxishandbuch Open Access (Practical Handbook of Open Access), Konstanze Söllner and Dirk Verdicchio (ed.), Berlin/Boston: De Gruyter, 2017, p. 215.

<sup>3</sup> "[Fonds national suisse de la recherche scientifique FNS-SNSF: L'édition académique en danger! Die akademischen Verlage sind in Gefahr!](#)".

<sup>4</sup> Swiss parliament, [14.3215 Interpellation. Open Access. Eine Bedrohung für das Verlagswesen?](#), 20.03.2014. In its reply, the Federal Council confirmed the strategy adopted by the SNSF.

never disputed that scientific publishers offer researchers publication options with high-quality services, that they make a vital contribution to quality assurance, or that they help research findings to reach a wider audience and so enhance the authors' reputations.

To systematically address the uncertainties regarding the publication process for open access monographs, the SNSF launched a pilot project together with Swiss and German publishers in the humanities and social sciences. Working with the OAPEN Foundation, the SNSF drew up a concept modelled closely on the [OAPEN-NL](#) and [OAPEN-UK](#) projects in the Netherlands and United Kingdom respectively. The SNSF's [OAPEN-CH](#) pilot project pursued several objectives:

- To initiate a shared learning process with publishers and other stakeholders in the open access publication process (authors, libraries and repositories).
- To create a database on the visibility, use, reach and sales of freely accessible printed book publications in order to investigate the effects of open access.
- To analyse effective costs incurred at the preprint stage and for publishing services.
- To review 2014 book policy on the basis of two publication models designed to demonstrate the effects of the green and gold open access routes on visibility, use and sales figures sales as compared with printed monographs.
- To engage in a regular exchange with interested scientific publishers on specific topics related to the transition to open access (e.g. licensing, peer review process and business models).
- To conduct a survey among pilot book authors in order to be able to incorporate into the study their perceptions, views and expectations vis-à-vis open access monographs.

The goals of the study were numerous and diverse: on the one hand dialogue and mutual understanding were to be fostered, while at the same time the quantitative and qualitative evaluations were intended to demonstrate the benefits of open access and thus increase the acceptance of open access monographs.

The final report presents the findings of the OAPEN-CH pilot project. Describing the main lines of development leading to open access at European and Swiss level, Chapter 2 examines open access monographs from a variety of perspectives. Chapter 3 sets out the project design, which, building on pilots conducted in the Netherlands and the United Kingdom, permits a comparison with the findings of OAPEN-NL and OAPEN-UK. The principal results of OAPEN-CH can be found in Chapters 4 and 5. While Chapter 4 focuses on the quantitative findings on the use, sale and production costs of open access monographs, Chapter 5 provides an analysis of the authors' perceptions, expectations and needs in terms of open access. The final chapter presents the outcomes of the workshops with publishers and libraries. Chapter 6 concludes with an outline of the SNSF's new book publication policy, which is based largely on the results of OAPEN-CH.

## 2. Open access activities in Europe and Switzerland

Scientific monographs long played no part in the open access policies of governments, research funding organisations, research institutions, universities and foundations. However, over the past few years, the number of guidelines that include monographs and book chapters has risen – not least in an endeavour to strengthen those disciplines in which monographs remain the main medium for disseminating research results. The large number of initiatives also obscured the open access monograph landscape. The present chapter therefore deals with the principal developments in Europe and Switzerland in recent years.

### 2.1 Europe

The overview of developments in Europe is largely based on the '[Landscape Study on Open Access and Monographs](#)', commissioned by Knowledge Exchange. It focuses on developments with regard to open access policies, funding models, publishing and infrastructures. To start with, we present some general observations and statements on open access monographs

#### 2.1.1 General observations and statements

**Diversity of book publishing landscape:** One of the central findings of the 'Landscape Study on Open Access and Monographs' was the diversity of book publishing. Looking at conventional monograph publishing in different countries within Europe, there are clear differences in publishing practices. Some of these differences are related to cultural and scholarly traditions; others have to do with the size of the market (size of population and language area). These differences partly determine the strength of the academic book publishing sector in different countries, and explain why in some countries academic book publishing is being supported by public and private funding. But the diversity in academic book publishing also exists within individual countries, with large and small, commercial and non-profit publishers co-existing. And this diversity has increased even more with the introduction of open access models.

Diversity is also a feature of the situation in Switzerland. On the one hand, scientific publishing is characterised by small- and medium-sized commercial publishing houses. On the other hand, the relatively small book market is further segmented into the four national languages, each with strong cultural links to the neighbouring countries.

One of the central conclusions of the Knowledge Exchange study is that the diversity in book publishing leads to a variety of models, which in turn is needed to make the transition to open access books. No single model will fit all. There is no scenario promising a perfect transition to open access books.

**Open access leading to innovation in book publishing:** Open access publishing has the potential to transform academic book publishing, thanks to new entrants, new roles and collaborations, new business models and funding mechanisms, and new infrastructure services.

**Number of open access books growing, but transition still in early stages:** The number of open access monographs has been growing rapidly. The Directory of Open Access Books (DOAB) is among the fastest growing OA resources. Since its launch in 2012, it has grown by almost 50 per cent annually and reached the milestone of 10,000

open access monographs towards the end of 2017. However, these books were published by fewer than 250 publishers, which indicates that the real transition still lies ahead. In total, the top four monograph publishers in the UK published close to 7000 monographs in 2017, but have listed less than 200 open access books in DOAB.<sup>5</sup>

**OA policies increasingly include monographs:** An important factor in the transition to open access books is whether funders and institutions include monographs in their policies and funding options. So far, policies have focused mostly on journals and few funders extend their open access policies to monographs. But this is changing as a number of countries are now considering the introduction of OA policies for monographs.

### 2.1.2 Open access policies

The Austrian Science Foundation ([FWF](#)), the [Wellcome Trust](#) and the [European Research Council](#) (ERC) are known to have introduced open access policies that also cover book publications. The Netherlands Organisation for Scientific Research ([NWO](#)) also states that books resulting from NWO research grants must be openly accessible. The most recent example of a funding organisation that included monographs in its OA policy is the SNSF (see chapter 6.4).

In the UK, the Higher Education Funding Council for England ([HEFCE](#)) announced its intention to introduce an OA requirement for monographs after the next Research Excellence Framework (expected in the mid-2020s). In addition, the representative organisation Universities UK ([UUK](#)) established an Open Access Monographs working group to help accelerate the transition. There are signs that funders in other countries, such as Norway and Finland, may include monographs in new policies. Another sign that attention is increasingly being paid to monographs is the recent establishment of the Working Group for OA monographs within [Science Europe](#). This working group is considering drafting a principles paper containing recommendations for OA monograph policies.

Looking beyond research funders, there is an increasing number of research performing organisations (RPOs) whose OA policies include books: according to [ROARMAP](#), there are 200 research organisations with OA policies for books in Europe (out of 475 that have OA policies for articles and/or other research output). No less than 82 of these policies stipulate that monographs have to be archived and published according to OA principles (out of 189 that have binding OA rules for articles and/or other research output).

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<sup>5</sup> The top four publishers are Routledge, Oxford University Press, Cambridge University Press and Palgrave.

### 2.1.3 Funding models

Making scientific information available generates costs, irrespective of whether it is published in print, digitally or hybrid (printed and digital). In the area of OA monographs a large number of funding models has emerged to help publishers cover their costs: book processing charges (BPCs), crowdfunding/collaborative funding through members, institutions or a combination of several funding sources.

**Book processing charges (BPCs):** BPCs are normally covered by the organisation that funds the research. Authors themselves rarely pay BPCs.

**Crowdfunding/collaborative funding models:** [Knowledge Unlatched](#) (KU) has developed a crowdfunding model that could be called a collaborative funding model. More than 400 libraries worldwide participate in KU, to publish open access monographs. So far over 500 books have been made accessible, which makes KU the largest single funder of OA monographs. Other collaborative models include [Luminos](#) (University of California Press) or [Lever Press](#). In Luminos, the costs are split between the authors or their institutions, the publishers and the libraries. Lever Press is funded through membership fees of 40 libraries of liberal arts colleges in the US.<sup>6</sup>

Examples in Europe include the collaborative funding model of the [Finnish Literature Society](#). It developed a membership-based model that is used by Finnish libraries. The Berlin-based [Language Science Press](#) works with KU to raise money from a range of sources. Another example of a membership model is the British [Open Book Publishers](#). As part of a mixed model approach, it finances its OA publications in part through library contributions.

**Institutions:** The Marseille-based [OpenEdition](#) has developed an international free-mium model, providing premium services and ebooks to libraries, while making the books from their publishing partners freely available online.<sup>7</sup> OpenEdition is also an example of how public funding can be used to support OA publishing and large-scale digitisation for a wide range of university-based and non-profit publishers through a central platform.

Institutional support for University Presses is also an important, indirect source of funding of OA publications. Institutional funding comes in various forms, ranging from embedded institutional support for library-based presses to fully funded institutional publishers. Most of the larger OA book publishers are fully or partly funded by their institution.

**Pilot projects:** Finally, numerous OA books were published in the context of pilot projects such as OAPEN-CH, OAPEN-NL and OAPEN-UK. An ongoing example is the [Open Access Monograph Publishing Initiative](#) (TOME), a collaborative project in the US to fund OA publication of monographs from universities, devised by the Association of American Universities (AAU), the Association of Research Libraries (ARL), and the Association of American University Presses (AAUP). Participating universities commit

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<sup>6</sup> The Lever Press model corresponds to Platinum Open Access, i.e. neither authors nor readers pay towards covering the costs.

<sup>7</sup> OpenEdition is backed by the Bibliothèque scientifique numérique (BSN), the Centre National de la Recherche Scientifique (CNRS), the university of Aix-Marseille, the École des Hautes Études en Sciences Sociales (EHESS), the university of Avignon, the project Digital Library for Open Humanities (DILOH) and the infrastructure DARIAH-EU.

to contributing three grants of \$15,000 per year for five years, to pay for the publication of OA monographs by members of its faculty with a reputable scholarly press. So far 12 institutions have joined the OAMPI initiative and 57 publishers have signed up to publish works under this scheme (resulting in at least 180 OA books).

Despite this wide range of funding models, the chief obstacle moving forward is funding. There is substantial funding in the publication system but re-routing financial flows to make OA publishing more efficient involves complex and far-reaching changes to existing processes.

#### 2.1.4 Publishing

Open access has become an accepted publication model for monographs. Most of the leading academic book publishers now offer open access publishing models to authors, in return for a book processing charge. Many of the larger OA book publishers are university presses that are supported by their host institution, but some commercial publishers have also managed to build a considerable list of OA monographs, among them [Springer](#) and [De Gruyter](#) in Germany, [Brill](#) in the Netherlands and [Böhlau Verlag](#) in Austria.

Notably, open access has led to the emergence of many new, pure OA publishers. Most of these new publishers are so-called new university presses, usually closely linked to the university library. The earliest examples, which were established around the turn of the century, are found in Germany. More recent examples can be found in the UK ([UCL Press](#), [University of Huddersfield Press](#), [White Rose Press](#)) and in Scandinavia ([Stockholm University Press](#), [Lund University Press](#)).

OA publishing has also inspired academics to found new publishing houses. Academics already play a crucial role in scientific publishing, not only as authors, but also as editors and reviewers. In recent years we have seen the emergence of so-called academic-led publishers: these publishing houses were established and are run by academics. Examples are [Open Humanities Press](#), [Open Book Publishers](#) and [Language Science Press](#).

OA has also inspired new forms of collaboration. We already mentioned collaborative funding models, but other examples are universities working together to establish a publishing house ([White Rose Press](#) in the UK), or to develop a shared label to promote quality assurance and dissemination ([Kriterium](#) in Sweden); and new publishers working with established houses ([Leiden University Press](#) und [Leuven University Press](#), [Lund University Press](#) und [Manchester University Press](#)).

#### 2.1.5 Infrastructure

OA publishing of monographs relies on a range of infrastructure services to support the publishing process. Three areas are of particular importance: services supporting e-publishing in general (such as DOIs and ORCID); services to support OA (such as institutional repositories and [SHERPA/RoMEO](#)); and services to support OA book publishing. Among the services supporting OA book publishing are open source publishing software solutions ([Open Monograph Press](#)), services for hosting and dissemination (OAPEN, OpenEdition), publishing platforms ([Ubiquity](#)), and other intermediary services (such as [DOAB](#) and KU).

New developments include [Janeway](#), a new open source publishing software solution, developed by Birkbeck Centre for Technology and Publishing. In addition, some existing platforms are adding OA books to their services. [JSTOR](#) launched its OA books service with four publishers in October 2016. Ingenta Connect introduced [Ingenta Open](#), for both OA monographs and journals. And Project Muse received a grant from the Andrew W. Mellon foundation to develop [Muse Open](#) for OA monographs.

Another initiative that involves some of the infrastructure services mentioned above is [OPERAS](#). OPERAS is a consortium (currently consisting of over 30 partners in twelve countries, led by OpenEdition), to establish a distributed infrastructure for open scholarly communication in the Humanities and Social Sciences (HSS). OPERAS aims to achieve this by sharing jointly developed services, tools, standards and best practices across platforms; and by developing a number of central platforms for stakeholders in the humanities and social sciences.

[HIRMEOS](#) is the first OPERAS project, set up as a proof of concept for the OPERAS approach. HIRMEOS focuses on open access monographs and integrates five platforms to develop and implement a range of standards and services. These include digital identifiers, open annotation, certification of peer review practices, automated entity recognition, and a service to provide usage data and bibliometrics.

### 2.1.6 Specialist literature

Recent and further information on developments in the area of OA monographs are available in the following studies:

- Adema, Janneke und Stone, Graham, Changing Publishing Ecologies. A landscape study of new university presses and academic-led publishing, Jisc, 2017.  
<https://www.alpsp.org/News/20170721jiscchangingpublishingecologies>
- Emery, Christina, Lucraft, Mithu, Morka, Agata und Pyne, Ros, The OA effect: How does open access affect the usage of scholarly books? Springer Nature, November 2017.  
<http://www.springernature.com/gp/open-research/journals-books/books/the-oa-effect/>
- Ferwerda, Eelco, Pinter, Frances und Stern, Neil, A Landscape study on open access and monographs. Knowledge Exchange, October 2017.  
<http://www.knowledge-exchange.info/event/open-access-monographs>
- Fyfe, Aileen, Coate, Kelly, Curry, Stephen, Lawson, Stuart, Moxham, Noah und Mørk Røstvik, Camilla, Untangling Academic Publishing: A history of the relationship between commercial interests, academic prestige and the circulation of research, 2017.  
<https://zenodo.org/record/546100#.Wobl0OSWwish>
- Lyons, Rebecca E. und Rayner, Samantha J. (Hg.), The Academic book of the Future, Basingstoke/New York: Palgrave Macmillan, 2016.  
<https://link.springer.com/book/10.1057%2F9781137595775>
- Open Access Book Publishing 2016-2020. Simba Information, November 2016.  
<https://www.simbainformation.com/Open-Access-Book-10410716/>



- Pinter, Frances, Montgomery, Lucy, Saunders, Neil und Ozaygen, Alkim, Exploring usage of open access books via the JSTOR platform. Knowledge Unlatched Research, October 2017.

<https://about.jstor.org/news/knowledge-unlatched-research-releases-report-open-access-ebook-usage/>

- Watkinson, Charles, Welzenbach, Rebecca, Hellman, Eric, Gatti, Rupert und Sonnenberg, Kristyn, Mapping the Free Ebook Supply Chain: Final Report to the Andrew W. Mellon Foundation. University of Michigan, 2017.

<https://deepblue.lib.umich.edu/handle/2027.42/137638>

- Weingart, Peter und Taubert, Niels (Hg.), The future of scholarly publishing, South Africa: African Minds Publisher, 2017.

<http://www.africanbookscollective.com/books/the-future-of-scholarly-publishing>

## 2.2 Switzerland

### 2.2.1 National Open Access Strategy

The transition to open access in recent years was actively pursued not only at the European level. In adopting the [National Open Access Strategy for Switzerland, swissuniversities](#), as mandated by the State Secretariat for Education, Research and Innovation (SERI) and with the support of the SNSF, laid the cornerstone for the nationwide funding of open access to scientific findings. After players in the higher education spheres had in the preceding years drawn up their own open access guidelines and established institutional repositories, the national strategy created overarching terms of reference for the transition to open access.<sup>8</sup>

The national strategy lays down the guidelines for the transition to open access by 2024:

- The strategy calls for a uniform approach in order to bundle resources in Switzerland's federal education and research system.
- Drawing on the findings of the financial flow analysis of the Swiss publication market, it is designed to achieve greater cost transparency and neutrality in the medium and long term.<sup>9</sup>
- Strategy objectives include the sensitisation of researchers, the examination of alternative publication forms, and the introduction of new rules for evaluation systems.

Although the strategic guidelines on open access policies had been voted on in other European states and the European Commission, the Swiss vision was formulated more

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<sup>8</sup> With regard to the following comments, see in particular Hirschmann and Verdicchio 2017.

<sup>9</sup> See in particular Cambridge Economic Policy Associates Ltd. 2017

cautiously: while, for instance, the European Commission aims to achieve the transition to open access by 2020,<sup>10</sup> Switzerland's transition period is scheduled for completion in 2024. Only by then will all scientific publications resulting from publicly funded research (also) have to be published in an open access version.

Swiss tertiary and research institutions agreed on a coordinated approach to deliver this vision. In an effort to ensure that the general parameters for researchers are as uniform as possible, the transition phase will see the introduction of open access guidelines attuned to national and international open access policies. Furthermore, negotiations are to be held with major publishing houses, the available resources are to be deployed more efficiently and a national monitoring system is to be set up. Lastly, swissuniversities initiated a broad-based process to draft an [action plan](#), which was adopted by the Swiss Conference of Higher Education Institutions in February 2018. Its key instrument of implementation is a set of short, medium and long-term measures to be implemented at all traditional universities, universities of applied sciences and teacher training universities.

### 2.2.2 Publication landscape

Switzerland's scientific publication landscape is diverse. The monograph segment is dominated by numerous small and medium-sized independent commercial scientific publishers. Unlike other European countries such as the Netherlands or Germany, where a large number of (new) scientific publishers are based at a university, there are very few university publishers in Switzerland ([Editions ies](#) at the Professional University of Social Work in Geneva, [interact Verlag](#) at the Lucerne School of Social Work, [vdf Hochschulverlag](#) at ETH Zurich).

The range of open access services provided by Swiss scientific publishers is broad. In Switzerland too, the transition initially covered publishers specialising in natural science journals. [Frontiers](#), for example, has been publishing gold open access journals since 2007 and ranks among the largest and fastest-growing open access publishers in the world. Another major open access journal publisher based in Switzerland is [MDPI](#), which recently also began publishing books ([MDPI books](#)). Operating in the fields of medicine and natural sciences, [Karger Verlag](#) and ETH Zurich-based [vdf Hochschulverlag](#) have for some time been offering an open access option for monographs.<sup>11</sup> What is more, under the OAPEN-CH pilot project numerous scientific publishers in the humanities and social sciences expanded their range of services and now offer open access models.

The SNSF has long contributed financially to monographs by providing grants towards the costs of production and printing. In summer 2014, the SNSF followed the example of its sister organisations in Austria (FWF) and the Netherlands (NWO) and broadened the scope of its open access policy to include monographs. Instead of continuing to make contributions toward print costs, the SNSF paid graduated flat sums for the

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<sup>10</sup> <http://ec.europa.eu/research/openscience/index.cfm?pg=openaccess> The European Commission is setting its sights primarily on scientific articles in reviewed journals. Monographs are not explicitly mentioned.

<sup>11</sup> Frontiers, MDPI and Karger are members of the Open Access Scholarly Publishers Association ([OASPA](#)), which represents the interests of open access publishers and promotes best practices for open access journals and open access monographs.

production of the first digital copy of doctoral and post-doctoral theses (or habilitations), monographs and anthologies in a simple or enriched e-book format. Following an embargo period of 24 months after the printed version appeared, at the latest, the open access version had to be published via the green road. In addition to the SNSF, several libraries also assume the APCs for scientific articles in open access journals. Under its open access strategy adopted in 2016, the Swiss Academy of Humanities and Social Sciences ([SAHS](#)), a key promoter of scientific publishing, requires the almost eighty journals and book series (co-)funded by it to be published at the minimum via the green open access road by 2019. Following an embargo period of no more than 12 months, journals and series must be made available in an open access version. In addition to conventional distribution channels, the SAHS also supports alternative forms of publication.

Besides the SNSF and the SAHS, [swissuniversities](#) is also one of the driving forces behind the transition to open access. It established the funding programme "Scientific information: access, processing and safeguarding" (SUC P-2, currently [SUC P-5](#)), which also envisages the promotion of open access publications. The [HOPE](#) (Hauptbibliothek Open Publishing Environment) publication platform offered by the Main Library of the University of Zurich was also set up under this funding programme. It provides technical and organisational support to University of Zurich researchers launching open access journals or flipping a traditional journal to open access. The University of Bern offers its researchers a comparable service via the [BOP](#) (Bern Open Publishing) platform. Besides journals, BOP also supports the publication of open access monographs.

Both platforms – HOPE and BOP – are located at university libraries which otherwise largely promote open access via the operation of institutional repositories for open access publications. Collaborative financing modules for open access monographs such as [Knowledge Unlatched](#) are supported in isolated cases (see Chapter 2.1.3).<sup>12</sup> In 2015, the Conference of University Libraries ([KUB/CBU](#)) also established the Open Access working group ([AKOA](#)), which advises the KUB on questions of open access and promotes an exchange between university libraries in Switzerland.

### 2.2.3 Literature

Current and further information on developments in the area of open access monographs in Switzerland can be found in the following studies:

- Action plan. National Open Access Strategy for Switzerland. Adopted on 8 February by the plenary assembly of swissuniversities. Open Access working group, March 2018.

[https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/Plan\\_d\\_action-d.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/Plan_d_action-d.pdf)

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<sup>12</sup> Knowledge Unlatched is supported in Switzerland by the University Library of Geneva, the University Library of Bern, the University of Neuchâtel, the University Library of Basel, the University Library of St. Gallen, Zentralbibliothek Zurich, as well as the Central and University Library of Lucerne. On the publisher side, MDPI and Peter Lang participated in one or more KU models (current as at February 2018).

- Cambridge Economic Policy Associates Ltd, Financial Flows in Swiss Publishing. Zenodo, November 2016 (updated January 2017).  
<https://zenodo.org/record/240896#.WormPuSWwis>
- Gutknecht, Christian, Graf, Regula, Kissling, Ingrid, Krämer, Daniel, Milzow, Katrin, Perini, Lionel, Würth, Stéphanie and Zimmermann, Thomas, SNSF monitoring report: Open Access to Publications 2013 – 2015. Swiss National Science Foundation, May 2016.  
[http://www.snf.ch/SiteCollectionDocuments/Monitoringbericht\\_Open\\_Access\\_2015\\_d.pdf](http://www.snf.ch/SiteCollectionDocuments/Monitoringbericht_Open_Access_2015_d.pdf)
- Hirschmann, Barbara and Verdicchio, Dirk, Open Access in der Schweiz (Open Access in Switzerland) in: Praxishandbuch Open Access (Practical Handbook of Open Access), Söllner, Konstanze and Verdicchio, Dirk (ed.), Berlin/Boston: De Gruyter, 2017.
- National Open Access Strategy for Switzerland. Adopted by the plenary assembly of swissuniversities on 31 January 2017.  
[https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/Open\\_Access\\_strategy\\_final\\_DE.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/Open_Access_strategy_final_DE.pdf)
- Open access strategy of the Swiss Academy of Humanities and Social Sciences (SAHS). Adopted by the SAHS Board of Directors on 23 September 2016.  
[URL:http://www.sagw.ch/dms/sagw/open\\_access/Open-Access\\_Strategie\\_def\\_d](http://www.sagw.ch/dms/sagw/open_access/Open-Access_Strategie_def_d)
- Söllner, Konstanze and Mittermaier, Bernhard (ed.), Praxishandbuch Open Access (Practical Handbook of Open Access). Berlin/Boston: De Gruyter, 2017.

### 3. OAPEN-CH pilot design

The design of the pilot study is modelled closely on the OAPEN-NL pilot project in the Netherlands and OAPEN-UK in the United Kingdom.<sup>13</sup> Matched pairs of comparable monographs are published simultaneously in an open access version (experimental group) and in a non-open access printed form (control group) to examine the effects of open access on the visibility, use, reach and sales figures of the published monographs. To obtain as large a sample as possible, calls for proposals were launched in spring 2015 and spring 2016, inviting publishers to apply to take part in the matched pairs experiment under the pilot project. The evaluation was not conducted at the level of the individual pairs, but at the level of the complete groups. This approach was selected to avoid statistical distortions.<sup>14</sup>

A central objective of the pilot project was to analyse the costs of producing scientific monographs in Switzerland – in printed and in digital form. The publishers reported the actual production costs for all pilot books. These calculations were intended to make the costs of publishing services and the underlying processes more transparent. In conclusion, a survey was conducted among pilot book authors to elicit their views on open access (see Chapter 5).

Modelling the project concept on the OAPEN-NL and OAPEN-UK pilots proved an advantage in three respects: first, when implementing the pilot project, the SNSF could benefit from the lessons learned in the Netherlands and the UK. Second, the results of OAPEN-CH could be compared with the findings of OAPEN-NL and OAPEN-UK. Third, the comparable design made it easier to evaluate the quantitative and qualitative findings of OAPEN-CH.

#### 3.1 Conception

Scientific publishers in the humanities and social sciences from Switzerland and Germany were invited to participate in the pilot project.<sup>15</sup> The scientific publishers applied to take part in the pilot with matched pairs of books that could be published under two models (see also Tab. 3.1.):

- **Model 1:** One monograph from the matched pair was published simultaneously in an open access version and as a pay-for printed (and possibly digital) book (experimental group). Within the matched pair the publisher proposed a second, comparable monograph published as a pay-for printed (and possibly digital) book (control group, see Chapter 3.3 for the criteria for matched pairs).

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<sup>13</sup> For the OAPEN-NL final report go to the following URL: <http://oapen.org/download?type=export&export=oapen-nl-final-report>. For the OAPEN-UK final report go to: <http://oapen-uk.jisce-books.org/finalreport/>.

<sup>14</sup> For an analysis of the matched pairs used in the UK go to: <http://oapen-uk.jiscebooks.org/research-findings/pilotreport/>

<sup>15</sup> The decision to accept only participants from Switzerland and Germany was dropped under the second call in 2016 to allow publishers from all neighbouring countries and other language regions to take part. Ultimately, however, only Swiss and German publishers participated in the pilot. See Annex 2 for a list of participating publishers.

- **Model 2:** A monograph published approximately 24 months previously was made open access and remained available as a pay-for printed (and possibly digital) book (experimental group). The publisher presented a second, comparable monograph which had also been published approximately 24 months previously and continued to be sold as a pay-for printed (and possibly digital) book (control group, see Annex 4 for the criteria).

The SNSF allocated monographs in the matched pairs to the experimental and the control group on a random basis. To ensure a balanced database and allow a comparison of the two models, participating publishers were required to provide matched pairs under both publication models.

**Table 3.1: OAPEN-CH publication models**

Publication model	Experimental group		Control group	
	<i>Open access</i>	<i>Printed</i>	<i>Open access</i>	<i>Printed</i>
Model 1	Immediately	Immediately	No	Immediately
Model 2	After 24 months	Immediately	No	Immediately

Publishers were reimbursed in full for the costs of producing pilot books under Model 1. In return, the publishers provided figures on production costs and book sales for both the experimental and the control group (see Chapter 4.3. for the effects of open access on sales figures).

To bring about learning opportunities from the peer review process and from the development of viable financing models for open access monographs, the SNSF organised two workshops with international experts (see Annex 1). Besides these quantitative analyses, the pilot project also contained qualitative components: in a survey on open access publications, the authors of books in the OAPEN-CH pilot were asked about their views, expectations and needs. As a complement to the quantitative analysis, the results of the survey were incorporated into the evaluation of the pilot project (see Chapter 5).

## 3.2 Conditions for participation

In order to qualify for participation in OAPEN-CH, authors had to satisfy the personal requirements stipulated for publication funding.<sup>16</sup> Beyond this, the specific professional requirements of the pilot projects needed to be met. Applicants comprised publishers of scientific books who signed the Publisher Agreement with the SNSF (see Annex 4).

Submitted book publications had to meet the following criteria:

- They fell under the category of monographs and anthologies. Dissertations and post-doctoral theses (or habilitations) rewritten to attract a broader readership could be submitted as monographs.

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<sup>16</sup> The requirements for applicants are set out in Article 10 of the Funding Regulations:  
[http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_16\\_d.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_16_d.pdf)

- The published books had to go through the publisher's peer review process. For the duration of the pilot project, descriptions of these processes were available on the OAPEN Library website.<sup>17</sup>
- The publisher obtained a Creative Commons licence for the open access monographs.<sup>18</sup>
- The publisher pledged to make the open access publications available on its website, in the OAPEN Library, in at least one institutional repository as well as in the Swiss National Library and on Google Books.
- The publishers participated in both publication models and proposed per model one book publication for the experimental group and one for the control group. In the second round, publishers with a small list or publishers which took part solely under the second call for proposals were only able to participate under Model 1.

### 3.3 Selection criteria

The main criterion for the selection of matched pairs was the comparability of the experimental group with the control group. Under both models, for the purposes of data evaluation the experimental group was contrasted with the control group. To ensure the comparability of submitted matched pairs under both models, the SNSF applied the following evaluation criteria:

- The books had to be in the same language.
- The books had to come from the same discipline and address a similar audience.
- The publication period of the books was comparable (this was especially significant for matched pairs under Model 2). The publishing date of the books under Model 2 which had already been published could be between 18 and 30 months prior to the envisaged publication of the open access book.
- The books had approximately the same number of pages. Ideally, any deviations from this were within a range of 10 per cent. The higher page count served as the basis of calculation.
- The selling price of pay-for books (in both the experimental and the control group) was roughly the same. Ideally, any deviations were within a range of 10 per cent. The higher price served as the basis of calculation.

### 3.4 Collecting data on use, sales and costs

As one of the objectives of the pilot project was to create a database on the use, sales and production costs of digital and printed monographs, publishers provided the SNSF with the following data for evaluation purposes:

- number of copies of pilot books sold (printed and digital) by month,

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<sup>17</sup> To see the descriptions of the peer review process on the OAPEN Library website go to: <http://www.oapen.org/content/peer-review-process-introduction>

<sup>18</sup> For details on Creative Commons licences (in German) go to: <http://www.creativecommons.ch/>

- number of downloads of open access monographs in the experimental group from the publisher's website by month,
- actual costs of producing the open version and the printed version by defined category.

The collected data was treated confidentially. Data was evaluated by the OAPEN Foundation.

The use of monographs was analysed monthly on the basis of the sales figures for the printed and digital books as well as the number of downloads of open access versions from the various platforms.<sup>19</sup>

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<sup>19</sup> As not all publishers were able to upload their pilot books onto Google Books, in some instances the company mbassador assumed this task as well as that of compiling the figures on the use of monographs on Google Books (book visits, downloads and sales).



## 4. Results of the collected data on usage, sales and costs

This section analyses the data on usage, sales and production costs of open access monographs. It looks at the following three aspects:

1. the usage of open access books on different platforms to learn more about the discoverability, visibility and international reach of open access monographs;
2. the sales of the open access books in both models, analysing the effect of open access on sales;
3. the costs of book publishing in Switzerland to understand the cost structure for open access monographs.

### 4.1 Terminology and approach

The statistical analysis relies on the following terminology:

- Mean: The arithmetic average of a set of values.
- Median: The number found in the exact middle of a set of values. Unlike the mean, the median is not influenced by outlying values and is therefore more robust. When the mean and median are very different, this indicates that outliers influence the average of a set of values.
- Variables and values:  $P$  is a variable to indicate the expectation that a certain result occurs by chance. When  $P$  is below .05 (or 5%), this indicates that the result is statistically significant.  $F$  is used to indicate the strength of the statistical effect; this is a relative value that is hard to interpret. Therefore, the value of  $\omega^2$  is also given: it describes how much of the difference can be attributed to the examined subject. For instance, a value of  $\omega^2 = 0.45$  means that 45% of the difference can be attributed to the examined subject, that is, the subject has a large effect. In contrast, a value of  $\omega^2 = 0.04$  describes a small effect: 4%. The data was analysed using ANOVA (analysis of variance).

The results presented in this chapter should be treated with caution: on the one hand, the sample of pilot books is relatively small (105 monographs) and the timeframe in which the data were collected was short (approximately 22 months). On the other hand, open access book publishing is not yet widely practiced by small- and medium-sized Swiss publishers and the corresponding work processes and infrastructures are not yet in place. Different results can therefore be expected once the transition towards open access has progressed further.

Regarding the statistical method used to analyse usage data and sales figures, it should be noted that the sample sizes are quite small given the aim of achieving a meaningful statistical analysis. However, the results of OAPEN-CH are in line with the similar pilot projects OAPEN-NL and OAPEN-UK. In addition, there are no other research projects known to the authors of this report that lead them to question these results.

In order to assure anonymity, this report omits direct references to particular publishers.

## 4.2 Use, visibility, international reach

The use of publications is measured based on the number of downloads and book sales. These data were collected on a monthly basis on:

- Publisher's website
- Google Books
- Institutional repository
- Swiss National Library
- OAPEN Library

These data were used to analyse the influence of open access on the online usage of monographs and the influence on sales.

### 4.2.1 Online usage on different platforms

The monographs in the experimental group were made available via several platforms. Any direct comparisons between the results of the different platforms should be treated with caution, as each platform may use different mechanisms to measure usage.

Nevertheless, it is possible to make some general statements. The Google Books platform was the most successful in generating visibility for books, whether in open access mode or not (see table 4.2). In contrast, the institutional repositories (see table 5.5) and the Swiss National Library (see table 4.6) generated much less online attention. The websites of the publishers performed similarly to the OAPEN Library (see table 4.3 and table 4.4).<sup>21</sup>

Each platform caters to a different audience; table 4.1 illustrates this finding. It lists the 10 titles with the highest usage on the OAPEN Library and the Google Books platform in 2017. The two lists show that there is little overlap. The titles with a blue background are in the top ten of both platforms. To ensure maximum dissemination the monographs should be available on as many platforms as possible.

**Table 4.1: Top 10 list of the pilot books on OAPEN Library and Google Books in 2017**

Rank	OAPEN Library (avg. monthly downloads)	Google Books (avg. monthly book visits)
1	L'Oeuvre sans fin. Réception des romans de Monique Saint-Hélier par la critique française	Die Ordnung des Theaters. Eine Soziologie der Regie
2	Organiser et vendre. L'invention de la politique d'exposition en Suisse (1908-1939)	Die Prekarisierungsgesellschaft. Prekäre Proteste. Politik und Ökonomie im Zeichen der Prekarisierung
3	L'expérience de la différence religieuse dans l'Europe moderne (XVIe – XVIIIe siècles)	Musterwandel – Sortenwandel. Aktuelle Tendenzen der diachronen Text(sorten)linguistik
4	Die Ordnung des Theaters. Eine Soziologie der Regie	Réforme et contrôle des mœurs : la justice consistoriale dans le Pays de Neuchâtel (1547-1848)
5	Die Prekarisierungsgesellschaft. Prekäre Proteste. Politik und Ökonomie im Zeichen der Prekarisierung	Buchführung für die Ewigkeit

<sup>21</sup> <https://www.projectcounter.org/>

Rank	OAPEN Library (avg. monthly downloads)	Google Books (avg. monthly book visits)
6	Intimités amoureuses à l'ère du numérique. Le cas des relations nouées dans les mondes sociaux en ligne	Reinheit als Differenz. Identität und Alterität in Max Frischs frühem Erzählwerk
7	Tony Conrad – Video und darüber hinaus	Lichtduschen. Geschichte einer Gesundheitstechnik, 1890–1975
8	Endlose Kälte. Witterungsverlauf und Getreidepreise in den Burgundischen Niederlanden im 15. Jahrhundert	Mise en scène et valeur territoriales : tourisme et développement régional dans les Alpes suisses
9	Klossowski, l'incommunicable. Lectures complices de Gide, Bataille et Nietzsche	Endlose Kälte. Witterungsverlauf und Getreidepreise in den Burgundischen Niederlanden im 15. Jahrhundert
10	Japanizität aus dem Geist der europäischen Romantik Der interkulturelle Vermittler Mori Ogai und die Reorganisierung des japanischen ›Selbstbildes‹ in der Weltgesellschaft um 1900	Ein Staat kann nicht nur gute Bürger haben, er muss auch mit den schlechten fertig werden. Die politische Aberkennung des Bürgerrechts. Behördliche Diskurse, Praktiken und individuelle Erfahrungen in den 1940er Jahren

Table 4.2 lists the averages for the different actions (book visits, downloads, pages viewed) on Google Books.<sup>22</sup> The numbers differ considerably depending on the book; for instance, the books ranked 1 to 3 recorded 539, 257 and 204 average monthly visits, while some titles recorded fewer than 10 visits per month.

The relatively high number of actions shows that the visibility of the books on Google Books was very high. In both models, more actions were recorded for openly accessible monographs than for those that were not openly accessible.

**Table 4.2: Usage data of Google Books – 12-month period**

	Number of books	Total activities	Mean monthly activities per book
Experimental group		392,542	2,468.82
Model 1		250,572	2,386.40
Book visits	35	27,224	777.83
Downloads	35	589	16.83
Pages Viewed	35	222,759	6,364.54
Model 2		141,970	2,629.07
Book visits	18	21,747	1,208.17
Downloads	18	134	7.44
Pages Viewed	18	120,089	6,671.61
Control group		224,304	1,752.38
Model 1		152,801	1,736.38
Book visits	31	16,812	542.32
Downloads <sup>23</sup>	26	4	0.15

<sup>22</sup> As can be seen from the number of books, some data gaps exist. Some books from the control group had not been made available on Google Books, and the data gathering period differs from book to book. The books of the first submission round of the OAPEN-CH pilot had not been deposited by the date of publication (December 2015), because Google Books did not accept the registration of new publishers for a certain period. This problem has since been solved by working together with mbassador GmbH as a service provider; they have been depositing the pilot books on Google Books since June 2016.

<sup>23</sup> In the control group, only 20% of the content of the books have been made available on Google Books. For these books a "download" means the sale of the complete e-book.

	<b>Number of books</b>	<b>Total activities</b>	<b>Mean monthly activities per book</b>
Pages Viewed	31	135,985	4,386.61
Model 2		71,503	1,787.58
Book visits	14	8,577	612.64
Downloads	12	2	0.17
Pages Viewed	14	62,924	4,494.57
<b>Total</b>		<b>616,846</b>	<b>2,149.29</b>

Tables 4.3 to 4.6 list the usage data from all publishers' websites, the OAPEN Library, the institutional repositories and the Swiss National Library. Each can be seen as a different distribution channel, catering for different users. If usage is compared based on the mean monthly downloads, the differences between the OAPEN Library and the publishers' websites compared to the institutional repositories and the Swiss National Library are considerable. A possible explanation may be the level of search engine optimisation of the different websites. Data registration at aggregators such as OPEN-AIRE, BASE, etc., also affects the number of downloads. Furthermore, search engines do not list entries in library catalogues; monographs on institutional repositories as well as in the catalogue of the Swiss National Library are therefore less visible than monographs in the OAPEN Library and on Google Books.

The number of downloads on the publishers' websites does not differ significantly from the number of downloads from the OAPEN Library (see tables 3.3 and 3.4). Furthermore, the number of downloads in model 2 is higher on both platforms than in model 1. This pattern of usage is in line with the finding that monographs have long lifespans and that usage (and citations) build up over time. In the experimental group for model 1, a print and an open access edition of each monograph were published at the same time. In contrast, the books in the experimental group for model 2 had already been available in a printed edition at least 18 months prior to the open access version. The observation that the monographs in model 2 were used more often than those in model 1 also applies to institutional repositories.

**Table 4.3: Number of downloads from all publishers' websites**

	<b>Number of books</b>	<b>Total downloads</b>	<b>Mean number of months</b>	<b>Mean monthly downloads per book</b>
Experimental group				
Model 1	35	11,996	16.26	21.08
Model 2	18	8,909	19.00	26.05
<b>Total</b>	<b>53</b>	<b>20,905</b>	<b>17.19</b>	<b>22.95</b>

**Table 4.4: Number of downloads from the OAPEN Library**

	<b>Number of books</b>	<b>Total downloads</b>	<b>Mean number of months</b>	<b>Mean monthly downloads per book</b>
Experimental group				
Model 1	35	12,089	17.74	19.47
Model 2	18	11,981	18.38	36.21
<b>Total</b>	<b>53</b>	<b>24,070</b>	<b>17.99</b>	<b>25.24</b>

Compared to the publishers' websites and the OAPEN Library, the usage figures are significantly lower in the institutional repositories (see table 4.5). On the one hand, not all monographs of the control group were stored in institutional repositories. On the other hand, not all repositories could provide data on usage.

**Table 4.5: Usage data of the institutional repositories**

	Number of books	Hits	Downloads	Mean number of months	Mean monthly downloads per book
Experimental group	48	4,156	4,219	16.25	6.03
Model 1	30	2,358	1,359	13.53	4.85
Model 2	18	1,798	2,860	21.39	7.43
Control group	19	1,778	-	-	-
Model 1	11	559	-	-	-
Model 2	8	1,219	-	-	-
<b>Total</b>	<b>67</b>	<b>5,934</b>	<b>4,219</b>	-	-

The low usage data of the pilot books in the catalogue of the Swiss National Library (see table 4.6) is explained by the fact that the importance of the Swiss National Library does not lie primarily in providing a separate channel to make the books available to the public, but mainly in archiving monographs for the long term (both printed and digital editions). Furthermore, researchers do not yet use the digital collection of the Swiss National Library (e-Helvetica Deposit) as a repository. The low numbers may also be explained partly by the restricted access to some open access monographs due to technical settings at the beginning of the pilot project.

**Table 4.6: Usage data of the Swiss National Library**

	Number of books	Borrows	Mean borrows	Downloads	Mean downloads
Experimental group	53	23	0.44	155	2.92
Model 1	35	4	0.12	115	3.29
Model 2	18	19	1.06	40	2.22
Control group	50	24	0.48	-	-
Model 1	33	11	0.33	-	-
Model 2	17	13	0.76	-	-
<b>Total</b>	<b>103</b>	<b>47</b>	<b>0.46</b>	<b>155</b>	-

#### 4.2.2 The influence of open access on visibility

Do open access publications have a positive impact on the visibility of monographs? This question is answered based on data from the Google Books platform. The platform enables publishers to decide – for each book individually – how much of the book is to be made available online. As both the open access books and the books from the control group are placed on the same platform, the circumstances are the same for both sets of books, except for the amount of text that is available. While 100% of the content of the monographs in the experimental group was accessible, only 20% of the content of the books in the control group could be browsed.

Book visits are an approximate indicator of book discovery rates. As it is not possible to tell if a book was accessed by a ‘new’ or a ‘returning’ reader, we cannot conclude that 78 book visits are equal to 78 new readers of that title. Assuming that a percentage of those book visits are made by returning readers, the differences in book visits between the groups still convey relevant information on the discovery rate. Usage was measured as the number of monthly page views a title received, and the number of times a book was downloaded from Google Books during the pilot period.

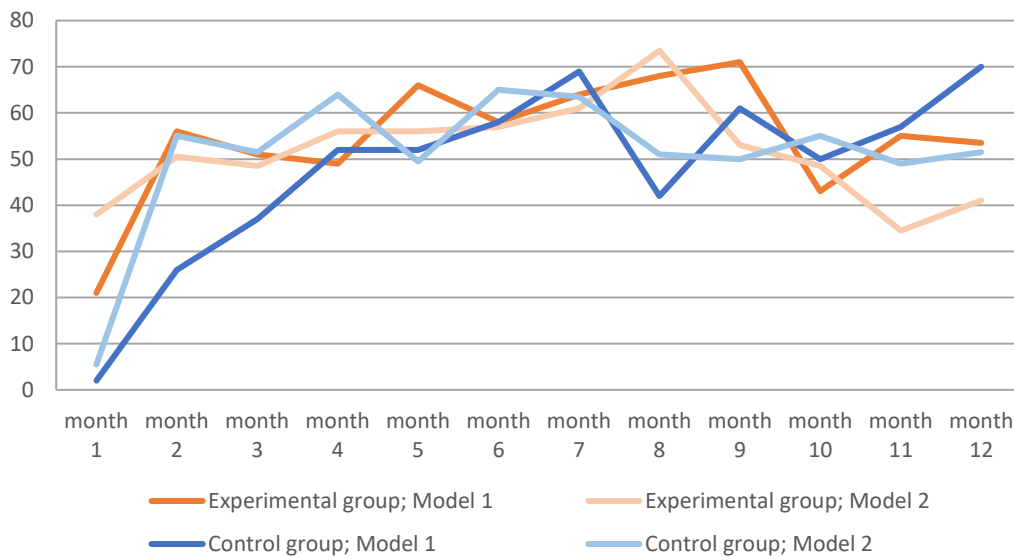
The data was analysed using ANOVA (analysis of variance). Open access had a significant effect on book visits (table 4.7). The mean number of monthly book visits for the books in the experimental group is almost 52% higher compared to the control group; here open access had a positive effect.

**Table 4.7: Data set for the analysis on book visits**

	Number of books	Number of data points	Mean number of monthly book visits	Standard deviation
Experimental group	53	602	81.35	95.06
Control group	45	487	52.13	42.89
<b>Total</b>	<b>98</b>	<b>1,089</b>	<b>68.28</b>	<b>77.62</b>

Figure 4.1 shows the median number of book visits during the first twelve months. Compared to the mean, the median shows less difference between the groups. In view of the relatively small sample, this indicates a large variance in “book visits”: monographs that are viewed many times push the mean up.

**Figure 4.1: Median of book visits in the first year after publication on Google Books**



The results of the ANOVA procedure on page views is consistent with book visits: there was a significant effect of open access on page views (table 4.8).<sup>24</sup> The mean number of monthly page views in the experimental group is 37% higher compared to the control group. Again, open access has a positive effect.

**Table 4.8: Data set for the analysis of page views**

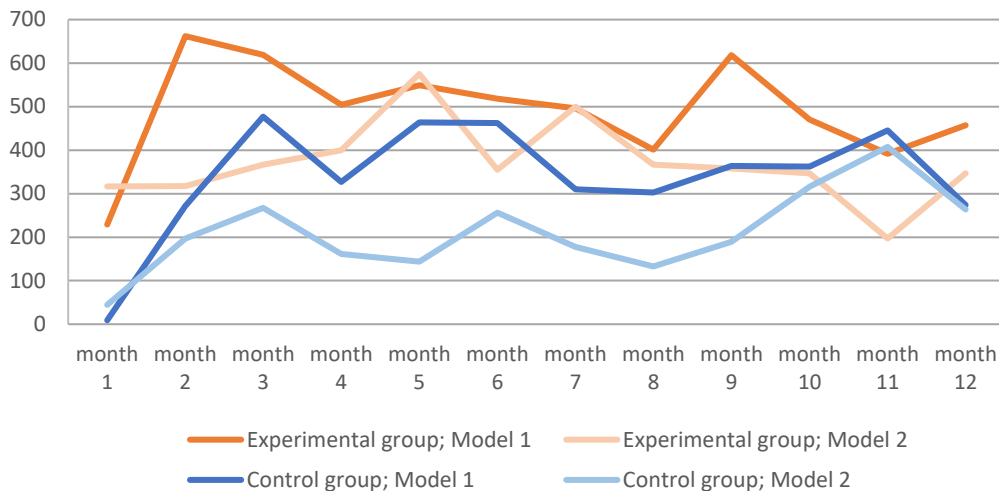
	Number of books	Number of data points	Mean number of monthly page views	Standard deviation
Experimental group	53	602	570	548.66
Control group	45	487	408	467.79
<b>Total</b>	<b>98</b>	<b>1,089</b>	<b>497</b>	<b>520.05</b>

Figure 4.2 shows the median number of page views during the first 12 months after publication on Google Books. Although the graphs of the experimental group show

<sup>24</sup>  $F(1, 1083.991) = 27.330, p < 0.01, \omega^2 = 0.02$

higher numbers of page views than the control group, the difference varies considerably depending on the month.

**Figure 4.2: Median of page views in the first year after publication on Google Books**



The analysis of the number of downloads reveals that open access has a positive impact on downloads (table 4.9).<sup>25</sup> While the results are statistically significant, they should be interpreted with some caution. The monthly number of downloads for the books in both the experimental group and the control group is very low: 1.20 and 0.1 respectively.

**Table 4.9: Data set for the analysis on downloads**

	Number of books	Number of data points	Mean number of downloads	Standard deviation
Experimental group	53	602	1.20	4.62
Control group	38	424	0.10	0.12
<b>Total</b>	<b>91</b>	<b>1,026</b>	<b>0.71</b>	<b>3.58</b>

#### 4.2.3 Reach of open access monographs

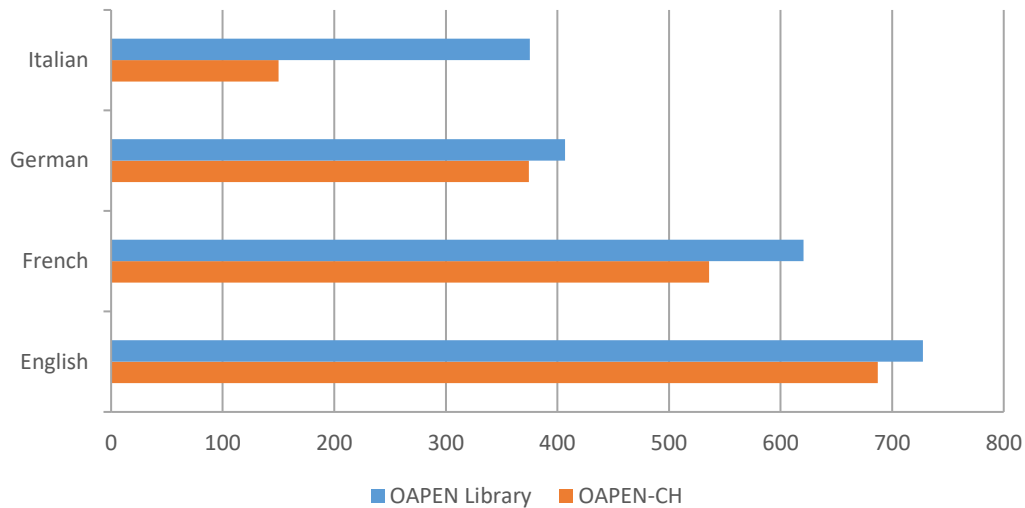
The OAPEN-CH books that were made available in the OAPEN Library are written in German, French, Italian or English. Table 4.10 gives an indication of the usage of the pilot books compared to all titles in the OAPEN Library written in the same language, based on a 12-month period (November 2016 – October 2017). There are differences in usage, which – given the small number of titles – are not very significant (see figure 4.3).

**Table 4.10: Usage of the books of OAPEN-CH compared to the whole OAPEN Library (November 2016–October 2017)**

Language	OAPEN-CH		OAPEN Library	
	Mean number of downloads	Number of titles	Mean number of downloads	Number of titles
English	687.00	1	727.47	2,420
French	536.04	27	620.53	68
German	374.35	23	406.79	691
Italian	150.00	2	375.18	137

<sup>25</sup>  $F(1, 602.120) = 39.776, p < 0.01, \omega^2 = 0.03$

**Figure 4.3: Mean number of downloads by language (November 2016–October 2017)**



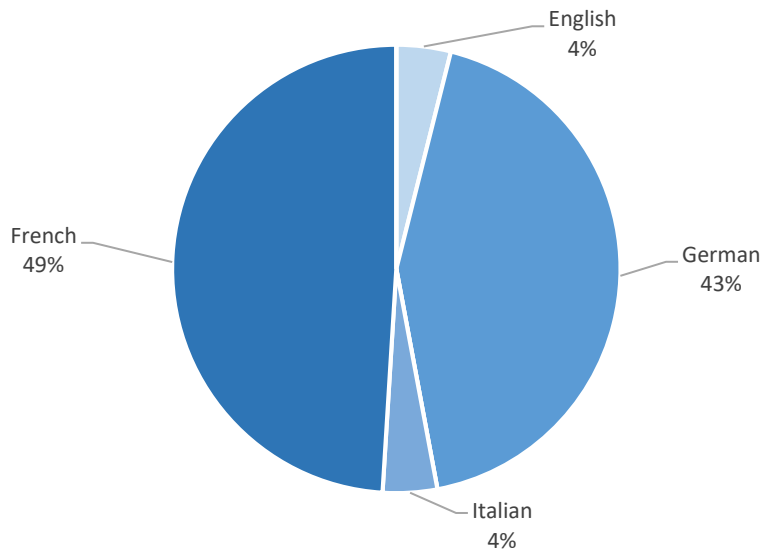
The international impact of the pilot books in the OAPEN Library is closely tied to their language. As the majority of books in the OAPEN-CH pilot were published in French and German (see figure 4.4), the majority of downloads occurred from France and Germany (see figure 4.5). In Italy the OAPEN-CH monographs were used more frequently than in Switzerland itself or in other French and German speaking countries (e.g. Belgium and Austria).

Almost 60% of monographs listed in the OAPEN Library are written in English. In addition, there is a large range of other languages (see figure 4.4). This is reflected in the wider usage of the books. The role of the USA, the UK and the Netherlands is clearly visible for the monographs listed in the OAPEN library (see figure 4.6). To highlight the reach of open access monographs, the absolute download figures are shown separately (see figure 4.6 and 4.8). The OAPEN Library data is based on a 12-month period in 2016-2017; the OAPEN-CH data is based on the complete pilot period.

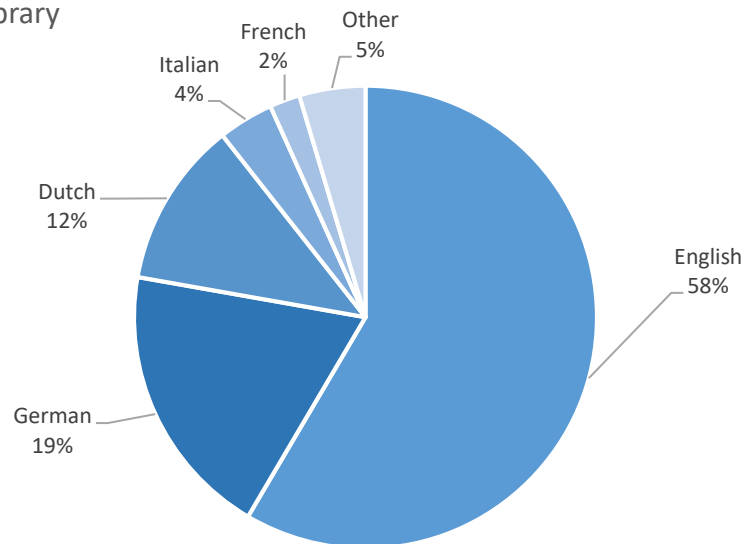


**Figure 4.4: Distribution of the books from OAPEN-CH and the OAPEN Library by language**

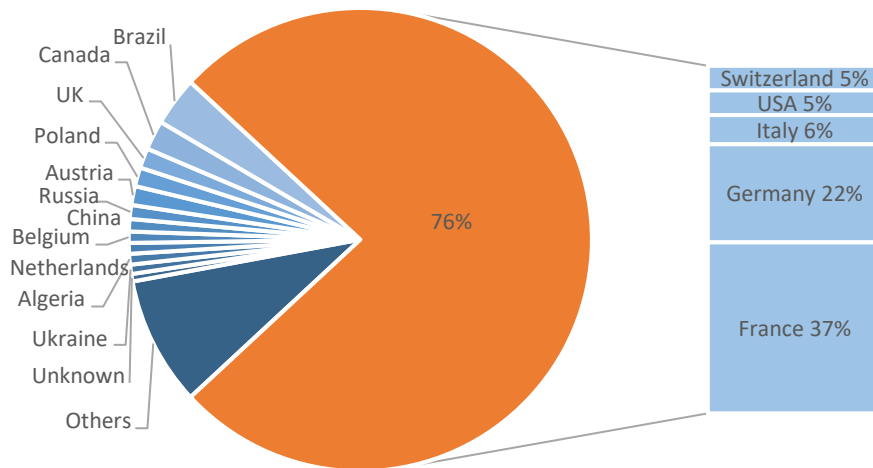
OAPEN-CH



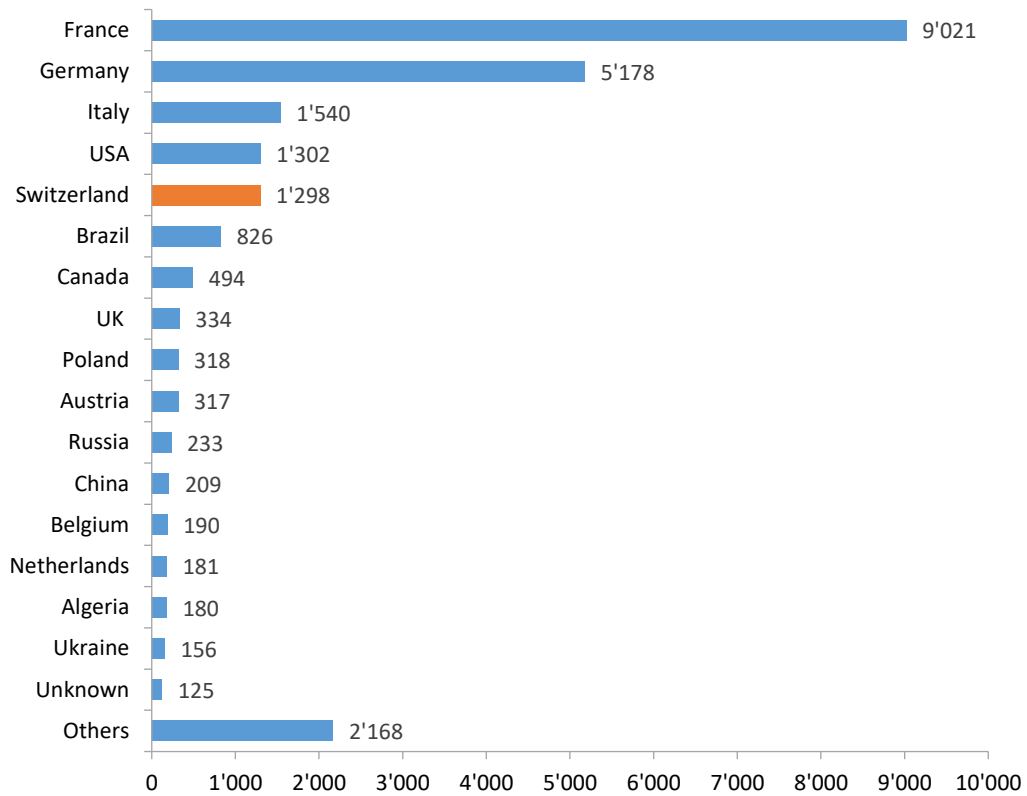
OAPEN Library



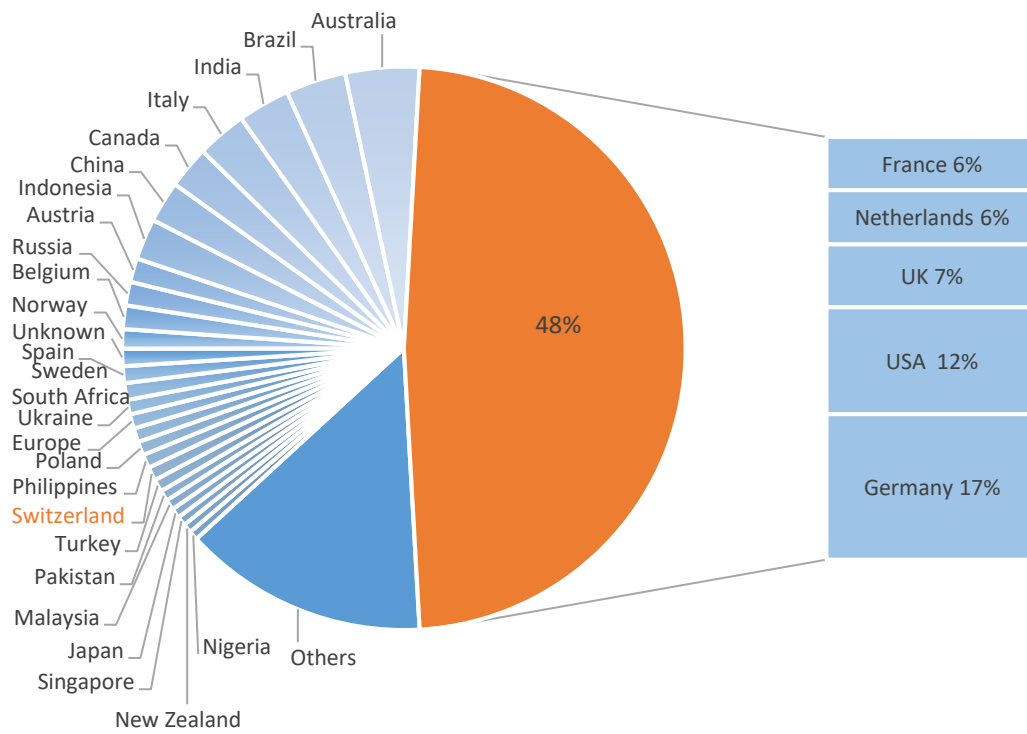
**Figure 4.5: Usage of the books from OAPEN-CH by country (in percentages)**



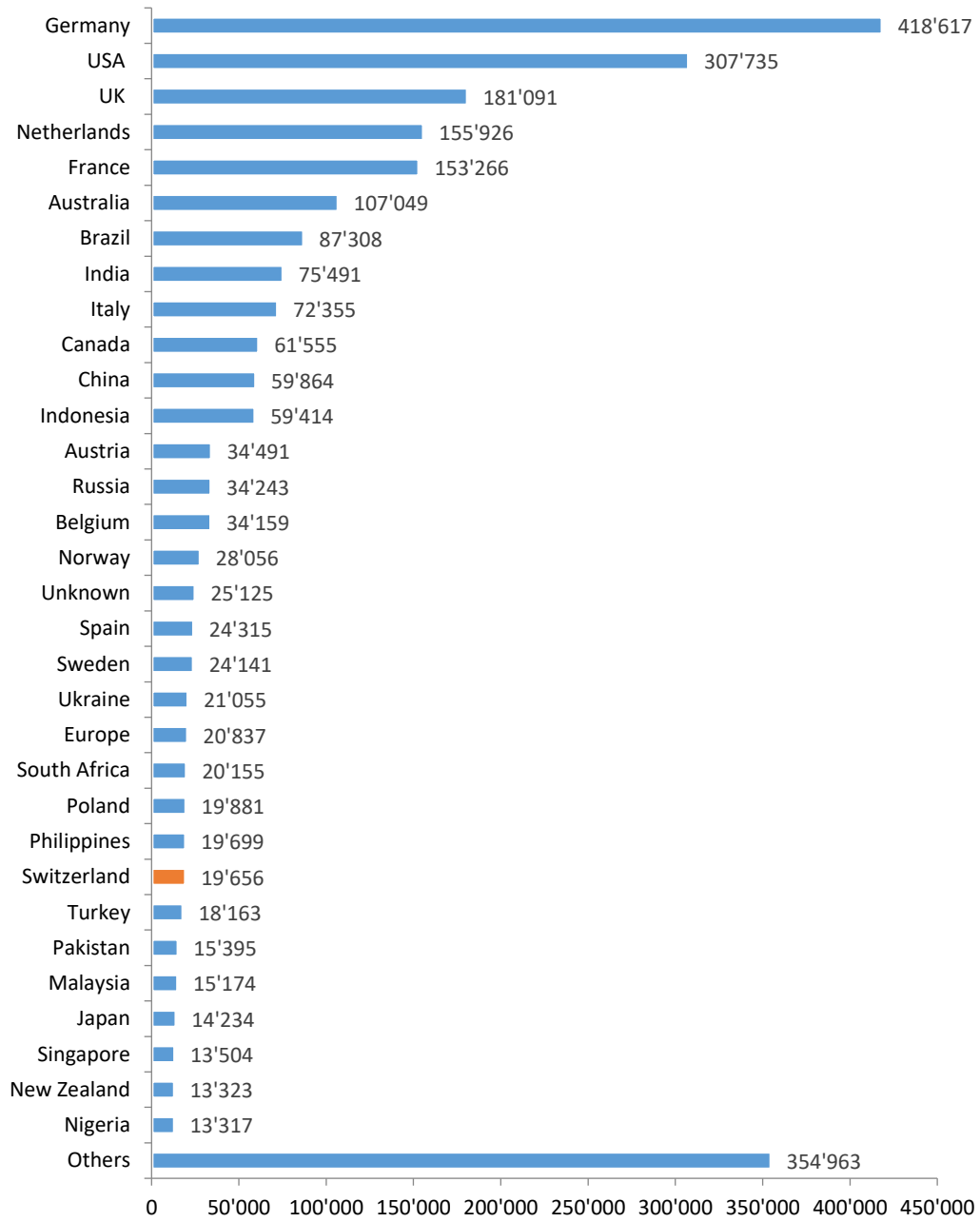
**Figure 4.6: Usage of the books form OAPEN-CH by country (in number of downloads)**



**Figure 4.7: Usage of the books form the OAPEN Library by country (in percentages)**



**Figure 4.8: Usage of the books form the OAPEN Library by country (in number of downloads)**



### 4.3 Impact on Sales

In the OAPEN-CH pilot, the effect of open access on sales is examined by comparing the number of copies sold of the books in the experimental group and the control group. The question is whether open access has a positive or a negative impact on sales.

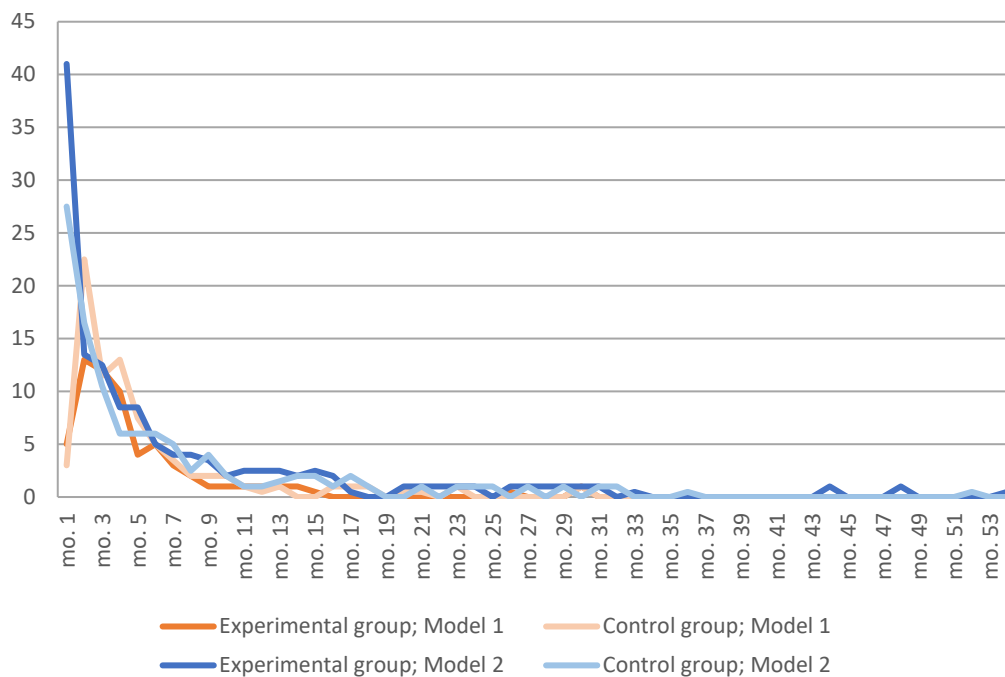
Table 4.11 lists the total number as well as the average number of paper copies sold per group. Due to the extremely low number of e-books sold, sales data for e-books were omitted from the table (nevertheless, they were included in the number of sales for the statistical analysis). There is not much of a difference in the number of copies sold between the experimental group and the control group, though the monographs in the control group performed a little bit better (on average, one additional book was sold per month), if the sale of e-books is not considered. When e-book sales were considered, the publishers sold more copies of monographs that were published immediately in an open access edition (see table 4.12).

**Table 4.11: Copies sold per group, model and call**

	Number of books	Total books sold	Mean number of months	Mean monthly sales per book
<b>Experimental group</b>	<b>53</b>	<b>7,789</b>	<b>27.13</b>	<b>5.42</b>
Model 1	35	4,171	17.77	6.71
2015	16	1,792	24.88	4.50
2016	19	2,379	11.79	10.62
Model 2	18	3,618	45.33	4.43
2015	11	2,772	49.18	5.12
2016	7	846	39.29	3.08
<b>Control group</b>	<b>52</b>	<b>8,770</b>	<b>26.81</b>	<b>6.29</b>
Model 1	34	5,158	18.15	8.36
2015	16	1,968	25.25	4.87
2016	18	3,190	11.83	14.98
Model 2	18	3,612	43.17	4.65
2015	11	2,833	47.18	5.46
2016	7	779	36.86	3.02
<b>Total</b>	<b>105</b>	<b>16,559</b>	<b>26.97</b>	<b>5.85</b>

The median of the median monthly sales in figure 4.9 shows clearly that the books of the experimental or the control group follow the same pattern: most sales happen within the first year of publication. This is another indication that making books available in open access mode does not affect sales significantly. The results are in line with the OAPEN-NL report.

**Figure 4.9: Median monthly sales for printed books**



Finally, when the sales data of books and e-books are analysed statistically using the ANOVA procedure, the small differences between the experimental and the control group are confirmed: no significant effect of open access was measured on the number of copies sold (table 4.12).<sup>26</sup>

**Table 4.12: Data set for the analysis of sale**

	Number of data points	Mean number of copies sold per month	Standard Deviation
Experimental group	1,905	4.15	13.29
Control group	2,328	3.84	16.59
<b>Total</b>	<b>4,233</b>	<b>3.98</b>	<b>15.19</b>

#### 4.4 Production costs

The production costs of the monographs in the experimental and the control group were indicated according to predefined categories. These data allow for the analysis of the different cost categories and the calculation of average costs for an open access monograph.

The costs were divided into two main groups:

- costs linked to producing open access publications, and
- costs linked to printed monographs.

The open access costs entail the production costs of the digital copy as well as the costs for distributing the title via an online platform (see table 4.17).

<sup>26</sup>  $F(1, 4232) = 0.439$  und  $p > 0.5$

Table 4.13 lists the average costs for the separate models. To correct possible differences based on the length of the individual books, the average costs per page (of the digital edition) are also listed.

The costs of model 1 and model 2 differ significantly (see also figure 4.10). The average costs per page in model 1 are around 60% higher than in model 2. The reasons for this large difference are explained in the analysis of the different cost categories (table 4.14).

**Table 4.13: Mean costs per model and group (in Swiss Francs)**

	<b>Number of titles</b>	<b>Total</b>	<b>First copy costs</b>	<b>Total per page</b>	<b>First copy costs per page</b>
<b>Model 1</b>					
Experimental group	35	22,525.-	13,700.-	59.-	37.-
Control group	34	21,465.-	13,051.-	68.-	40.-
<b>Model 2</b>					
Experimental group	18	16,048.-	7,954.-	41.-	23.-
Control group	18	16,048.-	7,905.-	46.-	27.-
<b>Total</b>	<b>105</b>	<b>19,961.-</b>	<b>11,887.-</b>	<b>58.-</b>	<b>35.-</b>

In the following analysis of costs we should bear in mind that publishers do not allocate costs to the categories in the same way, reflecting differences in work processes, business models and budgeting processes. This is one of the reasons why the costs for open access monographs vary so greatly. These results are in line with results from various international studies.<sup>27</sup>

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<sup>27</sup> See chapter 10 in: Ferwerda, Pinter und Stern, A Landscape study on open access and monographs, 2017.

**Figure 4.10: Mean costs per model, group and cost category (in Swiss Francs)**

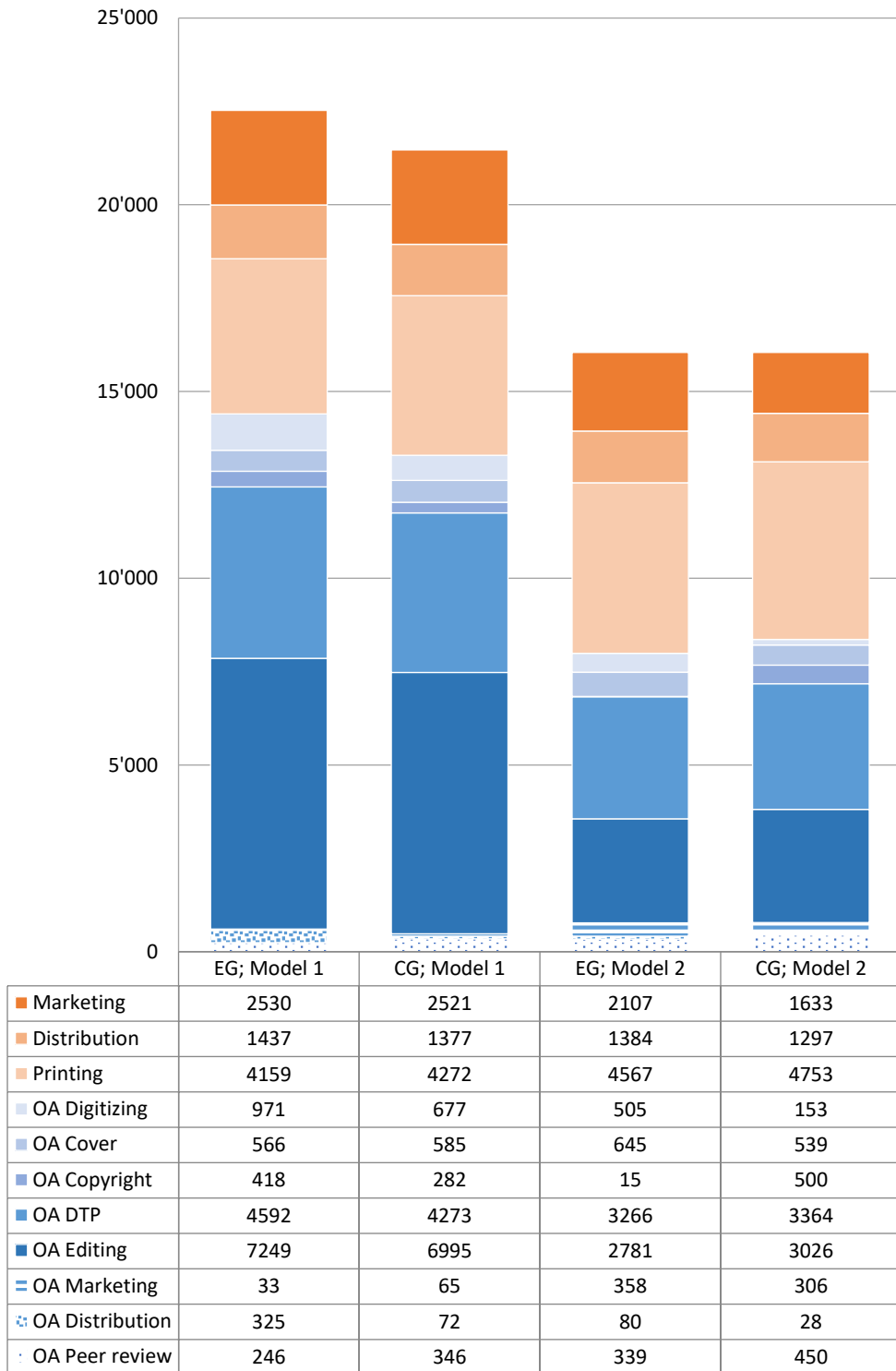




Table 4.14 lists the costs per category in more detail. Values with a grey background are considerably higher compared to the other values in this category or they highlight striking differences between the models.

**Table 4.14: Mean costs per model, group and cost category (in Swiss Francs)**

	OA Peer review	OA Dis-tribution	OA Mar-keting	OA Edit-ing	OA DTP	OA Cop-yrigh-t	OA Cover	OA Digi-talizing
<b>Model 1</b>								
Experimental group	246.-	325.-	33.-	7,249.-	4,592.-	418.-	566.-	971.-
Control group	346.-	72.-	65.-	6,995.-	4,273.-	282.-	585.-	677.-
<b>Model 2</b>								
Experimental group	339.-	80.-	358.-	2,781.-	3,266.-	15.-	645.-	505.-
Control group	450.-	28.-	306.-	3,026.-	3,364.-	500.-	539.-	153.-
<b>Total costs</b>	<b>330.-</b>	<b>150.-</b>	<b>146.-</b>	<b>5,677.-</b>	<b>4,051.-</b>	<b>319.-</b>	<b>581.-</b>	<b>656.-</b>

	Printing	Distribu-tion	Market-ing
<b>Model 1</b>			
Experimental group	4,159.-	1,437.-	2,530.-
Control group	4,272.-	1,377.-	2,521.-
<b>Model 2</b>			
Experimental group	4,567.-	1,384.-	2,107.-
Control group	4,753.-	1,297.-	1,633.-
<b>Total costs</b>	<b>4,368.-</b>	<b>1,384.-</b>	<b>2,301.-</b>

Examining the mean costs per category reveals some interesting differences, as the following lists show.

Production costs for digital version:

- OA distribution: The mean costs of online distribution in the experimental groups of model 1 and model 2 differ significantly. Here the costs per publisher differ significantly, ranging from CHF 0.00 to CHF 5,460.00. However, it is difficult to draw any conclusions from the underlying figures. Firstly, only one publisher systematically allocated costs to the respective category. Secondly, the values given by this publisher are higher in the first call compared to the second call. Costs appear to have fallen after distribution channels were established.
- OA editing and proofreading: Here we see a significant difference between model 1 and model 2. It is possible that the costs of the older titles in model 2 were not completely accounted for. Model 2 contains several books where no costs for text editing were given. The SNSF did not pay for text editing until the summer of 2014.
- OA copyright: The varying number of illustrations per book can explain the difference here.
- OA digitising: The composition of this category is not entirely clear. The typesetting of a book normally results in a PDF file, which can be published online without much additional work. The electronic versions of the published books were not given any additional features, for instance active links in the text or a table of contents with hyperlinks. The low costs in the

control group of model 2 might be explained by the fact that those books were published two years earlier and that there was no e-book in this first edition. Other costs:

- **Marketing:** The high costs for marketing are striking compared to OA marketing. The publishers may still have had the printed books in mind when they planned the marketing activities, or they simply did not distinguish between costs for the OA version and the printed version; only two publishers systematically differentiated between marketing costs for the OA edition and the printed edition.

When the average costs per call are examined, the significant differences in the average costs for the books in model 1 and model 2 are clearly visible. Costs were lower in the second call, which might be explained by the composition of the samples (e.g. participating publishers and number of monographs per publisher in the call).

**Table 4.15: Mean costs per model, group and call (in Swiss Francs)**

	Number of titles	Mean costs	Mean costs per page
<b>Model 1 / Experimental group</b>			
2015	16	24,289.-	69.-
2016	19	21,040.-	59.-
<b>Model 1 / Control group</b>			
2015	16	22,155.-	65.-
2016	18	20,851.-	70.-
<b>Model 2 / Experimental group</b>			
2015	11	17,183.-	52.-
2016	7	14,264.-	41.-
<b>Model 2 / Control group</b>			
2015	11	17,577.-	54.-
2016	7	13,645.-	46.-

The overall costs vary depending on the publisher. The costs cover a range from 7,251 Swiss francs to 38,168 Swiss francs. There are four outliers with costs above or below average. To respect their anonymity, the individual publishers will not be named.

Some of the differences can be attributed to the varying labour costs between Switzerland and Germany; the remainder is most likely caused by different workflows and overheads. A wide range of costs was also noted in other studies. The main reasons are in line with the explanations given above.<sup>28</sup>

In table 4.16 the average overall costs (without outliers) are split into the costs of the digital edition (open access costs) and the costs for printing and distribution, to gain insights into the production costs of an open access monograph in Switzerland. As mentioned above, publishers did not allocate costs to the categories in the same way (e.g. distribution and marketing). Therefore, the indicated costs for the first copy in table 3.16 are only approximate values.

<sup>28</sup> Compare with final reports of OAPEN-NL and OAPEN-UK, Ferwerda, Pinter und Stern, A Landscape study on open access and monographs, 2017 as well as Nancy L. Maron, Christine Mulhern, Daniel Rossmann and Kimberley Schmelzinger, [The Costs of Publishing Monographs. Toward a Transparent Methodology](#), February 2016, doi:10.18665/sr.276785.

**Table 4.16: First copy and printing costs in the pilot project OAPEN-CH (without statistical outliers)**

First copy costs	
OA Peer review	508.-
OA Distribution	251.-
OA Marketing	138.-
OA Editing	5,167.-
OA DTP	4,244.-
OA Copyright	324.-
OA Cover	616.-
OA Digitizing	434.-
<b>Total</b>	<b>11,682.-</b>
Printing and distribution	
Printing, binding	5,038.-
Distribution	1,425.-
Marketing	2,186.-
<b>Total</b>	<b>8,649.-</b>

We conclude by comparing the production costs with those in the Netherlands. Within the two main cost groups (open access costs and printing costs), the costs are subdivided into sub-sections. For the sake of clarity, and to allow for a comparison between the Swiss OAPEN-CH and the Dutch OAPEN-NL pilot, some sections have been combined (see table 4.17).

**Table 4.17: Cost categories in the pilot projects OAPEN-NL and OAPEN-CH**

OAPEN-NL	OAPEN-CH	Titles used in this report
Open access first copy costs		
OA – Peer review	OA Peer review + Peer review	OA Peer review
OA – Platform	OA Distribution	OA Distribution
OA – Marketing	OA Marketing	OA Marketing
OA – Editing/direct personnel costs	OA Editing + OA Proofreading + Proofreading + Text editing	OA Editing
OA – Desktop Publishing (DTP)	OA Desktop Publishing (DTP) + OA Layout + OA Image Editing + Image editing + DTP + Layout	OA DTP
OA – Overhead/indirect personnel costs	[no equivalent]	OA Overhead
OA – Other/direct costs	OA Copyrights + Copyrights	OA Copyright
OA – Cover	OA Cover + Cover	OA Cover
OA – Digitizing	Digitizing	OA Digitizing
Printing costs		
Printing, binding	Binding + Paper + Print	Printing
Distribution	Distribution	Distribution
Overhead/indirect personnel costs	[no equivalent]	Overhead
Other/direct costs	[no equivalent]	Direct costs
Marketing	Marketing	Marketing
Royalties	[no equivalent]	Royalties

Table 4.18 shows the mean costs of OAPEN-NL and OAPEN-CH for each category. All pilot titles of OAPEN-CH were also included in the calculation. The costs of the OAPEN-NL project date back to 2013. In order to make a comparison, the costs have been updated based on a yearly inflation of 3%. At a first glance, mean costs are significantly higher in Switzerland than in the Netherlands, namely by 63%. However, if we consider

cost of labour as well, the overall costs are comparable, as labour costs per hour were 57% higher in Switzerland than in the Netherlands in 2012.<sup>29</sup> In addition to labour costs, the large differences between various categories, e.g. in OA editing and proof-reading as well as OA desktop publishing, might be the result of different work processes, business models and budget processes. Finally, OAPEN-NL also included two university publishers (Amsterdam University Press and Leiden University Press) whose cost structures are different from those of the small- and medium-sized commercial publishers in Switzerland. In view of all these differences it is hardly surprising that the costs vary considerably between publishers in Switzerland, Germany and the Netherlands.

**Table 4.18: Mean costs of the OAPEN-NL and OAPEN-CH per category (in Swiss Francs)**

	OAPEN-NL	OAPEN-CH
OA Peer review	210.-	330.-
OA Distribution	106.-	150.-
OA Marketing	263.-	146.-
OA Editing	1,920.-	5,677.-
OA DTP	1,787.-	4,051.-
OA Overhead	1,270.-	-
OA Copyright	136.-	319.-
OA Royalties	24.-	-
OA Cover	294.-	581.-
OA Digitizing	-	656.-
Printing	2,871.-	4,368.-
Distribution	1,557.-	1,384.-
Overhead	624.-	-
Direct costs	359.-	-
Marketing	433.-	2,301.-
Royalties	390.-	-
<b>Total</b>	<b>12,244.-</b>	<b>19,963.-</b>

#### 4.5 Overview of results

- **Open access improves the discoverability and visibility of monographs. Open access improves usage of monographs, particularly if they are available on different platforms:** The number of book visits and page visits for open access titles on Google Books is significantly higher. The mean number of monthly book visits is 52% higher and the number of page visits is 37% higher for open access monographs than for publications in the control group. The platforms address different user groups and are visited with varying frequency. It is advisable to archive publications in an institutional repository as well as on other platforms.
- **Open access improves the international reach of monographs:** There is only a small difference in usage between the OAPEN-CH monographs and the OAPEN Library monographs. Internationally, the reach of monographs is closely associated with the language in which they are written. In view of the composition of the OAPEN-CH sample – all monographs save one were written in French, German and Italian – it is not surprising that 70% of downloads were recorded in France,

<sup>29</sup> <https://www.bfs.admin.ch/bfs/en/home/statistics/work-income/wages-income-employment-labour-costs/labour-costs.html>. Hourly labour costs were €51.25 in Switzerland, compared to €32.47 in the Netherlands.

Germany, Italy and Switzerland. All the same, the monographs of OAPEN-CH generated interest worldwide.

- **Impact of open access on sales is neither negative nor positive:** In statistical terms, open access did not affect the number of monograph sales. The difference in the number of copies sold between the experimental group and the control group is rather small. If all sold copies are considered (printed and digital editions), publishers sold even more copies of monographs that were published immediately in an open access version. Regardless of the publication mode, sales figures dropped significantly after twelve months.
- **Production costs for open access monographs vary substantially depending on the publisher, but also depending on the country:** While differences can in part be attributed to the differing labour costs, the remaining differences reflect the diversity of workflows, business models and budgeting processes.

All findings of OAPEN-CH are in line with the results of both OAPEN-NL and OAPEN-UK. There are no other studies whose findings contradict the findings of this pilot project.

## 5. Survey of participating authors

How do authors of scientific works feel about open access? What are their expectations and needs with regard to open access publishing, and what reservations do they have? To what extent do they accept the requirements that need to be met for an open access monograph? The authors are the key actors in the publication process and play an important role in the transition to open access. For funders, knowing the opinions, expectations and needs of the researchers in an open access world is immensely relevant.

OAPEN-CH also provided the authors of pilot books with an opportunity to gain experience in open access publishing. During the project, the authors collaborated directly with the publishers. Researchers who publish books select a publisher with great care and have high expectations as regards the distribution of their works. At the same time, it is important for publishers to be aware of researchers' concerns in this new environment. It was the willingness of the authors to make their monographs available that made OAPEN-CH possible in the first place. Their views have since been recorded in writing through a survey. And, based on the qualitative survey results, their perspective has been added in the final report.

### 5.1 Method, content, participants

All authors who participated in the OAPEN-CH project by entering a book publication were invited to participate in the survey. Participation was entirely on a voluntary basis. The survey was conducted anonymously online between mid-June and mid-September 2017 using the survey software SurveyGizmo. The content and methods of the survey were based on the surveys of authors conducted for OAPEN-NL and OAPEN-UK. These studies also provide a frame of reference for the evaluation. OAPEN-NL and OAPEN-UK conducted their surveys in 2011 and 2012 respectively.

The responses were evaluated in qualitative terms. The survey questions and charts illustrating the survey results can be found in Annex 6.

The survey focused on perceptions, attitudes and expectations with regard to open access publishing. The aim was to find out how much the authors knew about open access, what knowledge they had gained by taking part in the pilot study, how the collaboration with the publishers had been organised, and to what extent they accepted the requirements to be met for open access monographs.

The authors were asked to answer questions on the following aspects:

**Digital reading and publishing:** reading habits, number and share of own digital and open access publications;

**Expectations and perceptions:** publication goals, importance of reputation, accessibility, dissemination, trust and quality, influence of open access on these values, expectations regarding sales figures, citations and online consultations of open access monographs;

**OAPEN-CH pilot study:** motive for taking part, knowledge level and attitude before and after the study, acceptance of requirements for open access monographs, collaboration with the publishers, initial experience of how an open access monograph is received.

82 authors took part in the survey (39% women, 61% men). This corresponds to around two thirds of all authors who submitted a publication and took part in OAPEN-CH (65%).

The largest age group were the 31 to 40-year-olds (46%). Half of those who took part are young or early-career researchers (doctoral students/postdocs), approx. a quarter were professors, and one fifth were members of the non-professorial research/teaching staff at higher education institutions. 48 French speakers and 32 German speakers responded to the survey, a ratio that roughly corresponds to the language representation in the pilot study (French 55%, German 45%). The majority of participants are researchers from the humanities, with historians being the most well-represented group (25%). One third of the participants are social scientists.<sup>30</sup> The researchers were distributed almost equally across the two groups, the experimental group and the control group (49% and 51% respectively). All works of participants from the experimental group were published as open access publications. 73% of those surveyed were also involved in Model 1, i.e. their publication was set to open access immediately without any embargo period (see project design, Chapter 3).

Comparisons with OAPEN-NL and OAPEN-UK reveal primarily that a higher number of early-career scientists – and therefore also more young scientists – took part in the Swiss study. There was also a slightly larger share of female authors.

**Table 5.1. Comparison of OAPEN-CH, OAPEN-NL and OAPEN-UK**

	<b>OAPEN-CH</b>	<b>OAPEN-NL</b>	<b>OAPEN-UK</b>
Number of persons surveyed	82	32	690
Age	40 or younger 46%	40 or younger 7%	41 or younger 23%
Share of female authors	39%	28%	-
Share of early-career scientists	50%	28%	37%
Share of humanities researchers	65%	61%	60%
Discipline with largest representation	History 25%	History 19%	-

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<sup>30</sup>See Figs. 5.10, 5.11, 5.12, 5.13, 5.14 and 5.15 in Annex 6 regarding the profile of the participants

## 5.2 Results

### 5.2.1 Digital reading and publishing

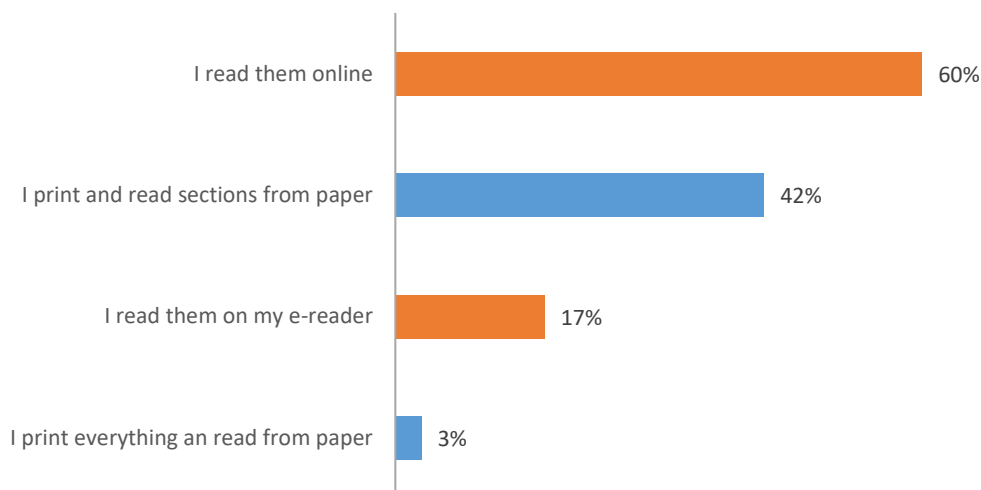
Ongoing digitisation is changing reading habits and publishing practices. This poses new challenges for print-oriented authors and readers. The survey aimed to establish to what extent the authors were already part of a digital reading and publishing culture.

Most of the respondents (65%) read scientific e-books (Fig. 5.16, Annex 6), which they access on different platforms (Fig. 5.17, Annex 6). University libraries and Google Books are very important, each being used for e-books by half of the respondents. However, the Swiss National Library is not widely used for digital books, in contrast to the OAPEN library where the pilot books were also deposited.

Those who consulted e-books were asked how they read them, and if they also referred to print editions (Fig. 5.1). 60% read the e-books online. 42% print out individual chapters so that they can read them on paper. Only 3% print out the entire book. The respondents more often read online on their computers than on an e-reader. The findings of the three OAPEN projects are identical in this respect.

#### **Figure 5.1: Reading behaviour for e-books (N = 51)**

*If yes, how do you read e-books? (multiple answers possible)*

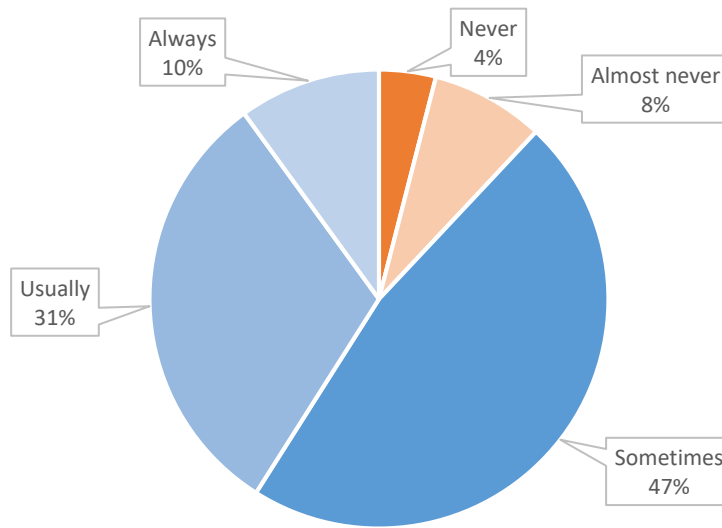


The fact that print versions will continue to play an important role in a world of open access publications is clear from the authors' answers to the question of whether they would buy a printed copy of a book that is relevant to their research, or ask their specialist library to acquire the book even though an open access version is available. Only around 4% answered "Never" and 8% "Almost never". Every third author would "Usually" like to have a printed copy and 47% "Sometimes" (Fig. 5.2). In the Netherlands too, most authors would acquire the book for themselves or for the library, in spite of it being available in digital form. This is a key question when it comes to business models for open access and the sales potential of books that are freely available on the internet. The available data seem to suggest that there will continue to be a market for the sale of printed books in an open access environment.



**Figure 5.2: Purchase of printed copies (N = 51)**

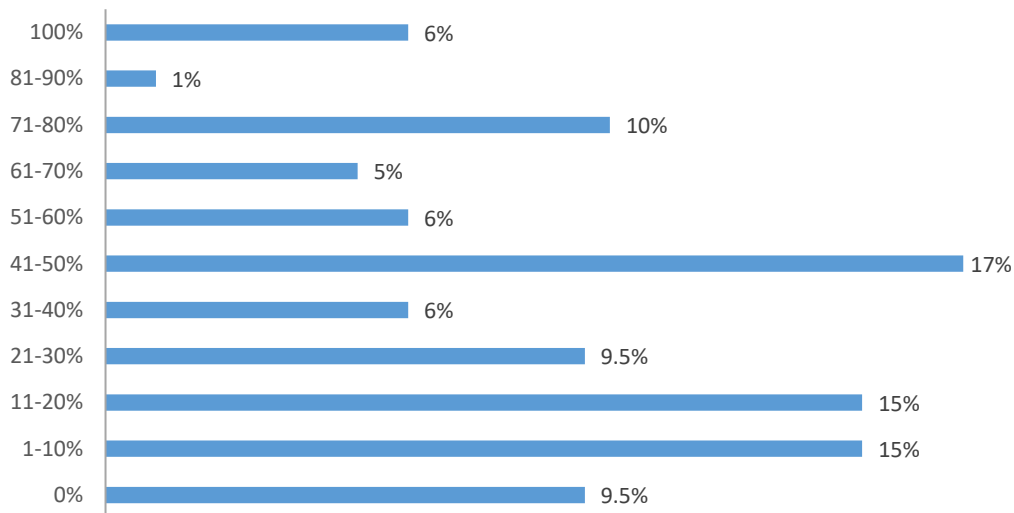
*If a book is relevant to your research, do you purchase a printed copy yourself or do you ask your library to purchase the book, even if an open access version of the book is available?*



As in the Netherlands and in the United Kingdom, only a small portion (9.5%) of those surveyed had never published a text electronically (either for or without a fee). As expected, more articles are available digitally than books (Fig. 5.18, Annex 6). However, the percentage share of the digitally available texts of the participants varies (Fig. 5.3). A surprisingly large share (50%) make 50% or more of their publications available in digital form (Fig. 5.19, Annex 6). In the Netherlands, less than 20% have such a large share of electronic texts.

### Figure 5.3: Share of publications available electronically (N = 82)

Can you indicate how many of your publications are available electronically (in percent)?

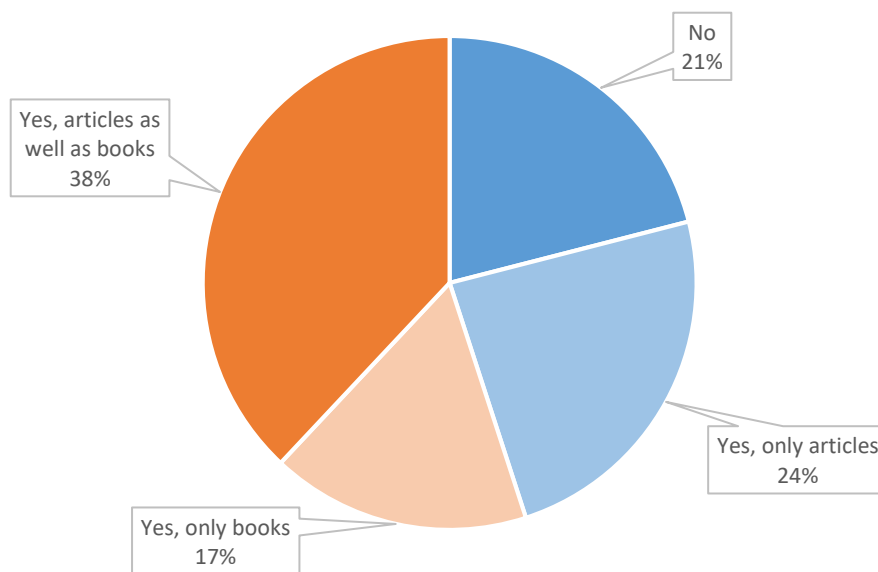


But how do things look in terms of the open access availability of these publications? Here too, a large portion (79%) of those surveyed have open access publications to their credit (Fig. 5.4). In the comparative study carried out in the Netherlands, only around half (53%) already had open access publications. More than half of the survey participants have already published an open access monograph (55%). Many of them have a share of open access publications of less than 30%, but every fifth participant (19%) with open access publications has already made 50% of his/her publications openly accessible (Fig. 5.5). This share is somewhat higher than in the Netherlands where the majority only have up to 10% open access publications.

The substantially different results compared to the Netherlands can in part be explained by the higher number of young scientists in Switzerland who only have a few publications so far and are more familiar with open access publishing. What is more, five years have passed since OAPEN-NL, during which time both the open access publishing options and the open access requirements of research funders and higher education institutions have increased.

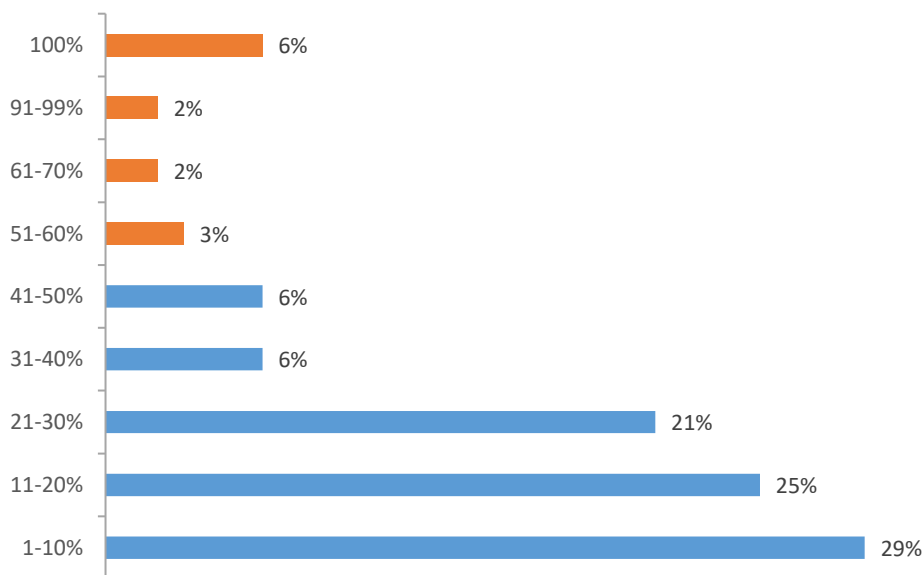
**Figure 5.4: open access publications (N = 82)**

*Are individual publications of yours accessible in an open access version?*



**Figure 5.5: Number of publications available in open access (N = 65)**

*Can you indicate how many of your publications are available in open access mode (in percent)?*



In the 41-50% category, we only find people with a 50% share.

The assumptions made above are confirmed by the answers given regarding the respondents' familiarity with open access. 75% had already been more or less familiar with open access publishing before participating in OAPEN-CH (Fig. 5.25, Annex 6). In OAPEN-NL this share was only 56%, and in OAPEN-UK young or early-career scientists, in particular, had gained more experience of open access publishing. At the

same time, there is still enough scope for supporting the researchers, as more than half (56%) said they were largely unfamiliar with it.

### 5.2.2 Expectations and perceptions related to open access

Expectations and perceptions related to scientific publishing and open access differ in part. Below, we will seek to determine what authors expect from publishing and how they see the role played by open access in this context. They were first asked to rate five predefined motives for publishing scientific works (Fig. 5.20, Annex 6). It comes as no surprise that scientific communication between peers was cited as the number one motive, closely followed by making use of one's own research results and transferring knowledge. Publishing to advance one's career was cited only in fourth place, although there was not much difference in the scores between the four motives. Financial incentives play only a minor role. The results in OAPEN-NL and OAPEN-UK were almost identical. However, in the UK study, career reasons scored higher with young scientists.

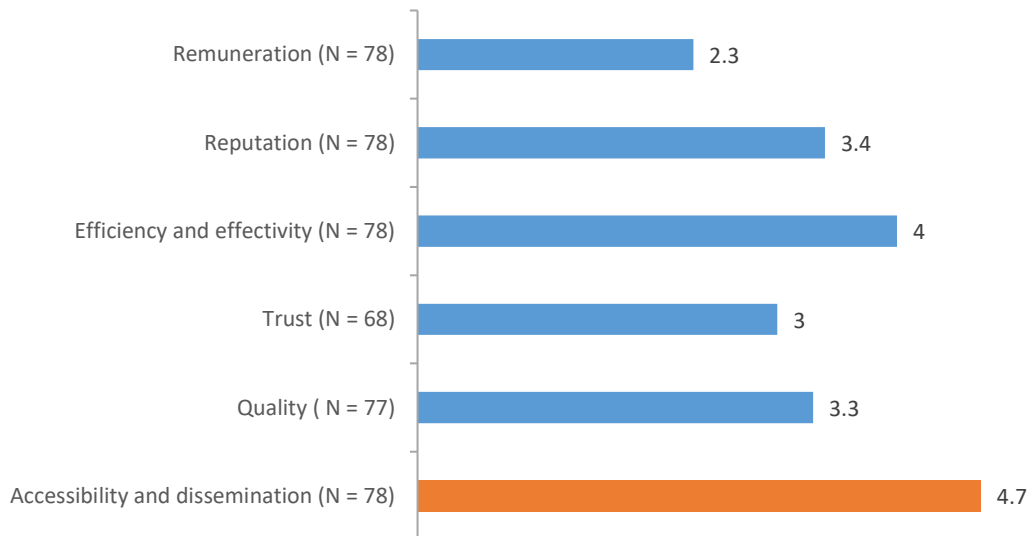
In addition to the reasons for publication, the researchers were also asked about the objectives of science communication, and whether they had been influenced by open access. They were asked to rate the following points: reputation, dissemination and accessibility, quality, reliability, efficiency and effectiveness, and remuneration (Fig. 5.21, Annex 6). With the exception of financial remuneration, all the objectives listed achieved high scores and were considered important or even very important. As in the Netherlands and the United Kingdom, the dissemination of scientific knowledge occupied the top spot.

In what way, in the opinion of the authors, does open access influence these goals? The answers to this question were mainly positive, except with regard to financial remuneration (Fig. 5.6.). The researchers expect that open access will have a very positive effect (Fig. 5.7) on the dissemination and accessibility of book publications, opening up access to scientific results to the highest extent possible. In addition, most of the researchers think that open access will affect efficiency and effectiveness positively or even very positively, and they expect financial resources to be used more efficiently as a result. They also affirmed that open access had a positive impact on the reputational (3.4) and qualitative (3.3) aspects of a monograph. With regard to reliability their assessment was neutral (3), as reflected in the phrase *"Stability, continuity and quality assurance as services provided by the publisher, as well as permanent access to scientific results thanks to reliable archiving"*. The participants in Switzerland give slightly more credence to the positive effects of open access on the publishing objectives mentioned.

### Figure 5.6: Influence of open access on the publication goals

How do you assess the influence of open access publishing (particularly of books) on these goals?

1 = very negative, 2 = negative, 3 = neutral, 4 = positive, 5 = very positive

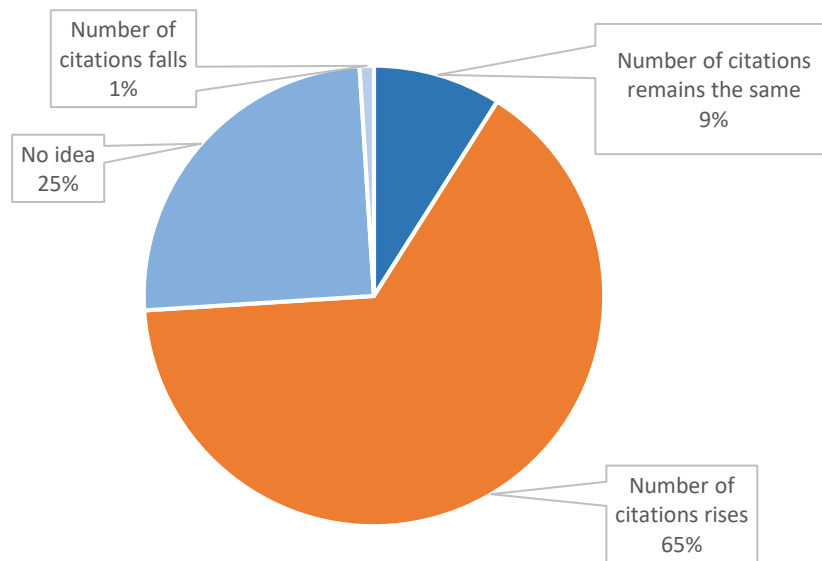


A further goal of OAPEN-CH was to find out more about the influence of open access on sales figures and the use of online book publications. For this reason, the survey also sought to ascertain the authors' expectations with regard to these topics.

Many of the respondents found it difficult to assess these aspects (Fig. 5.22, Annex 6), 39% chose "Don't know" as an answer. Every fourth researcher did not expect open access to affect sales figures. More than one third (36%) expected monograph sales to go down, and only 5% expected them to rise. The authors in the Netherlands had a more positive outlook, one in four was hopeful that book sales would go up thanks to open access.

The fact that a scientific text is freely available on the internet could increase the number of times it is consulted and quoted. Therefore, it is not surprising that the respondents see a brighter future for online consultations than for book sales. 79% of the respondents expect books to be consulted more frequently because of open access (Fig. 5.23, Annex 6). More than 8 out of 10 authors in the Netherlands (83%) also presumed that consultations would increase. 65% of the Swiss participants expect a positive impact on citations (Fig. 5.7). Expectations in the Netherlands were even higher in this respect, with 85% of the authors crediting open access with having a positive effect on the number of citations.

**Figure 5.7: Influence of open access on citations (N = 77)**



The authors consider communication within the community and the dissemination of research results to be among the most important objectives of publishing. At the same time, they all say that open access also facilitates the distribution of book publications and increases the number of citations, which in turn makes their research more visible.

### 5.2.3 Participation in OAPEN-CH

The final part of the survey focused on participation in the OAPEN-CH study. The manner of collaboration with the publishers and the extent of knowledge and experience gained in the study were the main points of interest here. But it was also important to elicit to what extent the predefined requirements concerning an open access monograph were accepted by the authors. In the OAPEN-NL and OAPEN-UK studies, the participants were questioned on the pilot project itself.

Most of those surveyed (83%, Fig. 5.29, Annex 6) were invited to participate in OAPEN-CH by the publishers themselves. The following three reasons for participation were given equally often by every third respondent to the survey: "I wanted to gain experience with open access" (30%), "I wanted to know more about the implications of open access for monograph publication" (30%) and "I wanted to enlarge dissemination" (30%). For Model 1 participants, the guaranteed financing was one of the reasons for taking part (26%). For some participants (35%), gaining an earlier publication date was also an important motive for participation, although this applied only to participants in Model 1 (Fig. 5.30, Annex 6). Slightly more than half of the authors did not have a preference for either of the groups (51%, Fig. 5.31, Annex 6). Those who did have a preference wanted to be in the experimental group (42%), in which book publications were made freely accessible without delay.

The survey also aimed to identify the criteria according to which researchers select a publisher (Fig. 5.24, Annex). The topic of the publication heads the list (4.4), closely followed by the publisher's reputation (4.3) and the publisher's services (4.2). Past collaboration with the publisher is another important motive (4). Less important – but

not wholly unimportant – is the publisher's open access offer (3.2). Financial remuneration is of minor significance when it comes to choosing a publisher (2.5); one of the reasons for this is probably that authors seldom receive any financial compensation, e.g. a salary, for publishing a book. Only around a quarter (28%) of the authors intend to pay attention to open access options when choosing a publisher (Fig. 5.35, Annex 6). The share of those who were either "neutral" or answered "Yes, more likely" is quite high (62%). The reason for their hesitation may well be that smaller publishers in particular often do not yet have any open access offer to speak of.

The participating publishers were given high marks for the services they provided during the pilot study (Fig. 5.8). Those involved were satisfied with the project information and general advice (4) they received from the publisher as well as with copy editing and proofreading (4), typesetting and layout (4.3). They were also mostly satisfied with distribution and archiving (3.8), advertising (3.7), peer review procedures (3.7) and the information needed to clarify image rights (3.5). Peer review procedures had to meet high standards in the scope of the OAPEN-CH project, some of which the publishers were not familiar with. In addition, the workshops held with the publishers also showed that further action and knowledge are still needed here.

**Figure 5.8: Satisfaction with publisher’s services (N = 75)**

*Question 27: Were you satisfied with your publisher’s services?*

1 = very dissatisfied, 2 = satisfied, 3 = neutral, 4 = satisfied, 5 = very satisfied



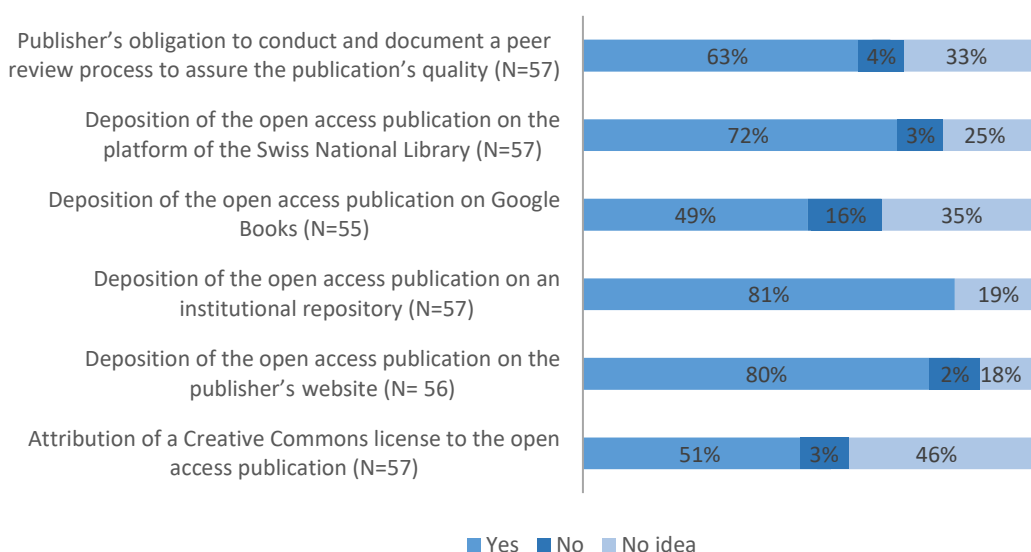
The open access book publications in the experimental group had to meet various requirements (Fig. 5.9). A Creative Commons licence had to be acquired for the books, and they had to be made available on various platforms (Swiss National Library, Google Books, institutional repository) as well as on the publisher's website. The relevant provisions, particularly regarding the availability on the publisher's website (80%) and in an institutional repository (81%), enjoyed a high degree of acceptance. However, the requirement to place the book on Google Books was viewed more critically, with 16% of the authors not approving of it. Just over half of them (51%) also accepted the need to obtain a Creative Commons licence. However, nearly half (46%) also answered "Don't know" to this question. OAPEN-UK established that acceptance was higher among authors who were already familiar with this form of licencing. In the meantime, an open licence has become the standard for open access monographs, and such

licences are also demanded by research funders such as the FWF, the ERC and the Wellcome Trust. It is therefore necessary to further increase awareness of the advantages of an open licence.

A central element of the study consisted in quality assurance by the publishers, based on a peer review process. Until now, the book publications financed by the SNSF have been evaluated on the basis of external reviews obtained by the SNSF. One important result for the SNSF's future publication funding activities is that the majority of respondents (63%) accept quality assurance being carried out by the publishers based on a peer review procedure. However, this procedure must be transparent and must meet the relevant quality standards.

**Figure 5.9: Conditions for open access versions**

*In general, did you agree with the conditions included in the pilot project regarding open access publications?*



In the course of open access publishing, it became clear that many respondents to the survey had already published books of their own in open access mode, and the resulting values when they were asked about their familiarity with open access were correspondingly high (Fig. 5.25, Annex). More than half of those surveyed (53%) said that they had been able to expand their existing expertise by participating in the pilot study (Fig. 5.26, Annex). Did participating in the study also change their attitude towards open access? Prior to the study, their attitude towards open access was already fairly positive, but more positive for articles than for books (Fig. 5.27, Annex). Since their participation, their attitude has become more positive and has come to lie somewhere between positive and very positive. An important aspect of this result is that their attitude has become more positive also as authors, and not merely as readers (Fig. 5.28, Annex 6).

We would have liked to learn more about the authors' experience as regards the reception of their pilot books. However, the short duration of the study did not allow any conclusions to be drawn in this respect (Fig. 5.33 and Fig. 5.34, Annex 6). Most participants have as yet not been able to make out any effects on the speed and frequency of response (citation, invitations to conferences, reviews, general feedback concerning the publication). Nonetheless, every fourth author (22%) received feedback of a general nature about his/her publication more rapidly. A minority (16%) felt they



had been cited sooner after publication and more frequently, and a few had been invited to conferences more frequently than before (10%).

### 5.3 Overview of results

- The authors who participated in the survey are accustomed to publishing and reading works in digital form. Almost all of them make some of their publications accessible in digital form, and more than three quarters of them read scientific books online or with an e-reader, without printing them out.
- The percentage share of their publications varies, and for many of them it is still under 30%. More than half of the participants already have an open access monograph.
- The printed monograph does not pale in significance beside the open access publication. Most of the survey participants would acquire a printed book were it necessary for their research work.
- The potential effects of open access on monographs are overwhelmingly assessed positively: the participants expect a very positive impact on accessibility and dissemination, and they hope that this will draw more attention to their research results. They also feel that open access tends to have a positive effect on the reputation and quality of a monograph.
- There is also a majority view that quicker and easier dissemination will in turn lead to an increase in the number of citations. However, they are somewhat more pessimistic with regard to book sales: they expect sales figures to drop after the introduction of open access.
- The respondents readily accepted the requirements for publication of an open access monograph: they are in favour of the obligation to archive the book in an institutional repository and to make it available on the publisher's website. They also support the transfer of the peer review process to the publishers in the scope of OAPEN-CH. On the other hand, although they support the CC BY licence, they need to become more experienced in handling it.
- The authors gave the publishers a high rating. All of them assessed the services provided by the publishers in the course of the study positively.
- Many of the authors were already familiar with open access, but they were able to expand their expertise regarding the open access publication of monographs by taking part in the study.
- On the whole, the researchers' opinion of open access had already been positive prior to the study, particularly as far as articles were concerned, and their positive assessment appears to have been strengthened. In the course of OAPEN-CH, the attitude towards open access monographs also changed: they were perceived more positively by the researchers – as both authors and readers – following the pilot study.

## 6. Lessons learned

In this chapter, we will present the most important insights gained in the workshops which the SNSF held together with representatives of publishers and libraries in the course of the OAPEN-CH project. In addition, the authors will get another chance to give their feedback. Finally, we will focus on how these insights can be used and outline the new open access policy of the SNSF.

### 6.1 Publishers

For scientific publishers, open access is more than a business model. The transition to open access spells a number of formidable challenges for the publishers participating in the pilot project as partners of science: on the one hand, they vouch for the quality for both form and content, even though open access monographs have long been less trusted by authors and did not enjoy as good a reputation as printed books. On the other hand, they did not have much experience in producing open access monographs. Open questions included: which elements of the publication process to adjust, or which model would be best suited to covering the production costs. Hence the publishers taking part in OAPEN-CH were willing to take part in a learning process that included business models, quality assurance and licensing questions and which was intended to lead to the creation of a new open access model.

**Dual business models for open access monographs:** The representatives of the participating scientific publishers want to maintain a dual business model combining open access and traditional print editions. As of a certain number of pages, readers prefer to have a printed copy of the text, and printed editions will therefore be continued, often as an integral part of the business model. This was one of the reasons why the publishers' representatives were sceptical about business models with a print-on-demand option. In order to cover the costs of the publishers' services, such as selecting manuscripts that fit their publishing programme, quality assurance of both form and content, marketing and supply, the members of the Swiss Association of Humanities and Social Sciences developed a comprehensive BPC model for the gold road.

**Quality assurance:** This is a key factor in the transition to open access. For a long time, open access monographs inspired less confidence in authors and didn't have as good a reputation as printed books. For publishers who vouch with their name and reputation for the quality of both form and content, the perception of open access and quality control are key factors in shaping the transition.

The publishers' representatives considered the editorial and technical processing of the texts (copy-editing/proofreading, typesetting and layout) as their principal tasks. Quality assurance for the content was always performed outside the pilot project as part of the SNSF's publication funding, based on expert reviews of academic degree theses such as doctoral or postdoctoral (or habilitation) theses or the evaluation conducted by the SNSF. Most of the publishers who took part in OAPEN-CH set up a peer review process which they were able to test and confirm in the course of the study. For authors, transparent costs and different publication models are also key in securing the quality of open access publications.

**Creative Commons licences:** The publishers' representatives debate the pros and cons of Creative Commons licences for open access monographs. All but one publisher

applied the most restrictive licence (CC BY-NC-ND) during the project. Most of the publishers' representatives were against any commercial further use of the monographs they published – on the one hand, in order to protect the services they had provided and, on the other hand, so that they didn't lose any rights to translations (NC). In the name of the authors, they also resisted any fragmentation of the texts in order to preserve the work in its integral, unchanged form (ND). They also warned that the licensing of images, or expenditure on image rights, could generate high publication costs in the case of open access monographs. Despite these reservations, these publishers will use Creative Commons licences for their open access monographs also outside the scope of OAPEN-CH.

The pilot project helped in eliminating uncertainties and obstacles on the pathway to open access. For instance, the participating publishers were given an opportunity to bring their business models into line with open access. The SNSF and the scientific publishers will continue this constructive sharing of experiences beyond the pilot project as soon as the initial experiences with monographs based on the SNSF's new open access policy have been analysed (see chapter 6.4).

## **6.2 Authors**

The transition to open access requires not only new business models and robust quality assurance processes, it must also be accepted and understood by the authors. Although nearly all of the surveyed authors read both articles and monographs digitally, the share of open access publications is less than 30 per cent for many of them. They do not expect the printed book to become less important in the next few years, even if an open access edition is issued alongside the printed version. But they nonetheless think that sales figures will fall – an assumption that was borne out by the results of the quantitative evaluation (see chapter 4.3). Overall, the authors do affirm the positive effects of open access: they expect superior accessibility, more rapid distribution, more visibility and an increasing number of citations. In addition, they feel that the overall impact of open access on quality and reputation is positive.

Most authors increased their knowledge about open access in the course of the pilot project. The majority were in favour of archiving the open access monographs on the publisher's website and in institutional repositories; they welcome peer review by the publishers and their opinion of open access is more positive than before OAPEN-CH. This positive attitude is probably also due to the services provided by the publishers, with which almost everyone was happy. However, their knowledge of handling Creative Commons licences is still fairly rudimentary. In the survey, almost half of them answered "Don't know" as regards the granting of Creative Commons licences. All in all, the respondents see slightly more potential advantages than disadvantages in open access – both as readers and as authors.

## **6.3 Libraries**

Libraries play a key role in implementing open access. On the one hand, they acquire more scientific publications than most. On the other hand, they contribute strongly to the visibility of scientific research by operating institutional repositories. However, open access forces not only scientific publishers, but also libraries to find answers to some challenging questions. They have to adapt the acquisition process for open access monographs and make them more visible within their catalogues. In addition, they need to decide whether and – if yes – how they should participate in the financing

or even the production of open access monographs. What is more, the question whether researchers without affiliation would also have access to institutional repositories remains unanswered as well.

With its open access policies, the Conference of the University Libraries of Switzerland (CUB) promotes competition between publishers as well as alternative publication models such as [Science Matters](#), [Open Library of Humanities](#), [OpenEdition](#), [Language Science Press](#), [Knowledge Unlatched](#) or university publication services ([HOPE](#)). The representatives of university libraries are of the opinion that they can support open access most efficiently if they reallocate part of their acquisitions budget. In addition, the transition to open access calls for adjustments to various processes in the libraries' daily business. For instance, some libraries already have an open access office that can advise researchers at the university on publication-related matters. The inclusion of open access monographs in library catalogues is closely linked to the quality and uniformity of the metadata. They would be easier to integrate via a platform such as e-Helvetica, SLSP or SONAR, which can assess the quality of open access publications and provide uniform metadata.

## What do the authors say about open access?

A book is more than an article: it is a highly complex and enduring resource that an article can never replace. Free access to books permits access to quality research. By disseminating this knowledge freely, we enable people to move forward together, whether they are poor or rich, whether they are part of the scientific community or not.

The physical book will continue to exist and will even gain in value through its transformation from a working tool into an emotional object. I buy a book when I want to touch it, read it at my bedside or on the beach – whether it is open access or not.

The digital open access book is more of an addition than a rival to the physical book. It allows access to knowledge by other means and further personalises reading due to the new ways of selecting books.

**Sandro Cattacin, University of Geneva**

Scientific open access publications have fundamental practical and ethical advantages. From a practical point of view, with this publishing model knowledge can flow without budget or access restrictions. From an ethical point of view, open access makes the circulation of knowledge more democratic and is in line with the requirements for producing academic knowledge – knowledge that is funded by the public and accessible to the public without restriction.

**Steve Oswald, University of Fribourg**

In principle, I am in favour of the widest possible dissemination of scientific publications throughout the world, including for scientists who do not have access to a well-stocked library or who have other resource problems. To illustrate this with an anecdote: during a visit to Madagascar, I asked a professor who had to resort to giving lectures at home because his university wasn't rebuilt after a fire, probably arson, which scientific journals he missed most. His answer was short and simple: all of them, because we have no subscribers.

I see no disadvantages for my colleagues, in particular; the humanities and social sciences will still need publishers who also publish print editions of their books and journal articles and who cannot do so without viable business models. Open access must not undermine their existence in any way.

**René Levy, University of Lausanne**

Open access monographs will play a key role in the future because some disciplines still see the publication of books as their scientific core activity. The problem does not lie in the principle of open access but, firstly, in understandable resistance from publishers – who obviously have only a limited interest in open access – and, secondly, in the area of financing. The pilot project has shown us a useful solution which ought to be further developed.

**Lucien Criblez, University of Zurich**

The main advantage of open access to scientific publications clearly lies in easier access, a sort of democratisation of scientific writing, which becomes accessible throughout the world. However, we have to bear in mind that putting a text online does not suffice to make it accessible, the platform where it is deposited and the ways in which it can be accessed are also important factors in achieving true open access.

What is more, both online and print publication should be sufficiently resourced, because these two publication modes complement each other and one must not replace the other. Should this happen, it would represent the unprecedented loss of an entire cultural sphere.

**Joëlle Libois, HES-SO Geneva**

The undeniable advantage of the immediate publication of my book in open access mode was that it was distributed more rapidly to researchers specialising in Swiss studies or, more generally, the study of parliaments. I need only mention, for example, that in a single year, my book was cited seven times in Google Scholar, and five of the citations were in relation to publications by authors I don't know. Open access thus made it easier to make my publication available to researchers who are not at all part of my usual professional network.

**Andrea Pilotti, University of Lausanne**

As far as the benefits are concerned, I would say that research, particularly public research, is not intended to generate a knowledge market. What is produced should be accessible as widely as possible to all interested audiences – researchers, businesspeople, students, members of the public. What credible and defensible answer does the scientific community have to Wikipedia in terms of knowledge production/dissemination?

As to the disadvantages, open access presupposes that the dissemination of scientific results (as open access) is not part of science funding. We must therefore follow this movement.

**Emmanuel Ravalet, EPF  
Lausanne**

The fact that books are freely available ensures a much broader reception: the works are read by more users, and people outside one's own research community are more likely to take note of them. This can lead to new links being forged between researchers and widen the scope of critical and discursive debate. As usage is free, more non-natives consider it "worthwhile" to view OA publications.

Even with hybrid publications, the freely accessible digital versions ensure more targeted shopping: readers know what is in the book and what it looks like and this often makes them more eager to read the analogue version. What is more, copyrights are better protected for scientific publications, in particular, because plagiarism can be spotted much sooner and investigated and proven much more easily.

**Tabea Lurk, University of Applied Sciences Northwestern Switzerland  
(FHNW)**

# What experiences have publishers had with open access?

Open access is at the same time a challenge and an inspiration for publishers.

**Dominique Oppler,  
Librum Publisher  
& Editors, Basel**

What we thought was good:

The pilot project reached out to all the publishers according to their particular situation and position with regard to OA. It was able to accommodate different publishing concepts and the opportunities they offer. While it forced us publishers to methodically reflect on OA at all levels, it didn't leave us alone with this.

The project was conducted as a multi-stakeholder project, in which communication was possible across all perspectives that were represented. While this made it possible to "push through" a normative approach, all existing practical angles were articulated and many of them considered in the implementation.

The project design was constructive and solution-oriented from the start.

The key insight:

The project has connected us with a very well thought through OA model which benefits all actors and which we were able to help flesh out. Thanks to the project, OA policies have become a lot clearer to us at all levels of OA implementation.

Challenges:

In Germany, resources for open access in the humanities are scarce. We would like to run a similar project in this country. There is now a dynamic demand from the authors' side, but implementation often fails due to a lack of financial resources.

**Karin Werner, transcript Verlag, Bielefeld**

Though I was quite skeptical to begin with, I am very pleased about the conclusion and the results of the OAPEN project: on the one hand, publishers and the SNSF have reached a fair compromise after some heated discussions. On the other hand, collaborating closely across language barriers, the participating publishers were able to develop shared positions. This cooperation also resulted in a number of personal friendships being struck up.

**Hans-Rudolf Wiedmer, Chronos  
Verlag, Zurich**

The OAPEN study was an interesting project which introduced the participants to OA and helped launch a discussion on the topic. The insights drawn from the study should be treated with caution, i.e. they should be reviewed and updated in the event of any change in the conditions of publishing.

With the SNSF's publication funding, open access currently appears feasible for highly qualified and highly specialised monographs and anthologies in the humanities, which are printed in small editions and consulted by scholars.

**Susanne Franzkeit, Schwabe AG,  
Basel**

The best way to predict what Open Access 2020 will look like is by helping to shape it today.

**Bianca Matzek, Peter Lang Verlag, Bern**

Open access will enable medium-sized publishers to offer worldwide distribution, which will enable them to offer identical services to major publishing houses and attract new authors.

**Alain Cortat, Édition Alphil, Neuchâtel**

Free access, greater visibility and cost reduction are key demands of the open access movement which the SNSF has adopted as goals. Is it possible to find a business model to achieve these goals? After tough negotiations between the Swiss publishers concerned and the SNSF, viable solutions are now beginning to emerge. On the one hand, they take account of the needs that open access gives rise to and, on the other hand, of the services provided by small Swiss publishing houses. The discussions are probably not yet at an end. It is now necessary to prove the viability of the financial solutions provided. They are currently based on flat rates with options for compensating any additional costs. We will see if the funding model is flexible enough to cover the diversity of scientific publications – whether, despite the modalities provided for in the funding model, the same measure is applied to too many things. For instance, have the individual needs of scientific disciplines as regards the scope and complexity of publications been sufficiently taken into account? This model also neglects the question whether publications aimed at the general public would continue to attract more attention in printed form. In the course of the debate on open access, it has also become clear that even researchers who are in favour of open access do not want to do without print editions.

As a publishing house, Seismo Verlag aims to make sound scientific analyses of today's society available to as broad a public as possible, incl. different political bodies. Open access may contribute to this. However, the printed book is likely to remain the more popular and efficient option in this context.

The solution developed jointly by the SNSF and the publishers may not be perfect, and it certainly cannot meet all requirements – nor does it have to. However, it is promising and forward-looking. We look forward to continuing our work on this basis.

**Peter Rusterholz, Seismo Verlag, Zurich**

The OAPEN-CH pilot project has made it possible to renew the dialogue between Swiss publishers in the humanities and social sciences, both private and public, and the Swiss National Science Foundation. Financial support for editorial work constitutes genuine recognition of the technical and professional skills of publishers in terms of content processing, promotion and distribution. This benefits the scientific community. Nevertheless, the conclusions drawn from the project clearly show that publishing a text online in open access mode is not enough to give it visibility – where and how it is accessible matters greatly. Google's predominance in the dissemination of publicly funded scientific results should not go unquestioned.

In addition, the SNSF's decision to no longer support printed works represents a bias that places online publishing in opposition to paper publishing; whereas modes of publication are not only technologically and commercially different, they also involve complementary ways of reading (and increasingly writing) and distribution.

**Stéphanie Fretz, Editions IES, Geneva**



## 6.4 Swiss National Science Foundation

Since the launch of the OAPEN-CH pilot project, open access has gained further importance in the international and national research environment (see Chapter 2). From the SNSF's perspective, the extension of its open access policy to monographs has several advantages, especially if the gold road is followed: results are disseminated more rapidly, the visibility of results increases, the monographs are used more frequently and they have a broader international reach. In the pilot project, gold road publication did not have a negative impact on the number of monographs sold nor, in contrast to the green road, did it generate a larger amount of administrative work for publishers.

The findings from OAPEN-CH have been incorporated into the new open access policy ([OA 2020](#)) and hence also into the new [publication funding scheme](#) of the SNSF. The following elements are among the most important cornerstones of the new evidence-based funding policy:

**Book processing charges (BPCs):** The SNSF is introducing a grant for book processing charges for monographs and anthologies. It is awarded not only for publications resulting from SNSF projects, but also for publications that are not linked to an SNSF research project. The BPC grants are modular and cover the services provided by the publishing houses.

- Basic module: A citable open access publication with a maximum length of 750,000 characters is compensated with a flat rate of up to CHF 15,000. It covers services such as quality assurance (peer-review process, editing, proofreading), production (typesetting, layout, image processing), dissemination (provision of metadata, distribution), marketing and sustainability (storage on the website, ensuring long-term availability).
- Supplementary modules: These cover any additional costs incurred, e.g. for a higher number of characters, for typesetting, layout and image rights, or if a digital version with additional functionalities is needed (enriched e-book).
- Foreign language editing: In order to extend the international reach of the monographs and anthologies, authors can claim the costs of editing in a foreign language (not the author's native language) in a supplementary module.
- Green road: monographs and anthologies resulting from SNSF projects can continue to be made accessible via the green road. However, because the BPCs are limited to the gold road, the SNSF helps in covering production costs. The embargo period is 12 months and the content of the open access version must be identical to the publisher's version and citable.

**Quality assurance:** In addition to the editorial and technical preparation of the texts, quality assurance by the publishers also includes checking the content of the manuscripts. Within the framework of OAPEN-CH, publishers have established robust peer-review processes that meet the following criteria:

- Reviewers: The reviewers are independent and have no conflicts of interest either with the authors or with the publisher. They submit a written report that is meaningful and based on the entire manuscript. The subject matter of the publication lies in their area of expertise.

- Documentation: The publisher documents how the criticism expressed in the reviews was addressed and used to make improvements. At least one expert review is required for monographs and anthologies.
- Doctoral and postdoctoral (habilitation) theses: Publishers do not have to obtain an external and independent review for theses written for the purposes of academic qualification. They can continue to rely on the reports written by the university.

**Metadata:** conventional, digital and OA-specific metadata are required to facilitate the integration of OA monographs into library catalogues. In addition to a Digital Object Identifier (DOI) and a Creative Commons licence for printed and digital editions, separate ISBN numbers must therefore be included in the metadata of the publications.

**Storage and archiving:** open access increases visibility and extends the reach of research results. In order to reach as large an audience as possible and ensure the long-term accessibility of open access monographs, the monographs and anthologies are stored on several platforms. While the publisher makes the open access version available on its website, the authors archive the publication in an institutional repository. The SNSF works together with the OAPEN Library to increase international visibility and reach by archiving the open access version on OAPEN Library. Finally, the SNSF cooperates with the Swiss National Library (NL). The long-term archiving of open access monographs at the NL ensures their sustainability.

The new publication policy is based on the results of OAPEN-CH. The amount of BPCs is based on the average production costs of open access monographs. It is not only geared to the costs of publishing services, but also takes into account the increased demands on quality assurance and metadata. The requirements for the peer review process and the provision of digital and open access metadata are based on international standards. During the pilot project, the publishers were able to gain initial experience and build up the necessary skills in dealing with both processes. The storage and archiving of open access monographs on several platforms takes into account the fact that the platforms appeal to different users, have different reaches and meet specific needs. Greater visibility, greater use, greater reach and sustainable long-term archiving of open access monographs are to be ensured through multiple filing.

The SNSF will seek to strengthen open access monographs in the future as well and will continue the constructive cooperation established with Swiss scientific publishers. By systematically monitoring its new open access policy, it also aims to identify possible obstacles on the road to open access and support the change in publication culture.

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## List of abbreviations

AAU	Association of American Universities
AAUP	Association of American University Presses
AKOA	Working group Open Access
ANOVA	Analysis of variance
APC	Article Processing Charges
ARL	Association of Research Libraries
BOP	Bern Open Publishing
BCPC	Book Chapter Processing Charges
BPC	Book Processing Charges
BSN	Bibliothèque scientifique numérique
CC	Creative Commons
CC BY-NC-ND	Attribution – NonCommercial – NoDerivs
Cf.	Compare
Ch.	Chapter
CH	Switzerland
CNRS	National Center for Scientific Research
DARIAH	Digital Research Infrastructure for the Arts and Humanities
DILOH	Digital Library for Open Humanities
DOAB	Directory of Open Access Books
DOI	Digital Object Identifier
DORA	Declaration on Research Assessment
DTP	Desktop Publishing
ERC	European Research Council
ETH	Swiss Federal Institute of Technology
EU	European Union
FWF	Austrian Science Fund
GmbH	Gesellschaft mit beschränkter Haftung
HEFCE	Higher Education Funding Council for England
HIRMEOS	High Integration of Research Monographs in the European Open Science infrastructure
HOPE	Hauptbibliothek Open Publishing Environment
HTWK	University of Applied Sciences
JSTOR	Journal STORage
KU	Knowledge Unlatched
KUB	Conference of University Libraries
MDPI	Multidisciplinary Digital Publishing Institute
NL	Swiss National Library
NL	Netherlands
NWO	Netherlands Organisation for Scientific Research
OA	Open Access
OAMPI	Open Access Monograph Publishing Initiative
OAPEN	Open Access Publishing in European Networks
OpenAIRE	Open Access Infrastructure for Research in Europe
OPERAS	Open Access in the European Research Area Through Scholarly Communication
ORCID	Open Researcher and Contributor ID
OASPA	Open Access Scholarly Publishers Association
REF	Research Excellence Framework
ROARMAP	Registry of Open Access Repository Mandates and Policies
SAHS	Swiss Academies of Humanities and Social Sciences
SBVV	Schweizer Buchhändler- und Verleger-Verband
SERI	State Secretariat for Education, Research and Innovation
Sherpa/RoMEO	Securing a Hybrid Environment for Research Preservation and Access / Rights Metadata for Open archiving
SHK	Schweizerische Hochschulkonferenz

SLSP	Swiss Library Service Platform
SNSF	Swiss National Science Foundation
SONAR	Swiss Open Access Repository
SUK P-2/SUK P-5	SUK programmes P-2 and P-5 "Scientific information"
SVGW	Schweizerischer Verband der Verlage für Geistes- und Sozialwissenschaften
TOME	Toward an Open Monograph Ecosystem, formerly Open Access Monograph Publishing Initiative
UK	United Kingdom
URL	Uniform Resource Locator
USA	United States of America
UUK	Universities UK

# **Annex 1 – Timeline of the project**

## **Launch of project, December 2014**

In response to discussions between the SNSF and representatives of the Swiss scientific publishers on the subject of changes to the funding scheme for book publishing in summer 2014, the SNSF launched the pilot project OAPEN-CH in December 2014. The project was conceived swiftly in collaboration with the publishers and the OAPEN foundation, the necessary funding was secured and soon afterwards the first call was launched.

## **First call, February 2015**

On 16 February 2015, the SNSF launched the first call of the pilot project OAPEN-CH (see also Annex 4) on its own website. The Swiss academic publishers, who had been involved in the development of the concept, were aware of the call. Ten academic publishing houses from Switzerland and Germany participated in the first OAPEN call for proposals. The SNSF funded the publication of 54 book publications, of which 27 were published in open access mode.

## **First workshop with publishers, November 2015**

A workshop in November 2015 offered a first opportunity for everyone involved to get together. The aim of the workshop was to take stock and to discuss quality assurance based on peer review. In addition to Eelco Ferwerda (OAPEN Foundation), the external experts speaking at the event included Alistair Freeland (MDPI), Victor Wang (Böhlau Verlag) and Alexander Grossmann (Professor for publishing management at HTWK Leipzig). They spoke on best practices, international standards and publishers' experience of implementing a peer review process.

## **Second call, February 2016**

Eleven academic publishing houses from Switzerland and Germany participated in the second call for proposals of OAPEN-CH (see also Annex 4). In this second round of proposals, the SNSF funded 52 book publications. As in the first call, half of the books (26) were open access publications.

In the second call, the restriction to publishers from Switzerland and Germany was lifted but this did not lead to the inclusion of a publisher from another country. In the first call, the majority of publications were in French, in the second call the linguistic distribution was more even.

## **Second workshop with publishers, November 2016**

The second workshop focused on a first interim report on usage figures of the OAPEN-CH publications. The figures of the OAPEN Library showed that the 27 open access publications of the first call were downloaded 5365 times between October 2015 and May 2016. The downloads were recorded in 84 countries across the five continents. All books were downloaded several times; the most popular book was downloaded 580 times. During the same period, the 27 books that were printed and published as open access books were sold 1570 times. There was no indication that publication as an open access book led to a slump in sales figures.

Another topic of the second workshop were different business models for publishing houses. Alexander Grossmann, professor for publishing management at the HTWK Leipzig, spoke about the advantages and disadvantages of different business models for academic publishers. His presentation was followed by talks by Alain Cortat

(Editions Alphil), Hans Rudolf Wiedmer (Chronos Verlag) as well as Karin Werner and Stefanie Hanneken (transcript Verlag), who each described the open access business model of their publishing house.

### **Information event for university libraries, March 2017**

In March 2017, an information event took place to discuss in depth the role of university libraries in open access publishing and the collaboration in the context of the pilot project. The main speaker was Rudolf Mumenthaler, professor for library sciences at the HTW Chur. After his talk on the role of libraries in contributing to the visibility of open access books, the discussion focused on the requirements for acquisition and funding of open access books as well as their inclusion in catalogues and repositories. The SNSF used the event as a platform to present the pilot project and to discuss how lending and download figures of university libraries and repositories could be used as a database.

### **Draft of new open access publication funding, November 2017**

In November, the SNSF presented its new open access policy and the draft of the new [Regulations on the funding of Open Access publications](#). During the consultation process, the academic publishers, the Swiss Booksellers and Publishers Association (SBVV, 29 November 2017) and the association of publishers in the humanities and social sciences (SVGW, 30 November 2017) said that they considered the new SNSF rules generally positive and signalled that they would back them. At the same time it became clear that the proposed peer review process would be a challenge for publishers.

### **Concluding workshop with publishers, January 2018**

On 26 January 2018, the concluding workshop of the pilot project OAPEN-CH took place. Eelco Ferwerda and Ronald Snijder of the OAPEN Foundation presented the key results of the pilot project in cooperation with the pilot team of the SNSF. The representatives of the publishers who were present said that they were happy with the pilot project and the joint learning process. In addition, the SNSF presented its new policy for funding open access publications. In view of implementing the policy and the future cooperation between the SNSF and academic publishers, the discussion focused on establishing a peer review process.



## **Annexe 2 – Participating Publishers**

- Carl Grossmann Verlag, Berlin
- Chronos Verlag, Zürich
- Editions Alphil, Neuchâtel
- Editions IES, Geneva
- Edizioni Casagrande, Bellinzona
- Librairie Droz, Geneva
- LIBRUM Publishers & Editors LLC, Basel
- Schwabe AG Verlag, Basel
- Seismo Verlag, Zürich
- transcript Verlag, Bielefeld
- Verlag Peter Lang AG, Bern
- Wallstein Verlag, Göttingen

## Annex 3 – List of OAPEN-CH book publications

### Model 1 / Experimental group 1 / Calls 2015 and 2016

These books are published simultaneously and with no embargo period both in open access and as for-sale printed (and possibly digital) publications.

Author Title	Publisher	Discipline Publication form	SNSF grant number
Behr, Andreas <a href="#">Diplomatie als Familiengeschäft. Die Casati als spanisch-mailändische Gesandte in Luzern und Chur (1660-1700)</a>	Chronos	Swiss history Doctoral thesis	B-OA10_163529
Camenisch, Chantal <a href="#">Endlose Kälte. Witterungsverlauf und Getreidepreise in den Burgundischen Niederlanden im 15. Jahrhundert</a>	Schwabe	General history (without pre- and early history) Doctoral thesis	B-OA10_163522
Cecchini, Amaranta <a href="#">Intimités amoureuses à l'ère du numérique. Le cas des relations nouées dans les mondes sociaux en ligne</a>	Editions Alphil	Sociology Doctoral thesis	B-OA10_163640
Clavaz David <a href="#">"Ovide veut parler". Les négociations de Clément Marot traducteur</a>	Librairie Droz	Romance languages and literature Doctoral thesis	B-OA10_170366
Cotelli, Sara <a href="#">Question jurassienne et idéologies langagières.</a>	Editions Alphil	Romance languages and literature Doctoral thesis	B-OA10_163642
De Vincenti, Andrea <a href="#">Schule der Gesellschaft: Wissensordnungen von Zürcher Unterrichtspraktiken zwischen 1771 und 1834</a>	Chronos	Swiss history Doctoral thesis	B-OA10_163544
Deblue, Claire-Lise <a href="#">Exposer pour Exporter : Culture Visuelle et Expansion Commerciale en Suisse (1908-1939)</a>	Editions Alphil	Swiss history Doctoral thesis	B-OA10_163645
Devecchi Lineo Umberto <a href="#">Zwischenstadtland Schweiz : Zur politischen Steuerung der suburbanen Entwicklung in Schweizer Gemeinden</a>	transcript	Architecture Monograph	B-OA10_170384
Dubuis Claudia <a href="#">Un mouvement contre le jeu d'argent</a>	Alphil	Ethnology Doctoral thesis	B-OA10_170343
Dupuis, Johann <a href="#">S'adapter au changement climatique : Analyse critique des nouvelles politiques de gestion de l'environnement. Cas spécifiques de l'agriculture en Inde et du tourisme hivernal en Suisse</a>	Editions Alphil	Social geography and ecology Doctoral thesis	B-OA10_163643

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Egbunda-Joss Andrea <a href="#">Der Schutz der öffentlichen Ordnung und Sicherheit im Rahmen der internationalen Schutzgewährung : Eine Analyse der Qualifikationsrichtlinie 2011/95 der Europäischen Union unter besonderer Berücksichtigung der völkerrechtlichen Vorgaben</a>	Carl Grossmann	Legal sciences Doctoral thesis	B-OA10_170367
Farquet Christophe <a href="#">La défense du paradis fiscal suisse avant la Seconde Guerre mondiale: une histoire internationale</a>	Alphil	Swiss history Doctoral thesis	B-OA10_170304
Ferretti, Enrico <a href="#">Educazione in gioco</a>	Edizioni Casagrande	Educational science and Pedagogy Monograph	B-OA10_170327
Fischer Silke <a href="#">Schulentwicklung. Bildungspolitische Wunschvorstellung oder pädagogische Realität?</a>	Peter Lang	Educational science and Pedagogy Monograph	B-OA10_170379
Gabrell, Simon <a href="#">Construire les Carpates : L'Institutionnalisation d'une Éco-Region</a>	Peter Lang	Social geography and ecology Doctoral thesis	B-OA10_163509
Guex Delphine <a href="#">Tourisme, mobilités et développement régional dans les Alpes Suisses: mise en scène et valeur territoriale</a>	Alphil	Sociology Doctoral thesis	B-OA10_170313
Heiniger Kevin <a href="#">Krisen, Kritik und Sexualnot. Die „Nacherziehung“ männlicher Jugendlicher am Beispiel der Anstalt Aarburg (1893-1981).</a>	Chronos	Swiss history Monograph	B-OA10_170348
Junod, Roland / Rutayisire, Paul <a href="#">Citoyenneté et réconciliation au Rwanda</a>	Editions IES	Political science Monograph	B-OA10_163798
Kriemler Daniel Peter <a href="#">Basler Lesegesellschaft 1825-1915 : eine Kollektivbiographie im sozialen und politischen Kontext der Basler Geschichte des 19. Jahrhunderts</a>	Librum	Swiss history Doctoral thesis	B-OA10_170326
Lurk, Tabea <a href="#">Tony Conrad – Video und darüber hinaus</a>	Peter Lang	Art history Doctoral thesis	B-OA10_163545
Maurer, Dieter <a href="#">Acoustics : Preliminaries</a>	Peter Lang	German and English languages and literature Monograph	B-OA10_163510
Meyer Katrin <a href="#">Macht und Gewalt im Widerstreit. Politisches Denken nach Hannah Arendt</a>	Schwabe	Philosophy Monograph	B-OA10_170373

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Moody Zoé <a href="#">Les droits de l'enfant : Genèse, institutionnalisation et diffusion (1924-1989)</a>	Alphil	General history Doctoral thesis	B-OA10_170306
Munafò Sébastien <a href="#">La ville compacte remise en cause ?</a>	Alphil	Social geography Monograph	B-OA10_170316
Page, Steve <a href="#">Le Nigeria et la Suisse, des affaires d'indépendance : Commerce, diplomatie et coopération 1930-1980</a>	Peter Lang	Swiss history Doctoral thesis	B-OA10_163513
Pilotti Andrea <a href="#">Le Parlement suisse et ses membres entre démocratisation et professionnalisation (1910-2010)</a>	Seismo Verlag	Sociology Monograph	B-OA10_170330
Robert Michèle <a href="#">"Que dorénavant chacun fuie paillardise, oisiveté, gourmandise..."Réforme et contrôle des moeurs : la justice consistoriale dans le Pays de Neuchâtel (1547-1848)</a>	Alphil	General history Doctoral thesis	B-OA10_170310
Robin, Jésabel <a href="#">« Ils aiment pas le français ». Le rapport au français de futurs enseignants du primaire de la PHBern à travers leurs récits d'expériences de formation et de mobilité</a>	Peter Lang	Educational science and Pedagogy Doctoral thesis	B-OA10_163506
Rothen Christina; Ruoss Thomas; Criblez Lucien <a href="#">Staatlichkeit in der Schweiz : Regieren und verwalten vor der neoliberalen Wende</a>	Chronos	Educational science and Pedagogy Edited volume	B-OA10_170335
Schmid Lukas <a href="#">Reinheit als Differenz. Identität und Alterität in Max Frischs frühem Erzählwerk</a>	Chronos	German and English languages and literature Monograph	B-OA10_170340
Valsangiacomo, Nelly <a href="#">Dietro al microfono : Intellettuali italiani alla Radio svizzera (1930-1980)</a>	Edizioni Casagrande	General history Monograph	B-OA10_163551
Waelti, Slaven <a href="#">Klossowski, l'incommunicable.</a>	Librairie Droz	Philosophy Doctoral thesis	B-OA10_163542
Weber Florian <a href="#">Die amerikanische Verheissung. Schweizer Aussenpolitik im Wirtschaftskrieg 1917-1918</a>	Chronos	Swiss history Monograph	B-OA10_170305
Weder Christine <a href="#">Intime Beziehungen: Ästhetik und Theorien der Sexualität um 1968</a>	Wallstein	German and English languages and literature Habilitation	B-OA10_170307
Wirth, Jean <a href="#">Villard de Honnecourt, architecte du XIIIe siècle</a>	Librairie Droz	Art history Monograph	B-OA10_163532

## Model 1 / Control group / Calls 2015 and 2016

These books, which are comparable to the works in the experimental group, are published as for-sale printed (and possibly digital) publications.

Author Title	Publisher	Discipline Publication form	SNSF grant number
Aubry, Carla Schule zwischen Politik und Ökonomie. Finanzhaushalt und Mitspracherecht in Winterthur, 1789-1869	Chronos	Educational science and Pedagogy Doctoral thesis	B-OA10_163543
Bertogliati, Mark <a href="#">Dai boschi protetti alle foreste di protezione</a> : comunità locali e risorse forestali nella Svizzera italiana (1700- 1950)	Edizioni Casagrande	Swiss history Doctoral thesis	B-OA10_163550
Brancher, Dominique <a href="#">Quand l'esprit vient aux plantes. Botanique sensible et subversion libertine (XVIe-XVIIe s.)</a>	Librairie Droz	Romance languages and literature Monograph (Habilitation)	B-OA10_163541
Cometti, Geremia <a href="#">«Lorsque le brouillard a cessé de nous écouter». Changement climatique et migrations dans les Andes péruviennes : Le cas de Q'ero</a>	Peter Lang	Ethnology Doctoral thesis	B-OA10_163507
de Dardel Julie <a href="#">Les prisons qui s'exportent. Géo- ethnographie des espaces carcéraux colombiens à l'ère de la mobilité globale</a>	Alphil	Social geography Doctoral thesis	B-OA10_170308
Defferrard Florian <a href="#">La maison et l'homme : histoire sociale de Romont au Moyen Âge</a>	Alphil	Swiss history Doctoral thesis	B-OA10_170314
Eichenberger Pierre <a href="#">Mainmise sur l'Etat social. Mobilisation patronale et caisses de compensation en Suisse (1908-1960)</a>	Alphil	Swiss history Doctoral thesis	B-OA10_170341
Guisse, Ibrahima / Bolzmann, Claudio <a href="#">Etudiants du Sud et internationalisation des hautes écoles : entre illusions et espoirs : un parcours du combattant vers la qualification et l'emploi</a>	Editions IES	Sociology Monograph	B-OA10_163801
Hagel Michael Dominik <a href="#">Fiktion und Praxis. Eine Wissensgeschichte der Utopie 1500- 1800</a>	Wallstein	German and English languages and literature Doctoral thesis	B-OA10_170311
Huber Christina; Lehmann Lukas; Criblez Lucien <a href="#">Lehrerbildungspolitik in der Schweiz seit 1990: kantonale Reformprozesse und nationale Diplomanerkennung</a>	Chronos	Educational science and Pedagogy Edited volume	B-OA10_170334

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Ischer, Patrick <a href="#">Des dispositions du goût en matière d'habiter : les couples face à leur logement. Sédimentations, définitions, matérialisations, représentations et négociations des codes esthétiques mobiliers</a>	Editions Alphil	Sociology Doctoral thesis	B-OA10_163639
Jäger Trees Corinna; Glauser Nina Maria; Leuenberger Stefanie; Müller Dominik; Müller Ralph <a href="#">Literatur in der Zeitung. Fallstudien aus der deutschsprachigen Schweiz von Jeremias Gotthelf bis Dieter Bachmann</a>	Chronos	German and English languages and literature Edited volume	B-OA10_170337
Kaufmann, Vincent et al. <a href="#">Motilité: mode d'emploi</a>	Editions Alphil	Social geography and ecology Edited volume	B-OA10_163644
Keller Florian <a href="#">Botschafterporträts. Schweizer Botschafter in den „Zentren der Macht“ zwischen 1945 und 1975</a>	Chronos	Swiss history Monograph	B-OA10_170309
Leeman, Adrian et al. <a href="#">Trends in Phonetics and Phonology. Studies from German-speaking Europe</a>	Peter Lang	German and English languages and literature Edited volume	B-OA10_163511
Levy René; Le Goff Jean-Marie <a href="#">Devenir parents. Devenir inegaux. Transition à la parentalité et inégalités de genre</a>	Seismo Verlag	Sociology Edited volume	B-OA10_170395
Munz Hervé <a href="#">La transmission en jeu. Apprendre, pratiquer, patrimonialiser. L'horlogerie en Suisse</a>	Alphil	Ethnology Doctoral thesis	B-OA10_170315
Rothen, Christina <a href="#">Selbstständige Lehrer, lokale Behörden, kantonale Inspektoren. Verwaltung, Aufsicht und Steuerung der Primarschule 1832-2008</a>	Chronos	Educational science and Pedagogy Doctoral thesis	B-OA10_163530
Rothenbühler, Anne <a href="#">Les Suissesses à Paris. Itinéraires migratoires et professionnels, 1880-1914</a>	Editions Alphil	General history Doctoral thesis	B-OA10_163646
Rüegg, Michael <a href="#">Krise der Freiheit: Religion und westliche Welt. Plädoyer für ein gelassenes Verhältnis</a>	Schwabe	Philosophy Monograph	B-OA10_170372
Ruppen Coutaz Raphaëlle <a href="#">« Ici la Suisse – do isch t Schwyz – Switzerland calling! » La société suisse de radiodiffusion (SSR) au service du rayonnement culturel helvétique (1932-1949)</a>	Alphil	Swiss history Doctoral thesis	B-OA10_170338

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Sandro Cattacin (Pini Verio) <a href="#">Italiano per caso: storie di italoфонia nella Svizzera non italiana</a>	Edizioni Casagrande	Applied linguistics Edited volume	B-OA10_170377
Sauthier Géraldine <a href="#">Gouvernance locale et trajectoires de développement touristique. Comparaison des cas de Finhaut, Montreux et Zermatt entre 1850 et 2012</a>	Alphil	Sociology Doctoral thesis	B-OA10_170312
Schaerer-Surbeck Katrin <a href="#">Überzeugungen zu frühkindlichen Bildungs- und Lernprozessen und die damit implizierten Aufgaben: eine qualitative Studie in Kindertageseinrichtungen der deutschsprachigen Schweiz</a>	Peter Lang	Educational science and Pedagogy Monograph	B-OA10_170383
Schmidt Michaela <a href="#">Im Inneren der Bauverwaltung. Eigenlogik und Wirkmacht administrativer Praktiken bei Bauprojekten</a>	transcript	Architecture Doctoral thesis	B-OA10_170378
Schwalbach Nicole <a href="#">Ein Staat kann nicht nur gute Bürger haben, er muss auch mit den schlechten fertig werden. Die politische Aberkennung des Bürgerrechts. Behördliche Diskurse, Praktiken und individuelle Erfahrungen in den 1940er Jahren</a>	Librum	Swiss history Doctoral thesis	B-OA10_170325
Senn Tobias <a href="#">Hochkonjunktur, „Überfremdung“ und Föderalismus. Kantonalisierte Schweizer Arbeitsmigrationspolitik am Beispiel Basel-Landschaft 1945-1975</a>	Chronos	Swiss history Monograph	B-OA10_170344
Seubert, Harald <a href="#">Was Philosophie ist und sein kann</a>	Schwabe	Philosophy Monograph	B-OA10_163523
Spieser, Jean-Michel <a href="#">Images du Christ : des catacombes aux lendemains de l'iconoclasme</a>	Librairie Droz	Art history Monograph	B-OA10_163531
Szech, Anna <a href="#">Moskau – Das Dritte Rom : Einfüsse der italienischen Renaissance auf die russische Kunst der Frühen Neuzeit. Reiseberichte als eine Quellengattung der Kunstgeschichte</a>	Peter Lang	Art history Doctoral thesis	B-OA10_163546
Tinguely Frédéric <a href="#">La lecture complice. Culture libertine et geste critique</a>	Librairie Droz	Romance languages and literature Monograph	B-OA10_170368

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Tournès, Ludovic <a href="#">Les États-Unis et la Société des Nations (1914-1946). Le système international face à l'émergence d'une superpuissance</a>	Peter Lang	General history Monograph	B-OA10_163512
Veillette, Josianne <a href="#">Récit national et imaginaires identitaires au double prisme du "bilinguisme" et de la "migration" Une autre lecture des dynamiques de cohabitation dans deux petites communes suisses</a>	Peter Lang	Sociology Doctoral thesis	B-OA10_163505
Viegnes, Michel / Rime, Jean <a href="#">Représentations de l'individu en Chine et en Europe francophone : écritures en miroir</a>	Editions Alphil	Romance languages and literature Edited volume	B-OA10_163641

## Model 2 / Experimental group / Calls 2015 and 2016

These books, which have been available for roughly 24 months, become open access, while still being available as for-sale printed (and possibly digital) publications.

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Dubois, Maud <a href="#">L'Oeuvre sans fin. Réception des romans de Monique Saint-Héliar par la critique française</a>	Librairie Droz	Romance languages and literature Doctoral thesis	B-OA10_163540
Aeby Daghe Sandrine <a href="#">Candide, La fée carabine et les autres : Vers un modèle didactique de la lecture littéraire</a>	Peter Lang	Educational science and Pedagogy Monograph	B-OA10_170362
Engammare, Max <a href="#">Soixante-trois. La peur de la grande année climactérique à la Renaissance</a>	Librairie Droz	Religious studies, Theology Mongraphie	B-OA10_163533
Fasel Lauzon Virginie <a href="#">Comprendre et apprendre dans l'interaction : Les séquences d'explication en classe de français langue seconde</a>	Peter Lang	Applied linguistics Monograph	B-OA10_170336
Fehr, Sandro <a href="#">Die Erschliessung der dritten Dimension. Entstehung und Entwicklung der zivilen Luftfahrtinfrastruktur in der Schweiz, 1919-1990</a>	Chronos	Swiss history Doctoral thesis	B-OA10_163527
Forclaz, Bertrand <a href="#">L'expérience de la différence religieuse dans l'Europe moderne (XVIe - XVIIIe siècles)</a>	Editions Alphil	General history Edited volume	B-OA10_163784



<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Hänzi, Denis <a href="#">Die Ordnung des Theaters. Eine Soziologie der Regie</a>	transcript	Theatre and Cinema Doctoral thesis	B-OA10_163521
Herman Thierry; Oswald Steve <a href="#">Rhetorique et cognition – Rhetoric and Cognition : Perspectives theoriques et strategies persuasives – Theoretical Perspectives and Persuasive Strategies</a>	Peter Lang	Applied linguistics Edited volume	B-OA10_170385
Hugener, Rainer <a href="#">Buchführung für die Ewigkeit : Totengedenken, Verschriftlichung und Traditionsbildung im Spätmittelalter</a>	Chronos	Swiss history Monograph	B-OA10_163518
Ingold Niklaus <a href="#">Lichtduschen. Geschichte einer Gesundheitstechnik, 1890–1975</a>	Chronos	General history Doctoral thesis	B-OA10_170349
Kleinberger Ulla; Hauser Stefan; Roth Kersten Sven <a href="#">Musterwandel – Sortenwandel. Aktuelle Tendenzen der diachronen Text(sorten)linguistik</a>	Peter Lang	Applied linguistics Edited volume	B-OA10_170381
Libois, Joëlle <a href="#">La part sensible de l'acte : présence au quotidien en éducation sociale</a>	EDITIONS IES	Educational science and Pedagogy Monograph	B-OA10_163638
Marchart, Oliver <a href="#">Die Prekarisierungsgesellschaft. Prekäre Proteste. Politik und Ökonomie im Zeichen der Prekarisierung</a>	transcript	Sociology Monograph	B-OA10_163615
Monnot, Christophe <a href="#">Croire ensemble. Analyse institutionnelle du paysage religieux en Suisse</a>	Seismo Verlag	Sociology Doctoral thesis	B-OA10_163525
Morikawa, Takemitsu <a href="#">Japanizität aus dem Geist der europäischen Romantik Der interkulturelle Vermittler Mori Ogai und die Reorganisation des japanischen &gt;Selbstbildes&lt; in der Weltgesellschaft um 1900</a>	transcript	Other languages and literature Monograph	B-OA10_163516
Perrez Anna-Carolina <a href="#">Fremde Richter. Die Rechtsprechung im Fürstentum Liechtenstein unter dem Einfluss schweizerischer und deutsch-österreichischer Richter 1938–1945</a>	Chronos	General history Doctoral thesis	B-OA10_170328
Robu Adrian <a href="#">Mégare et les établissements mégariens de Sicile, de la Propontide et du Pont-Euxin. Histoire et institutions</a>	Peter Lang	Art history Monograph	B-OA10_170324

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Rother, Wolfgang / Baer, Josette <a href="#">Arbeit. Philosophische, juristische und kulturwissenschaftliche Studien</a>	Schwabe	Philosophy Edited volume	B-OA10_163514

## Model 2 / Control group / Calls 2015 and 2016

These books, which are comparable to the works in the experimental group, have been available for roughly 24 months and are still available as for-sale printed (and possibly digital) publications.

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Geinoz, Philippe <a href="#">Relations au travail. Dialogue entre poésie et peinture à l'époque du cubisme Apollinaire-Picasso-Braque-Gris-Reverdy</a>	Librairie Droz	Romance languages and literature Doctoral thesis	B-OA10_163539
Halter-Pernet, Colette <a href="#">Hofrechte und Offnungen des Klosters Einsiedeln: Entstehung, Entwicklung, Verwendung</a>	Chronos	Swiss history Monograph	B-OA10_163519
Jaquet, Daniel <a href="#">L'art chevaleresque du combat : le maniement des armes à travers les livres de combat (XIVe-XVIe siècle)</a>	Editions Alphil	General history Edited volume	B-OA10_163788
Marchart, Oliver <a href="#">Facetten der Prekarisierungsgesellschaft. Prekäre Verhältnisse. Sozialwissenschaftliche Perspektiven auf die Prekarisierung von Arbeit und Leben</a>	transcript	Sociology Edited volume	B-OA10_163616
Meyer, Benedikt <a href="#">Im Flug. Schweizer Airlines und ihre Passagiere, 1919-2002</a>	Chronos	Swiss history Doctoral thesis	B-OA10_163528
Mohs, Johanne <a href="#">Aufnahmen und Zuschreibungen. Literarische Schreibweisen des fotografischen Akts bei Flaubert, Proust, Perec und Roche</a>	transcript	Romance languages and literature Monograph	B-OA10_163517
Nai, Alessandro <a href="#">Choisir avec l'esprit, voter avec le cœur Causes et conséquences des processus cognitifs de formation de l'opinion en Suisse lors des votations fédérales</a>	Seismo Verlag	Sociology Doctoral thesis	B-OA10_163524
Rosiny, Claudia <a href="#">Tanz Film. Intermediale Beziehungen zwischen Mediengeschichte und moderner Tanzästhetik</a>	transcript	Theatre and Cinema Monograph	B-OA10_163520

<b>Author Title</b>	<b>Publisher</b>	<b>Discipline Publication form</b>	<b>SNSF grant number</b>
Rother, Wolfgang / Baer, Josette <a href="#">Geld. Philosophische, literaturwissenschaftliche und ökonomische Perspektiven</a>	Schwabe	Philosophy Edited volume	B-OA10_163515
Stoichita, Victor <a href="#">Figures de la transgression</a>	Librairie Droz	Art history Monograph	B-OA10_163534
Stroumza, Kim et al. <a href="#">L'ajustement dans tous ses états</a>	EDITIONS IES	Educational science and Pedagogy Monograph	B-OA10_163637
Aberson Michel; Biella Maria Cristina; Di Fazio Massimiliano; Wullschleger Manuela <a href="#">Entre archéologie et histoire: dialogues sur divers peuples de l'Italie préromaine. E pluribus unum?</a>	Peter Lang	Archaeology Edited volume	B-OA10_170354
Fossard Marion; Béguelin Marie-José <a href="#">Nouvelles perspectives sur l'anaphore. Points de vue linguistique, psycholinguistique et acquisitionnel</a>	Peter Lang	Applied linguistics Edited volume	B-OA10_170357
Gallati Mischa <a href="#">Entmündigt. Vormundschaft in der Stadt Bern, 1920–1950</a>	Chronos	Ethnology Doctoral thesis	B-OA10_170342
Wagner Franc; Kleinberger Ulla <a href="#">Sprachbasierte Medienkompetenz von Kindern und Jugendlichen</a>	Peter Lang	Applied linguistics Edited volume	B-OA10_170358
Mili Isabelle <a href="#">L'oeuvre musicale, entre orchestre et école. Une approche didactique de pratiques d'écoute musicale</a>	Peter Lang	Educational science and Pedagogy Monograph	B-OA10_170359
Puozzo Capron Isabelle <a href="#">Le sentiment d'efficacité personnelle d'élèves en contexte plurilingue. Le cas du français au secondaire dans la Vallée d'Aoste</a>	Peter Lang	Applied linguistics Monograph	B-OA10_170339
Ruoss Matthias <a href="#">Fürsprecherin des Alters. Geschichte der Stiftung Pro Senectute im entstehenden Schweizer Sozialstaat (1917–1967)</a>	Chronos	Swiss history Doctoral thesis	B-OA10_170329

## **Annex 4 – Call documents**

The interested publishing houses were informed about the study design and the conditions for participation in the OAPEN-CH pilot project in the “call for proposals for the OAPEN-CH pilot project”. The participating publishers and the SNSF also signed an “Agreement on the OAPN-CH pilot project (Publisher Agreement)”, which sets out the rights and obligations of both parties.

## Call for proposals for the OAPEN-CH pilot project

*Reviewed version for the second round on 15 February 2016*

### 1. Subject and purpose of the call for proposals

The Swiss National Science Foundation invites interested scientific publishers to participate in the OAPEN-CH pilot project. With this pilot project, the SNSF and the participating scientific publishers aim to gain initial experience with the publication process for open access monographs and to create and analyse a database on the use, sale and production costs of digital and printed books. Central to the pilot project is a joint learning process with publishers and other parties involved in open access publication.

In the scope of the second call (15 February - 13 April 2016) the publishers are invited to

- publish books in open access mode with financial support from the SNSF;
- contribute to the collection of data and cost transparency for open access publications;
- share experiences as regards the open access publication process.

The results of the OAPEN-CH pilot project should be published in a study at the end of 2017.

The OAPEN-CH pilot has been given a similar design as studies conducted in the Netherlands ([OAPEN-NL](#)) and the United Kingdom ([OAPEN-UK](#)), the aim being to obtain results that are comparable at the European level.

## 2. Project design and project flow

Interested scientific publishers can apply with books that they wish to publish according to the following **publication models**:

- **Model 1:**

A book is published in open access mode without an embargo period and simultaneously as a printed (and possibly digital) book that is subject to a charge (experimental group).

The publisher proposes a comparable book publication (see criteria in Chapter 4) for publication as a printed (and possibly digital) book that is subject to a charge (control group).

- **Model 2:**

A book that was already published approximately 24 months ago is made available as open access and is still available as a printed (and possibly digital) book publication that is subject to a charge (experimental group).

The publisher proposes a comparable book publication (see criteria in Chapter 4) that was already published around 24 months ago and is still available as a printed (and possibly digital) book that is subject to a charge (control group).

*The publication date of the already published book publications may be 18 to 30 months before the planned publication date of the open access publication.*

The SNSF will randomly assign the publications submitted for each model to the experimental and control groups. Publishers should participate with book pairs in both publication models so that a balanced data corpus is created and the two models can be compared.

The production costs for the books published as part of the pilot project will be reimbursed to the publisher (see reimbursement of costs in Chapter 5). In return, the publishers will supply figures on production costs and book sales in both the experimental group and the control group (see data collection in Chapter 6).

The pilot project will focus on a common learning process with regard to open access publication models and on the development of viable financing models, which is why the participating publishers will be invited to take part in structured workshops (see Workshops in Chapter 7).

### Key project dates:

Submission	Evaluation	Decision	Publication window	Data analysis			
16.2.- 15.4.15	16.4.- 31.5.15	1.6.15	Aug – Oct 15	30.4.1 6	31.10.16	30.4.1 7	31.10.17
15.2.- 13.4.16	14.4.- 31.5.16	1.6.16	Aug – Nov 16	-	-	30.4.1 7	31.10.17

### 3. Participation requirements

Eligibility for calls in the scope of the pilot project "OAPEN-CH" is conditional on the requirements in accordance with Sections 3.1 and 3.2 being met.

#### 3.1 Personal requirements

Publishers that publish scientific books are eligible for the call. Any submitted book publications will only be considered if the publisher signs the [Publisher Agreement](#) with the SNSF.

The **authors**, or in exceptional cases (in particular in the case of several authors) the editors, of the book published as part of the OAPEN-CH pilot project must fulfil the personal requirements set out in Art. 10 of the [Funding Regulations of the SNSF](#) (new version of 27 February 2015, in force as of 1 January 2016): at the time of submitting their application, they must be employed as researchers at a Swiss institution or work as self-employed researchers and reside in Switzerland. Authors of doctoral or postdoctoral theses (or habilitations) are subject to the special provisions set out in Annex 2, Section 2.5 paragraph 5 [the General Implementation Regulations](#) of the Funding Regulations of the SNSF: during the writing of the work or at the time the application is submitted, there must be an institutional link to a Swiss higher education institution. In the context of this call for proposals, however, the authors are neither applicants nor will they become grantees of the SNSF if the relevant publisher is accepted.

#### 3.2 Specific participation requirements

**Book publications** are eligible for submission if the following criteria are met:

- Monographs and anthologies are eligible to participate in the pilot project. Theses that have been adapted for a broader readership may be submitted as monographs.
- The book to be published has been through a peer review process organised by the publisher (for information on the requirements for peer reviews and examples describing the peer review process, please refer to [this](#)). The peer review process will be set up on OAPEN Library.
- The publisher undertakes to publish the open access book under an established Creative Commons licence for the entire duration of the pilot project (regulated in the Publisher Agreement).
- The publisher undertakes to make the pilot publications available on its website, in the OAPEN Library, in at least one institutional repository, at the Swiss National Library and on Google Books (regulated in the Publisher Agreement).
- For each call, the publisher is involved in both publication models (see Chapter 2) and, for each publication model, it proposes one book publication for the experimental group and one for the control group. Publishing houses with a small range of publications may participate only in Model 1 in the second round.

## 4. Selection criteria and procedure

For selecting book publications that are published according to Model 1 or 2 in the pilot project, the criteria pursuant to item 4.1 and 4.2 are used.

### 4.1 Criteria for matching pairs of books (so-called "matched pairs")

When the data is analysed, the experimental group and the control group will be compared for both models. To allow both sets of books to be compared, the two publications submitted for Publication Model 1 or Publication Model 2 must be comparable to a certain degree. Therefore, **publishers selecting books must respect the following criteria**, which the SNSF uses when evaluating applications:

- The books must be in the same language.
- The books are from the same field of study and address a similar readership.
- Both have similar publication dates (important for Model 2).
- The books have approximately the same number of pages.
- The book publications that are subject to a charge (experimental and control groups) have approximately the same price (ideally the difference should not be more than 10%).

### 4.2 Criteria for selecting pilot books

The book publications included in the pilot project should form as broad a data basis as possible. **In its evaluation, the SNSF will therefore endeavour to select a balanced and representative set of pilot books** based on the following criteria:

- The pilot books represent an appropriate mix of languages and publishers of different provenance. When evaluating the second call, the SNSF will consider the entire sample, i.e. the pilot books of the first call will be included in the evaluation.
- The pilot books cover the publication types monograph and anthology.

### 4.3 Evaluation procedure

The SNSF appoints an **evaluation body** composed of four members of the Research Council for the Humanities and Social Sciences division. Based on the criteria set out under Section 4.1 and Section 4.2, the evaluation body will decide which books shall be published with the SNSF's support in the scope of the pilot project. The pilot books will not undergo an external review. Quality assurance will be based on the peer review process organised by the publishers.

If a book is selected for publication in the pilot project, the relevant publisher will receive a contract confirming its selection for the project. If a book is rejected, publishers will be informed by postal letter.



## 5. Reimbursement of costs

In **Model 1**, the publisher's actual costs for the book publication in the experimental and in the control group are covered. The production costs for open access book publications and for the printed (and possibly digital) book publications should be stated under the following cost items:

<b>Open access book publication</b>	<b>Printed (and digital) book publication</b>
Typesetting, layout	Typesetting, layout
Cover	Cover
Image editing	Image editing
Image rights	Image rights
Copy editing/proofreading	Copy editing/proofreading
Digitisation	Printing, paper, binding, digitisation
Publisher's services	
<ul style="list-style-type: none"><li>• Peer review</li><li>• Distribution or accessibility on platform</li><li>• Marketing</li></ul>	

Under **Model 2**, a blanket amount of CHF 5,000 will be provided to pay for the open access publication. No compensation will be granted for the books in the control group, because no additional costs are incurred with these publications.

The SNSF will assess the adequacy of the submitted [cost calculations](#) for the pilot publications in Model 1 and may reduce the amounts if necessary. The actual costs that can be detailed by the publisher will be reimbursed. If these costs are lower than expected, the SNSF will only reimburse the actual amount. If the costs exceed expectations, the publisher will have to substantiate the additional costs so that the SNSF can decide if they should be reimbursed.

The SNSF will provide the publisher with a form for setting out the production costs. The form detailing the costs must be submitted to the SNSF no later than three months after publication of the book via mySNF ("Request for release of funds"). Together with the verifiable actual production costs for the books in Model 1 and the books in Model 2, the Publisher Agreement with the author must also be uploaded. The payment will only be transferred if and when the SNSF is in possession of all necessary information and documents.

## 6. Data collection

The data collected and analysed in the framework of the project will concern:

1. Use (download, sale)
2. Production costs of open access and printed or digital publications
3. Recipients (libraries, book retailers, private persons)

The collected data will be treated as strictly confidential and analysed at set times in anonymised form. The participating publishers will not have access to the documents

of the other participants in the study. The data will be analysed by the OAPEN Foundation.<sup>1</sup>

**Usage of the pilot publications** will be analysed using sales data on the printed and digital book publications and the download figures for open access book publications.

- In view of the collection of **sales data**, the publishers will be obliged to record sales figures for each pilot publication on a monthly basis and provide them to the SNSF by the fixed analysis deadlines (see item 2). For Model 2 publications, monthly sales statistics as of the data of publication will be included in the pilot study.
- Depending on the platform, the **download figures** are collected either by the OAPEN Foundation or the publishers:
  - The OAPEN Foundation collects download figures from the OAPEN Library. OAPEN provides the publisher either with simple statistics comprising the number of downloads per collection period, or with a detailed analysis with comprehensive information on usage of individual books.
  - The download statistics for Google Books are collected either by the publishers themselves or by a "service provider" defined by the SNSF. If the books are made available on Google Books by the service provider, it shall provide the download statistics on book publications exclusively to the publisher in question.
  - Other download figures are collected directly by the publishers after upload of the publication to their website.

OAPEN Foundation also analyses the **citations** of the pilot books via Google Scholar and provides the data to the publisher in question.

The **production costs** are stated according to the pre-defined cost items (see reimbursement of costs in Chapter 5). The publishers are provided with a form for this purpose.

## 7. Workshops

In the first year of the pilot, a workshop was held where the participants shared their experiences and discussed the key issue of quality assurance on the basis of peer review. Based on the feedback received in the context of this workshop, the SNSF plans to organise another workshop in the second year of the project; cost structures in the case of open access book publications have been mentioned as a possible topic. Whether or not this workshop will take place will be examined and communicated in due course.

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<sup>1</sup> The [OAPEN Foundation](#) is a non-profit organisation that operates a platform for open access book publications (OAPEN Library) and provides various services to publishers and libraries in relation to the open access publication process.

Exchanges between other stakeholders in the open access publication process (authors, publishers, libraries, repositories, etc.) in order to share their experiences will be organised in case of need.

## **8. Submission of applications**

The book publications for participation in the pilot project OAPEN-CH are to be submitted by the publishers via mySNF.

## **9. Further provisions**

Unless otherwise stated in this call document, the provisions of the SNSF on research funding apply, particularly the Funding Regulations of the SNSF and their Implementation Regulations.

## **10. Contact**

Swiss National Science Foundation  
Humanities and Social Sciences division  
Wildhainweg 3  
P.O. Box 8232  
CH-3001 Bern  
Phone: +41 31 308 22 22  
pub@snf.ch | www.snsf.

## Agreement on the OAPEN-CH pilot project (Publisher Agreement)

between

the **Swiss National Science Foundation**, Wildhainweg 3, 3001 Bern, represented by the head of the Humanities and Social Sciences division (hereinafter: “SNSF”)

and

(hereinafter: “Publisher”)

### 1. Principles; object of the Agreement

<sup>1</sup> The present Agreement governs collaboration between the SNSF and the undersigned Publisher under the OAPEN-CH pilot project.

<sup>2</sup> The OAPEN-CH pilot project is designed both to gain experience of the open access publication process and to collect data on the use of open access book publications and on the costs incurred in producing them. The object, goal and timetable of the pilot project as well as the process for selecting pilot books are described in detail by the SNSF in the “OAPEN-CH” call document.

<sup>3</sup> The parties agree to collaborate on the pilot project in a spirit of cooperation and respect and to support one another in order to jointly achieve the goals of the pilot project. They mutually guarantee that they will share any acquired knowledge with one another (e.g. during scheduled workshops). They endeavour to meet the agreed deadlines and to complete the defined work packages on schedule.

<sup>4</sup> Signing the present Agreement (Publisher Agreement) does not confer on the Publisher any assurance that the SNSF will select for participation a book publication submitted under the “OAPEN-CH pilot project” call for proposals.

## 2. Obligations of the SNSF

If book publications submitted by the Publisher are selected by the SNSF for the pilot project, the SNSF will provide the services named in the following.

### 2.1 Financial and operational support

<sup>1</sup> During the open access publication process, the SNSF will provide the Publisher with support of a financial (see 2.2) and operational nature (including placing pilot books in the OAPEN Library and on Google Books).

<sup>2</sup> The SNSF reserves the right to delegate certain tasks under the pilot project to the OAPEN Foundation. It has contractually stipulated those services to be provided specifically by the OAPEN Foundation.

<sup>3</sup> In the first pilot year, the SNSF will organise a workshop to enable publishers to share their experiences with publishing open access books. The SNSF is prepared to organise further workshops if it considers this necessary to bring the project to a successful conclusion.

### 2.2 Reimbursement of publication costs

<sup>1</sup> The SNSF will reimburse the Publisher for publication costs subject to the following conditions:

- a) **Model 1:** The SNSF will reimburse the Publisher for the actual costs of publishing books in the experimental group and the control group.
- b) **Model 2:** The SNSF will pay the Publisher a flat sum of CHF 5,000 to permit open access publication of a book in the experimental group. Under Model 2, no reimbursement is paid by the SNSF for books in the control group.

<sup>2</sup> On receiving a submission, the SNSF will examine the accuracy of the cost calculations presented for pilot publications under Model 1 and implement cuts where necessary.

<sup>3</sup> In accordance with paragraph 1a above, actual costs substantiated by the Publisher will be reimbursed. If these costs are lower than calculated, the SNSF will reimburse the actual amount only. If the actual costs are higher, the Publisher is required to substantiate the additional outlays and the SNSF will examine whether they can be reimbursed.

<sup>4</sup> The SNSF will provide the Publisher with a cost claims form to ensure that costs can be reported according to uniform criteria. Payment will be made 30 days after receipt of the cost claims form.

## 3. Obligations of the Publisher

If book publications submitted by the Publisher are selected by the SNSF for the pilot project, the Publisher agrees to publish and disseminate the pilot books in accordance with the conditions stipulated in the text of the call for proposals.

### **3.1 Publication models**

<sup>1</sup> Books submitted to and selected by the SNSF under the funding instrument “OAPEN-CH pilot project” will be published by the Publisher within the framework of the publication models defined in the text of the call for proposals:

- a) Model 1: The book in the experimental group is immediately made available in open access mode with no embargo period. At the same time, it is published in a pay-for printed (and possibly digital) version. The book in the control group is published in a pay-for printed (and possibly digital) version.
- b) Model 2: A book published approximately 24 months previously will be made available open access in the experimental group and remain on the market in a pay-for printed (and possibly digital) version. A second book published approximately 24 months previously will be allocated to the control group and remain available exclusively in a pay-for printed (and possibly digital) version.

<sup>2</sup> Depending on the nature of the call for proposals, the Publisher will participate in both publication models.

### **3.2 Publication and licensing**

<sup>1</sup> The Publisher will publish open access books in the experimental group under one of the well-established Creative Commons licences. This permits third parties to use the pilot books in compliance with the terms of the Creative Commons licence selected.

### **3.3 Locations and length of placement**

<sup>1</sup> The Publisher grants the SNSF the non-exclusive right to make the pilot publication freely accessible in the OAPEN Library in accordance with the Creative Commons licence selected. For this purpose, the Publisher will provide the necessary metadata (see 3.5). The publication is made freely accessible in the OAPEN Library for the entire duration of the project. The pilot publication may be removed early from the OAPEN Library for professional or administrative reasons.

<sup>2</sup> The Publisher will offer the pilot publications in the experimental group on its own website both as an open access publication and in a pay-for printed (and possibly digital) version.

<sup>3</sup> The Publisher will also deposit the pilot books in at least one institutional repository in Switzerland, with the Swiss National Library and on Google Books.

<sup>4</sup> In the event the Publisher does not itself wish to deposit the pilot books on Google Books, it will assign this task to the SNSF. The Publisher undertakes to join the Google Books Partner Program and to sign a consent form authorising the OAPEN Foundation as service provider to the SNSF to deposit pilot books on Google Books.

<sup>5</sup> If Google is proven to be acting in violation of legal provisions, the Publisher is no longer obliged to make pilot books accessible on Google Books.

<sup>6</sup> The obligation to place books in the OAPEN Library, on Google Books and on the Publisher's website ends upon conclusion of the pilot project.

### **3.4 Proof of production costs**

<sup>1</sup> The Publisher will detail the production costs for all pilot books on the form provided by the SNSF. Costs falling under the following categories must be indicated:

- Experimental group (open access publications): Publishing services such as peer review, platform placement, marketing, composition, layout, image processing, image rights, cover, editing, proofreading, digitisation.
- Control group (printed and/or digital publications): Publishing services such as peer review, platform placement, distribution and marketing, composition, layout, image processing, image rights, jacket/cover, editing, proofreading, paper, printing costs, bookbinding, digitisation.

### **3.5 Data delivery**

<sup>1</sup> The Publisher will provide the SNSF with the following data for the purpose of placing pilot publications in the OAPEN Library:

- The digital file of the pilot publication and the technical specifications in accordance with the requirements of the OAPEN Library to ensure that the publication can be readily integrated into the catalogue and made available as a download in the OAPEN Library
- A description of the peer review procedure followed for scientific publications
- Details of the Creative Commons licence selected
- All relevant details of the pay-for printed (and possibly digital) publications so that interested parties can be directed to the website where they are available
- All relevant details of the digital publications and available formats (e.g. versions for e-readers)
- All relevant details of changes to the range of publications available, as well as the associated information

<sup>2</sup> Insofar as the SNSF itself does not have access to the respective evaluation options (e.g. Publisher's website, Google Books, etc.), the Publisher will provide the SNSF with monthly data on the use and sales of pilot books in accordance with the provisions contained in the text of the call for proposals.

<sup>3</sup> A Publisher which is or intends to become a member of the OAPEN Foundation may itself place open access book publications on the OAPEN Library platform together with the necessary metadata (instructions will be provided in the text of the call for proposals). All further obligations arising from the present Agreement remain unaffected by this.

### **3.6 Compliance with statutory requirements**

The Publisher undertakes to comply with statutory requirements (namely, the protection of intellectual property, respect of personal rights, etc.) with regard to all book publications submitted under the pilot project. The Publisher also provides an assurance to meet all obligations arising from contracts with third parties.

## **4. Handling of personal and other confidential data**

<sup>1</sup> The SNSF is authorised to communicate all data to the OAPEN Foundation for the purpose of evaluation. The SNSF contractually obligates the OAPEN Foundation to

comply with Swiss data protection provisions and to anonymise personal data used for evaluation under the pilot project. This notwithstanding, the SNSF is not liable for any violation by the OAPEN Foundation of statutory data protection provisions or contractually agreed stipulations on the handling of data.

<sup>2</sup> The contracting parties undertake not to communicate confidential data on any persons participating in the pilot project to unauthorised third parties (either within or outside the project). They will observe the provisions of data protection.

## **5. Duration of the Agreement; termination**

<sup>1</sup> The present Agreement enters into force upon signature by both parties and remains valid until conclusion of the “OAPEN-CH” pilot project on 31 December 2017. The Agreement may be extended in writing and subject to the consent of both parties.

<sup>2</sup> The Publisher Agreement is not applicable if the Publisher does not submit any book publications under the pilot project or the SNSF does not select the submitted books for publication.

<sup>3</sup> The Publisher and the SNSF may terminate the present Agreement if the other contracting party is in serious violation of obligations under the Publisher Agreement or if the obligations under the Publisher Agreement are repeatedly violated by the other contracting party.

<sup>4</sup> Notification of termination in accordance with paragraph 3 of this provision must be given in writing and subject to a one-month period of notice to the end of a calendar month.

## **6. Serious violation of obligations by the Publisher**

If the present Agreement is terminated on the grounds of the Publisher being in serious violation of obligations under said Publisher Agreement, the Publisher is obligated to return to the SNSF any reimbursement received for the costs of producing the respective pilot books.

## **7. Disputes**

The parties will endeavour to amicably settle any differences or disputes arising from the present Agreement. If no consensus reached, the place of jurisdiction is Bern. The Agreement is subject to Swiss law.



The parties to the Publisher Agreement designate the following persons to be responsible for its implementation:

For the SNSF: Head of the Humanities and Social Sciences Division

For the Publisher:

Bern, \_\_\_\_\_, den \_\_\_\_\_

Swiss National Science Foundation

\_\_\_\_\_  
Head of the Humanities and  
Social Sciences Division

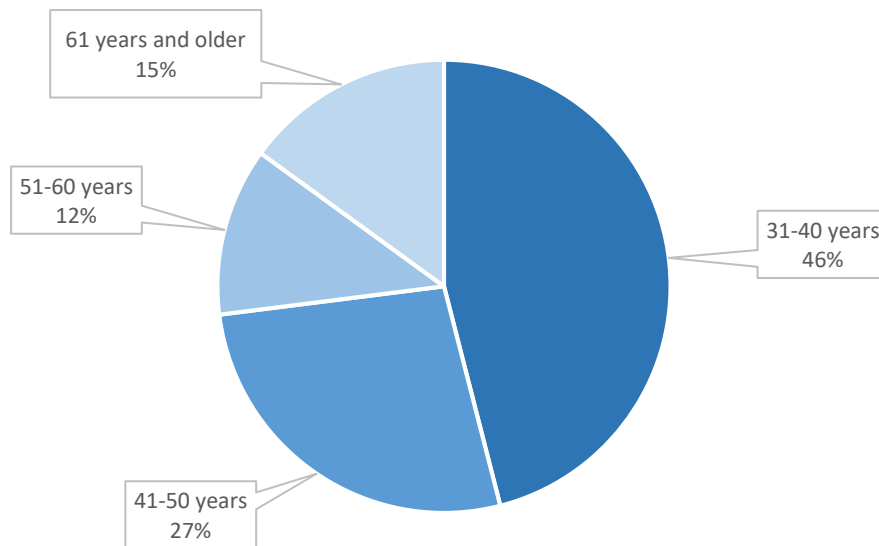
## **Annex 5 – Published data**

Raw data on usage, sales and production costs as well as raw data of the author's survey are stored on Zenodo. Please use the following DOI: [10.5281/zenodo.1216822](https://doi.org/10.5281/zenodo.1216822).

## Annex 6– Survey of authors

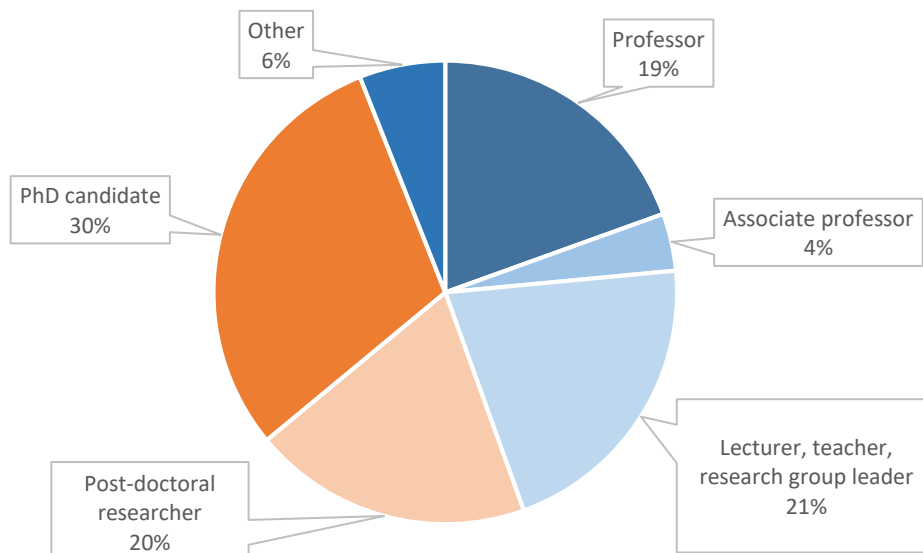
**Figure 5.10: Age (N= 82)**

*What is your age?*

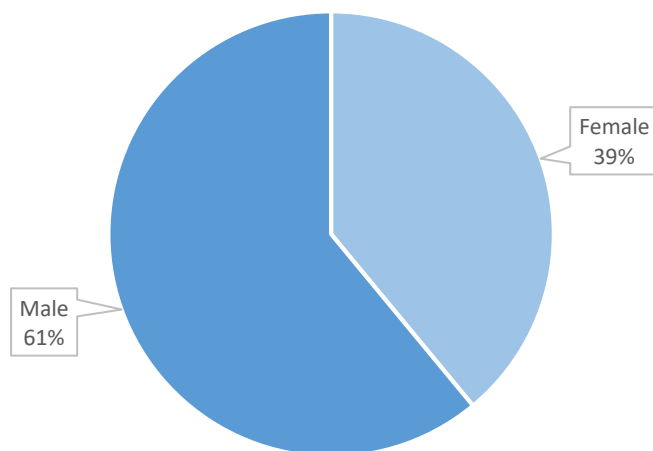


**Figure 5.11: Position (N = 82)**

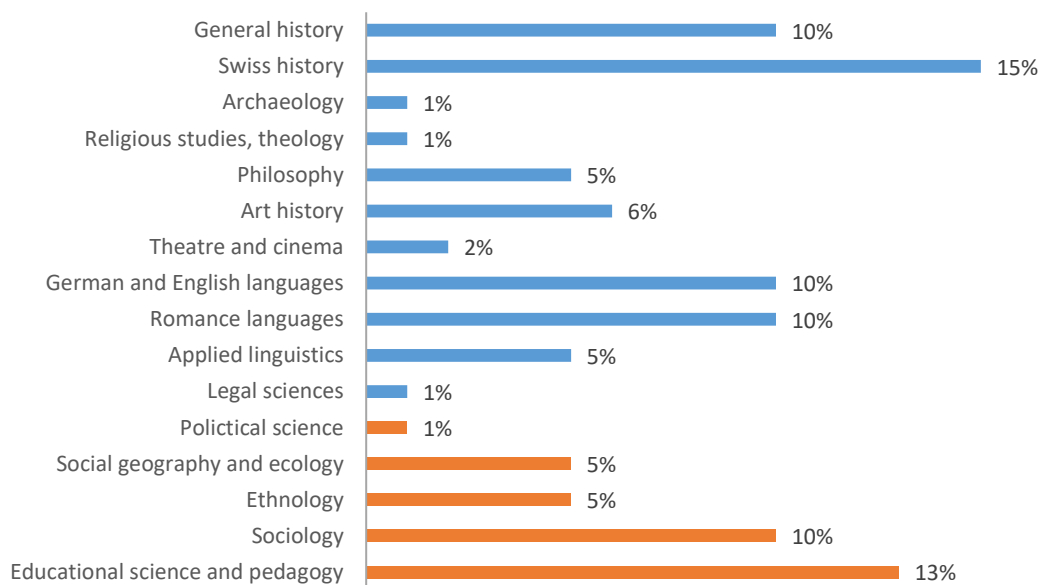
*Please indicate the position you held while you were writing your monograph.*



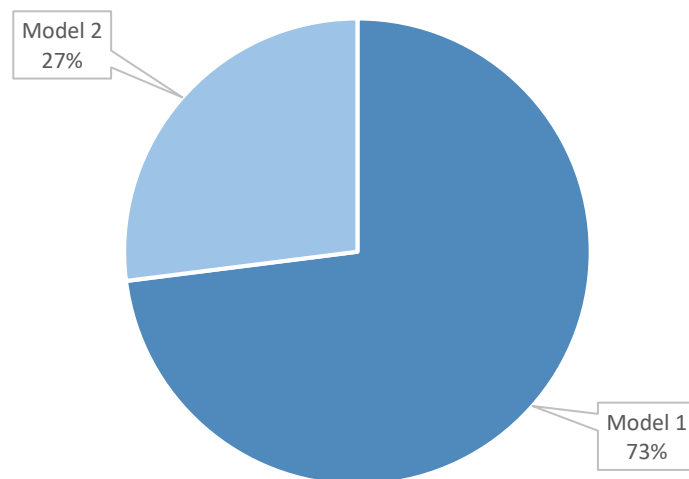
**Figure 5.12: Gender (N = 82)**



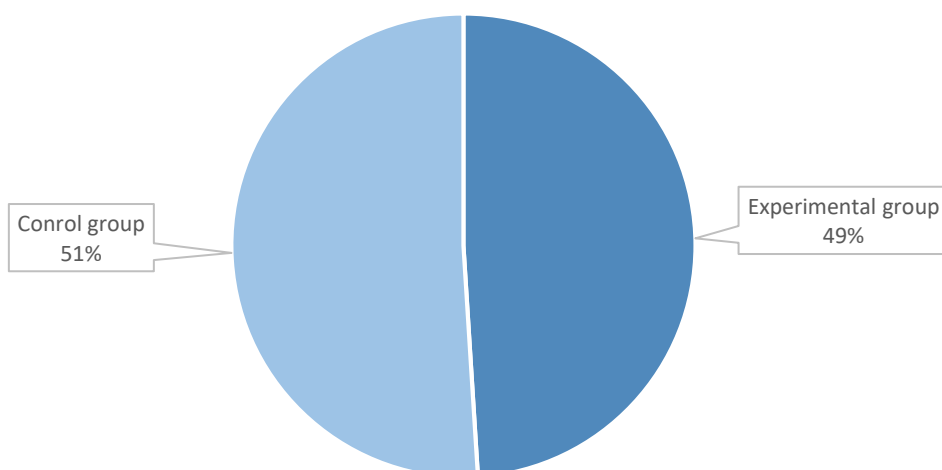
**Figure 5.13: Scientific discipline (N = 82)**



**Figure 5.14: Model 1 and 2 (N = 82)**

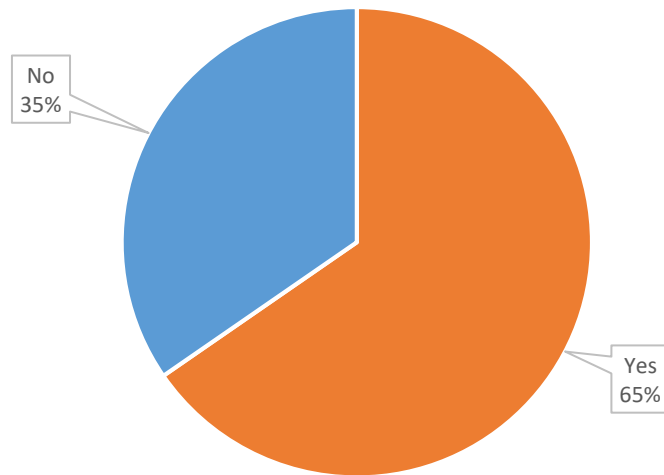


**Figure 5.15: Experimental group and control group (N = 82)**



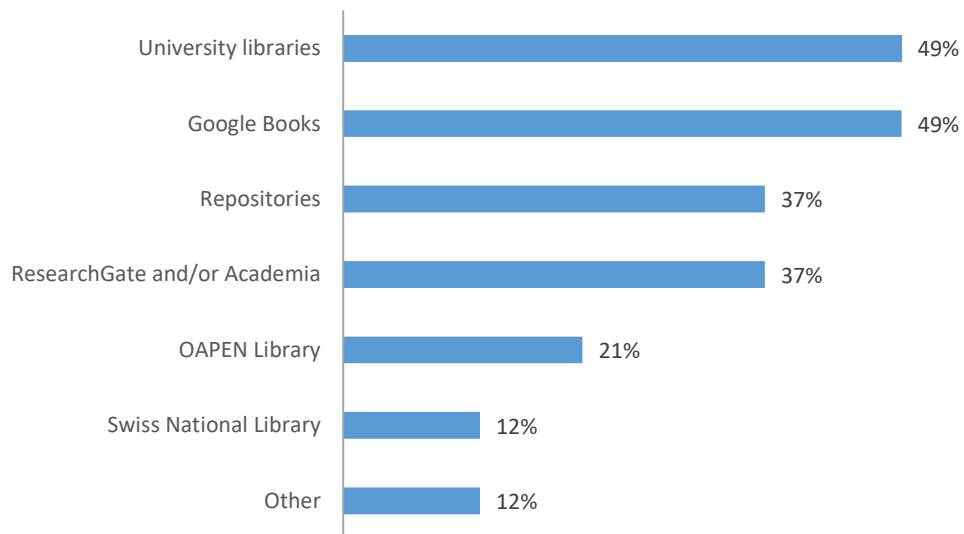
**Figure 5.16: Consultation of scientific e-books (N = 78)**

*Do you consult (scientific) e-books yourself?*



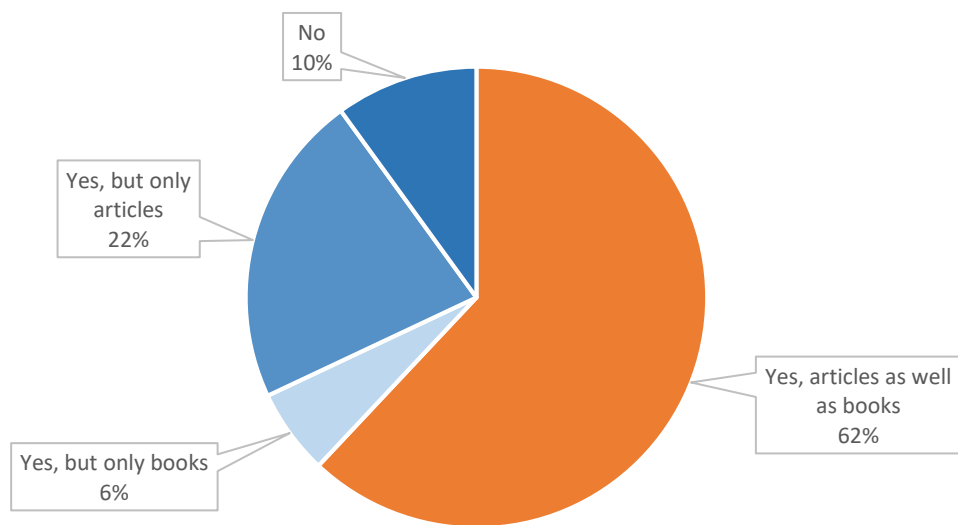
**Figure 5.17: Use of e-book platforms (N = 51)**

*Which platforms do you use to consult e-books? (multiple answers possible)*



**Figure 5.18: Publications available electronically (N = 82)**

*Are your publications available electronically (for free or for charge)?*



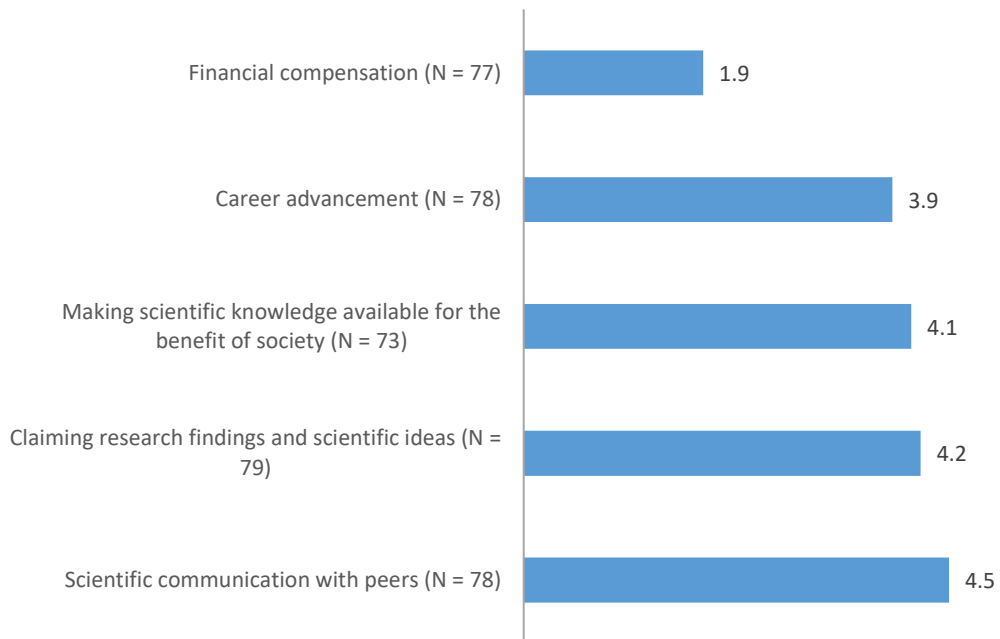
**Figure 5.19: Share of publications available electronically (N = 74)**



**Figure 5.20: Publishing motives**

*There are several motives for academics to publish their work. Could you indicate the importance of the following potential motives for you as an academic?*

1 = very unimportant, 2 = unimportant, 3 = neutral, 4 = important, 5 = very important



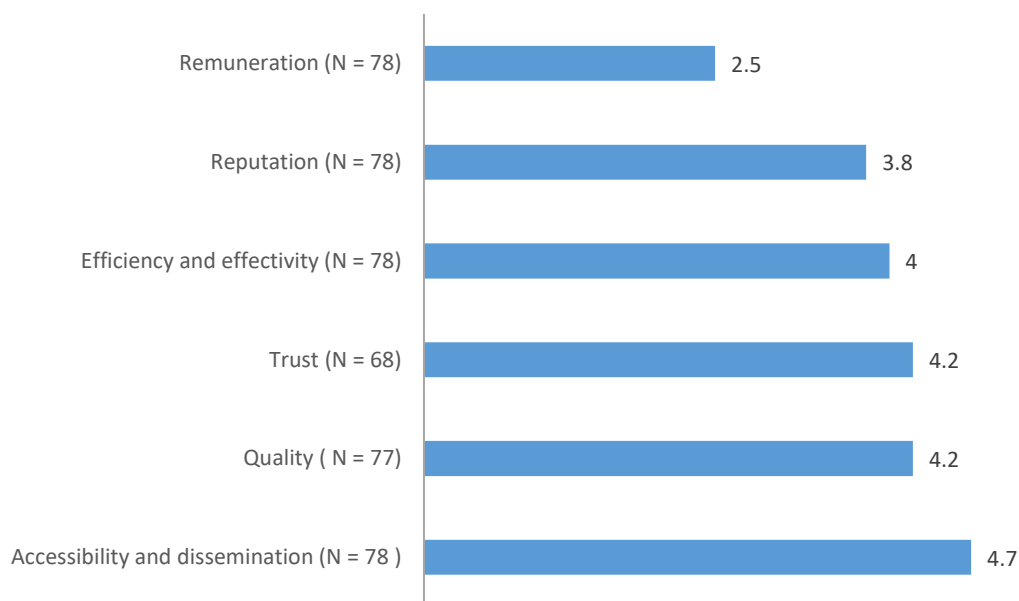


### Figure 5.21: Values in scientific communication

*Publishing and scientific communication in general are cornerstones of scientific progress. In that system, a number values and goals play a crucial role. Could you indicate, based on your professional opinion, the importance of the following values and goals in scientific communication?*

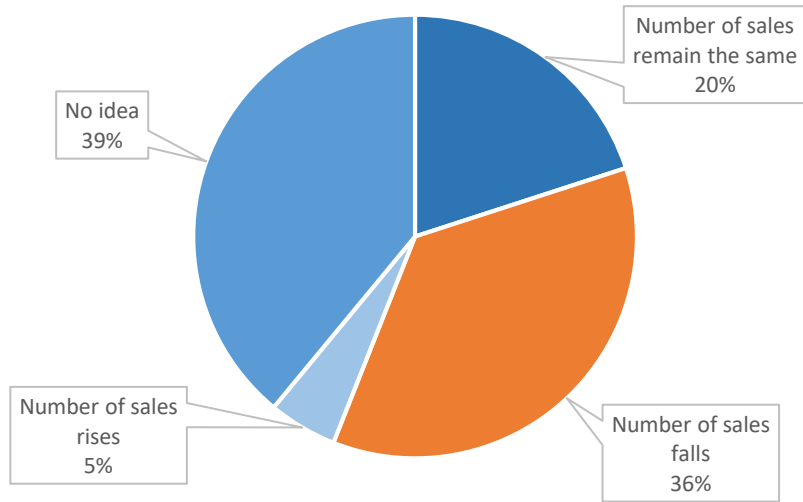
*(Remuneration: forming a basis for compensation of publishing scholars; Reputation: by improving status leading to easier access to research funds as well as career advancement; Efficiency and effectivity: use resources appropriately and offer the useful services to academic authors and readers; Trust: providing stability, continuity and guaranteed quality, assuring integrity and access to scholarly content by trusted preservation and curation; Accessibility and dissemination: the possibility to disseminate and to provide maximum access to scientific work, technically and economically)*

1 = very unimportant, 2 = unimportant, 3 = neutral, 4 = important, 5 = very important



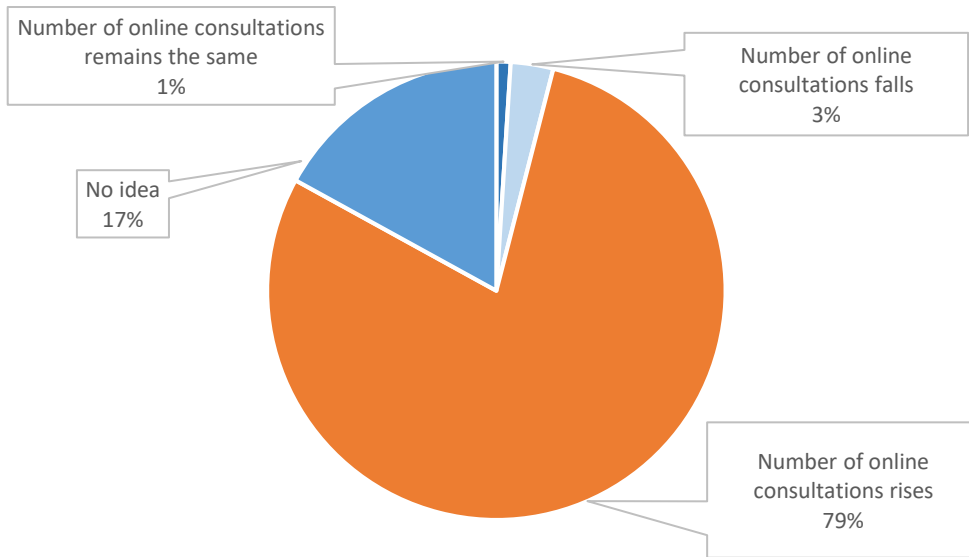
**Figure 5.22: Influence of open access on sales (N = 77)**

*Does open access influence the number of sales, in your opinion?*



**Figure 5.23: Influence of open access on online consultations (N = 77)**

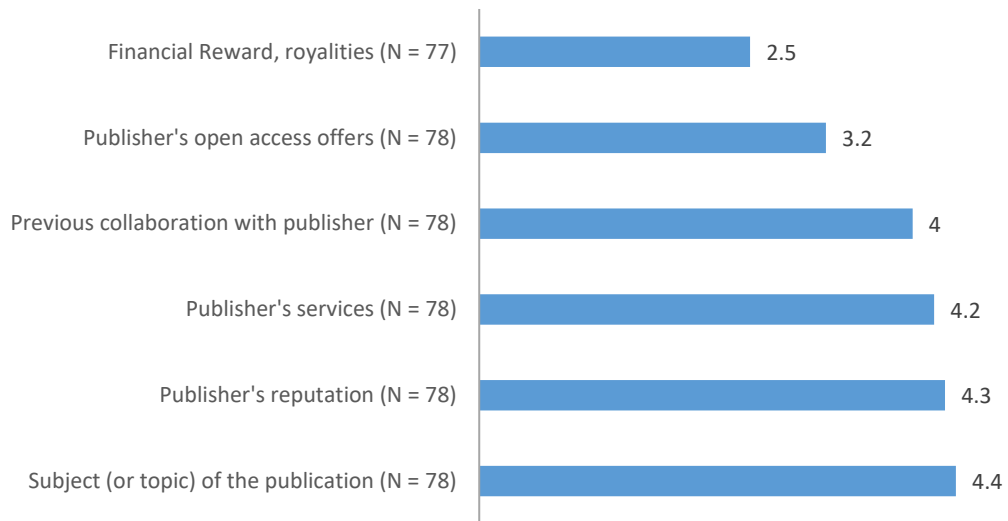
*Does open access influence the number of online consultations compared to online consultations of fee-based e-books, in your opinion?*



**Figure 5.24: Choice of publisher**

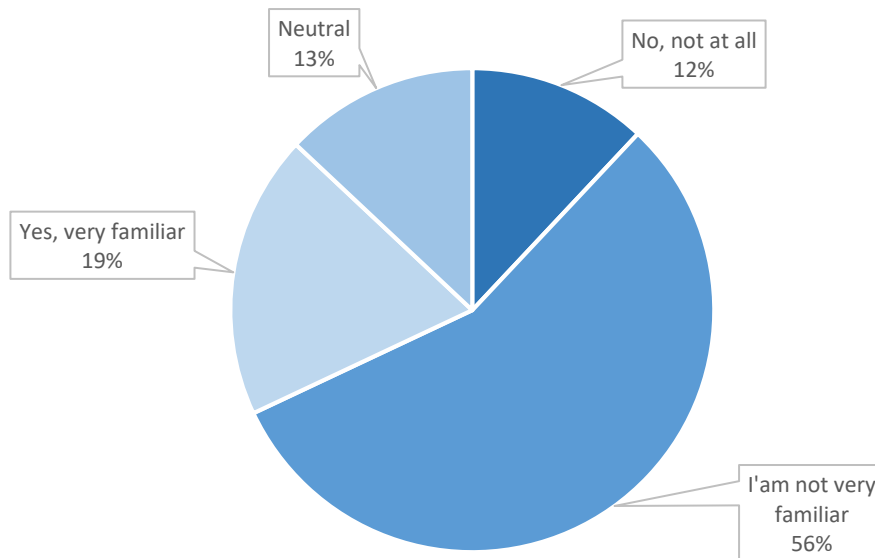
How important are the following motives for your choice of a publisher?

1 = very unimportant, 2 = unimportant, 3 = neutral, 4 = important, 5 = very important



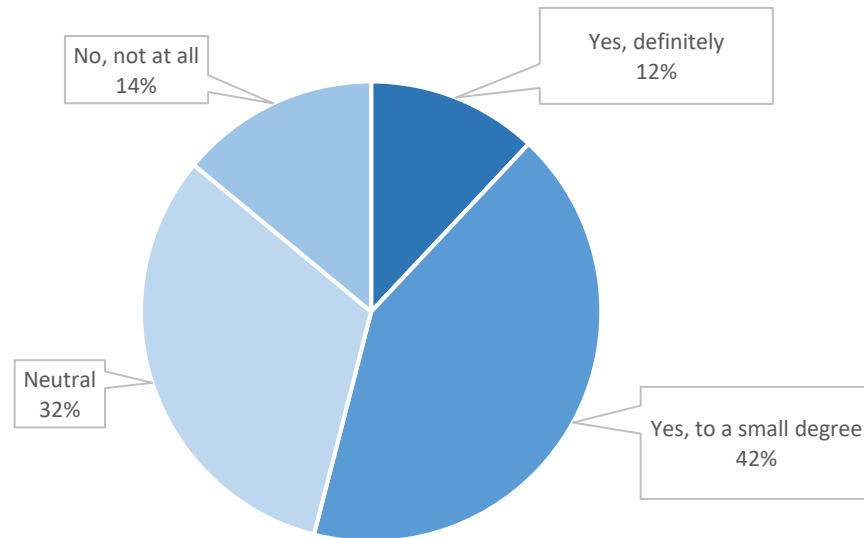
**Figure 5.25: Familiarity with open access (N = 78)**

Were you familiar with open access publishing before you became involved in the pilot project OAPEN-CH?



**Figure 5.26: Knowledge about open access publishing (N = 78)**

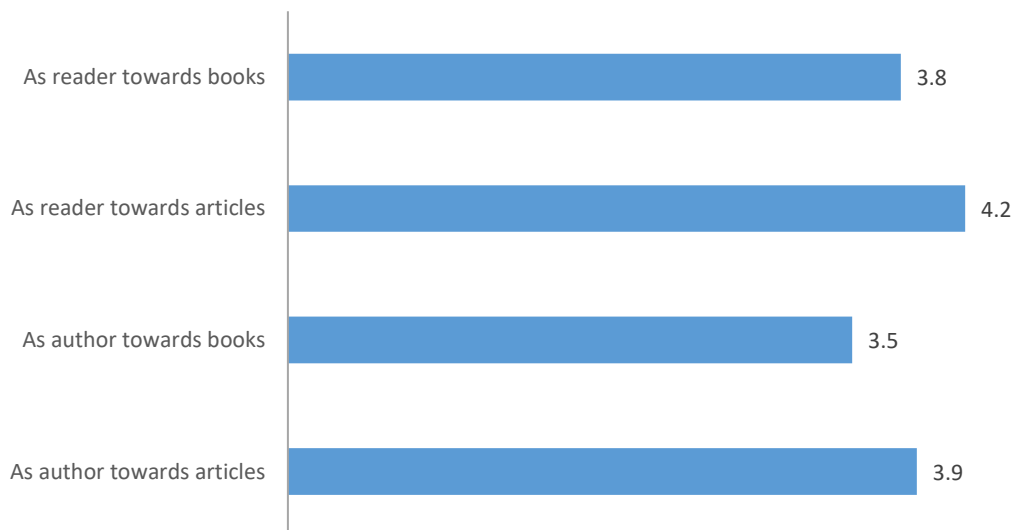
*Has the involvement in the pilot project OAPEN-CH improved your knowledge about open access publishing?*



**Figure 5.27: Attitude towards open access publishing prior to involvement in OAPEN-CH (N = 78)**

*Which of the values below best describes your attitude towards open access publishing prior to your involvement in the OAPEN-CH pilot project?*

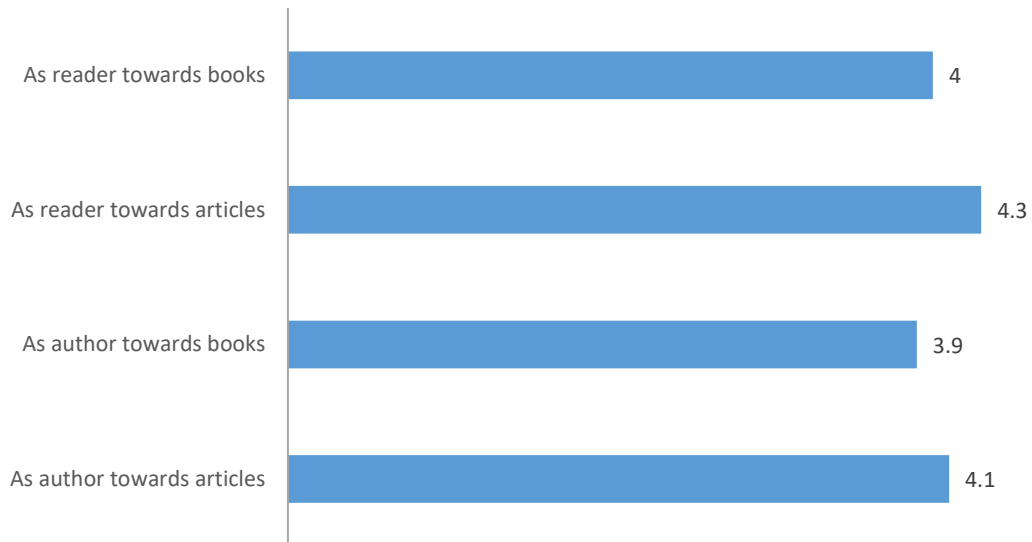
1 = very negative, 2 = negative, 3 = neutral, 4 = positive, 5 = very positive



**Figure 5.28: Attitude towards open access publishing after the involvement in OAPEN-CH (N = 77)**

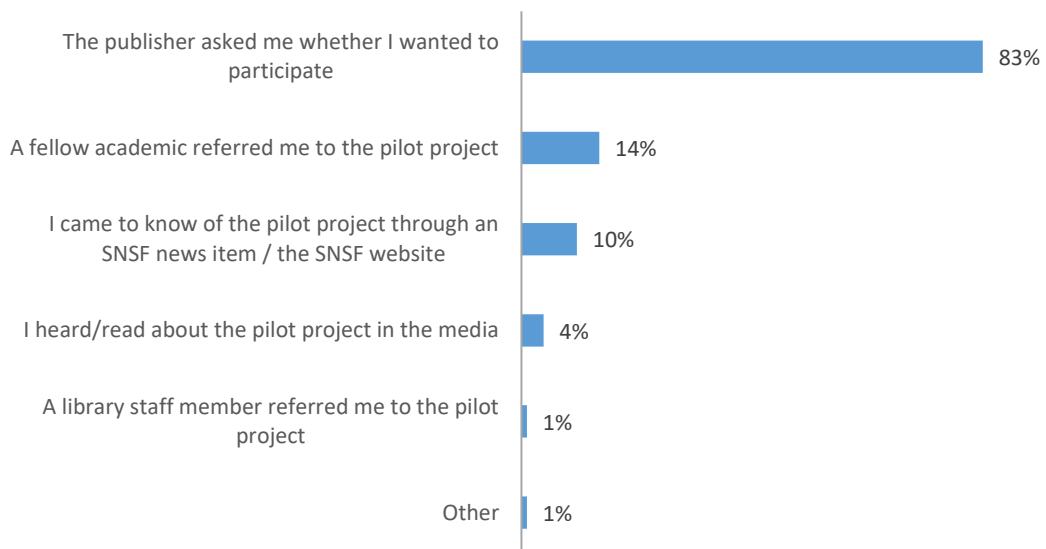
Which of the values below best describes your attitude towards open access publishing after your involvement in the OAPEN-CH pilot project?

1 = very negative, 2 = negative, 3 = neutral, 4 = positive, 5 = very positive



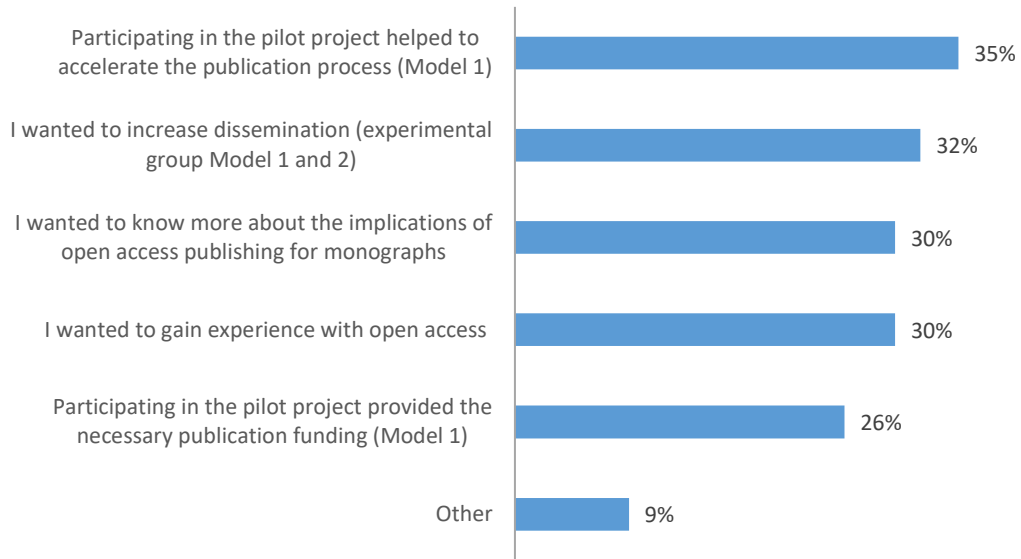
**Figure 5.29: Participation in OAPEN-CH (N = 77)**

How did you become aware of the OAPEN-CH pilot project? (multiple answers possible)



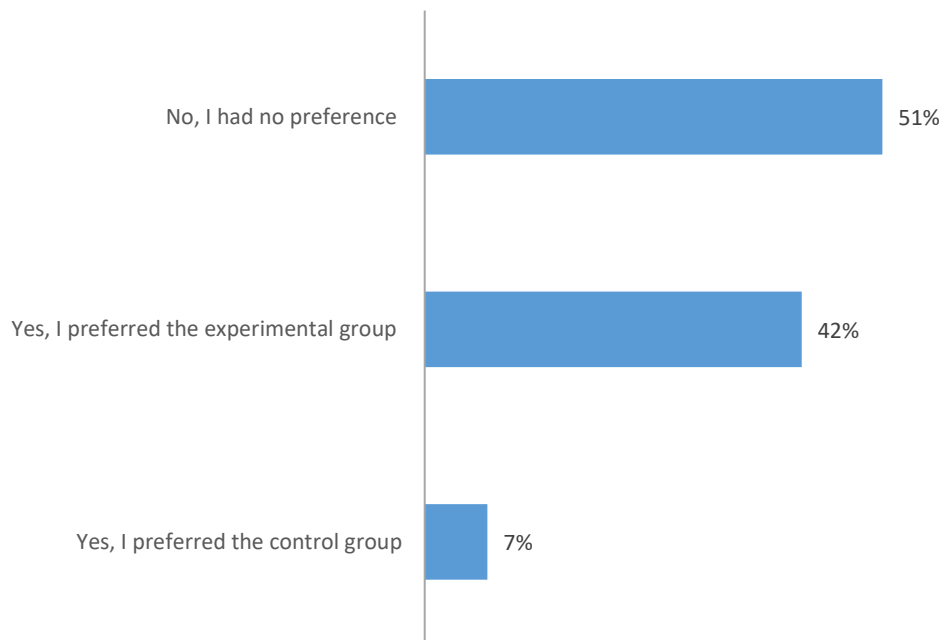
**Figure 5.30: Reasons for participation in OAPEN-CH (N = 77)**

Why did you participate in the pilot project? (*multiple answers possible*)



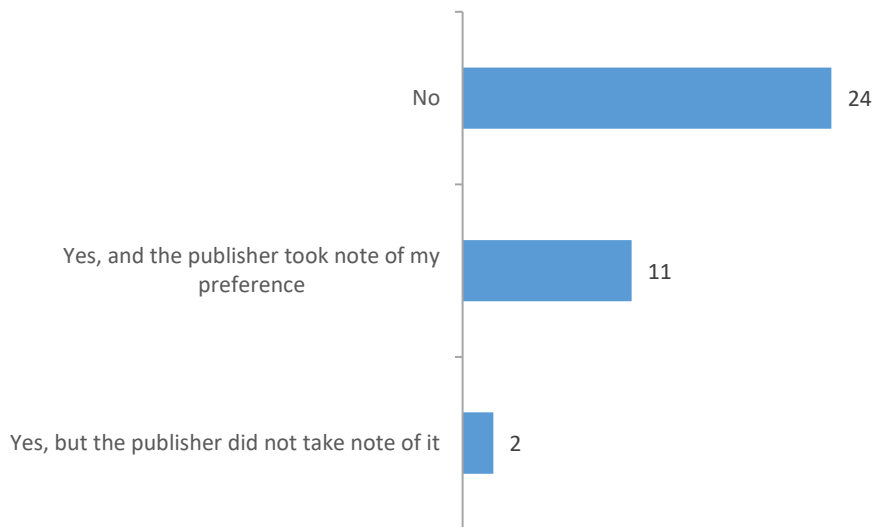
**Figure 5.31: Preference for experimental group (printed and open access editions) or control group (printed edition without open access) (N = 76)**

Did you prefer one of the two groups?



**Figure 5.32: Informing publisher about preference (number, N = 37)**

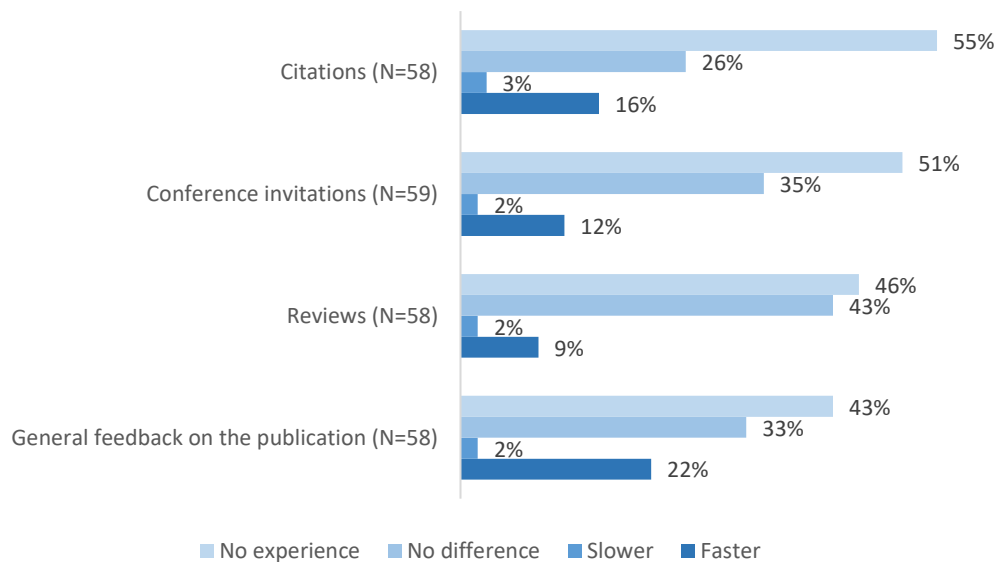
*In case you had a preference for one of the groups, did you inform the publisher ?*



**Figure 5.33: Reception of open access publications – swiftness**

*The following question is only relevant for participants whose pilot book was published in an open access edition (experimental group Model 1 and Model 2).*

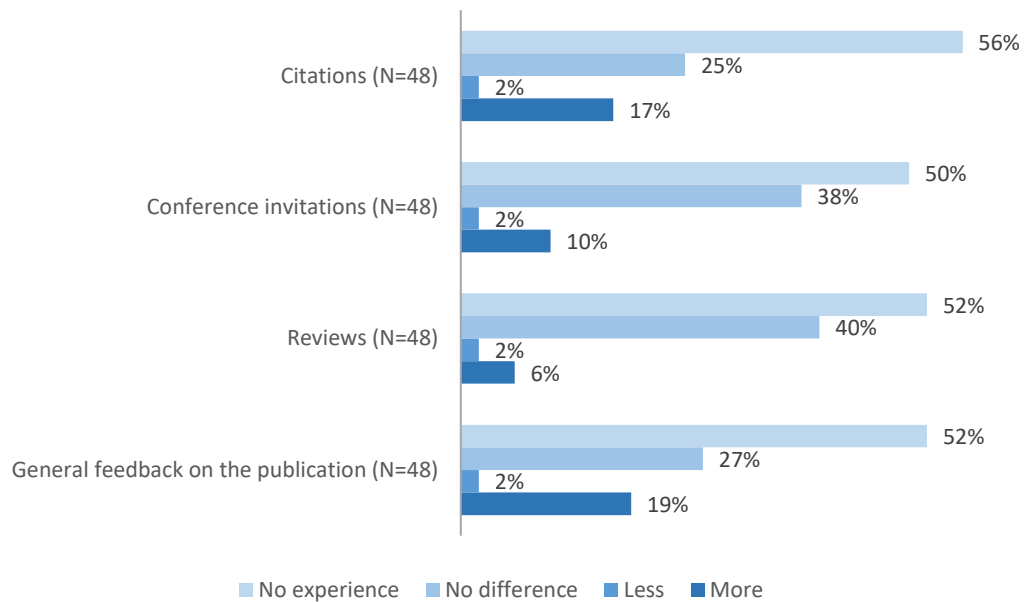
*What is your initial experience with open access publishing within the pilot project, compared to publishing printed books, with regard to reception?*



**Figure 5.34: Reception of open access publications – frequency**

The following question is only relevant for participants whose pilot book was published in an open access edition (experimental group Model 1 and Model 2).

What is your initial experience with publishing open access within the pilot project, compared to publishing printed books, with regard to reception?



**Figure 5.35: Influence of open access on publisher selection (N = 74)**

When choosing a publisher or a journal in the future, will you give greater consideration to open access?

