

OPERAS-P

OPEN SCHOLARLY COMMUNICATION IN THE EUROPEAN
RESEARCH AREA FOR SSH - PREPARATION

WP6 Innovation

D6.2 Report on innovative business models in publishing

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DRAFT



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- PREPARATION

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Report on innovative business models in publishing

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General introduction

This report has been created as one of the deliverables of the OPERAS-P Task 6.2 (Innovative business models) of the OPERAS-P project. The main objective of this task is to develop, collate and share information about alternative funding models for open access (OA) books. So far, in order to fulfill this aim the following activities have been completed:

1. **Academic Libraries and OA Books in Europe: A Landscape Study by Rupert Gatti and Agata Morka (Part 1 of this document)**. This report was published in February 2021, as a result of a desk research and 14 interviews conducted with librarians representing 14 European countries: the OPERAS core members: (Croatia, France, Germany, Greece, Italy, Poland, Portugal, Slovenia, and the Netherlands), with addition of Spain and the Nordic countries (Denmark, Finland, Norway, Sweden). It examined each country according to the following areas of interest: 1. general characteristics of library systems for e-content and OA publications, 2. library community and open access, 3. OA book policies, 4. OA book funding, 5. library/scholar-led OA book publishing initiatives, and 6. integration of OA books in library systems. It was published in two versions: as a static file and as an open document, which the community can comment on.
2. **Innovative business models for OA books: case studies report by Rupert Gatti and Agata Morka (Part 2 of this report)**. This report analyzes 9 case studies of publishers employing innovative business models for books and outlines challenges each of the presented models encounter.
3. **Four workshops for librarians** (put together in collaboration with the COPIM project), in which we discussed OA books publishing initiatives and gathered feedback on a proposed collective funding model. We hosted two country-focused workshops (one for Germany, prepared in cooperation with open-access.network on July 31st, 2020 and one for Poland on August 13, 2020) and two regional ones: one for the Nordic countries with Denmark, Finland, Norway and Sweden (on September 30, 2020), and one for Southern Europe with Croatia, Greece and Slovenia (on October 8, 2020). Feedback from these workshops was documented in a series of blog posts/reports on the COPIM website:
 - a. [Library Support for OA Books Workshop:the German perspective](#)
 - b. [Library Support for OA Books Workshop:the Polish perspective](#)
 - c. [Library Support for OA Books Workshop: the Scandinavian perspective](#)

- d. [Library Support for OA Books Workshop:the Southern European perspective](#)
4. **One workshop on business models for OA books** (in partnership with [OASPA](#)), April 2021, to be followed by two more.
 5. **Review of existing OA books policies:** [a document](#) collating existing funder OA book policies in Europe. The document is open, so that the community can add new entries and collaboratively work on updating this database.
 6. **Interviews with publishers** conducted for Part 2 of the present report will be hosted online by the [Open Access Books Network](#) and will form the basis for a broader community collated collection of publishers' profiles. New presses will be encouraged to submit their own responses to the template used for these interviews in order to create an open database of business models for OA books case studies.
 7. Following the task's objectives we have also **participated in two COPIM workshops**: one for publishers (on March 16) and one for librarians and publishers based in the US (on May 13 prepared in cooperation with University of Michigan, MPublishing, and Lyrisis).
 8. We have **presented** the finding of the report on academic libraries and OA books during the following conferences:
 - a. The OPERAS conference "Opening up Social Sciences and Humanities in Europe: From Promises to Reality", November 2020 (presentation)
 - b. OPERAS-P "The Future of Scholarly Communication" WP 6 conference, February 2021 (workshop)
 - c. Open Science Göttingen Meet-up, March 2021 (presentation)
 9. We were asked **to write an article** based on the academic libraries report's findings for Commonplace.

Executive summary

One size does not fit all! This seems to be the general consensus among researchers looking at business models for open access (OA) books. In 2018 the *OPERAS White Paper on Open Access Business Models* concluded that there was "no single model among these that could fund open access monograph publishing on its own or that would work for all players" (Lara Speicher et al., 2018). Two years later the *COPIM Revenue*

Models for Open Access Monographs report developed this thought further, providing an overview of a plethora of models, noting that “a large number of OA publishers mix several of the revenue models thus blurring the lines between them” (Penier et al., 2020). The diversity of approaches identified by COPIM reflects a publishing landscape in a state of exploration. Rather than relying solely on models based on Book Processing Charges (BPCs), there are publishers actively exploring and implementing alternative models. We wanted to have a closer look at them.

At the same time, the last fifteen years have witnessed the emergence of a new role for academic libraries. Besides fulfilling their fundamental task of providing access to knowledge, besides being called everything from temples of knowledge to disturbing heterotopias, libraries have become one of the crucial stakeholders in the open access book publishing space. They act as funders for OA book fees, they support collaborative funding schemes, and sometimes they assume the role of publishers themselves. In an attempt to create a sustainable publishing environment, in which OA books could blossom, it is therefore necessary to first gain a sound understanding of how academic libraries work, how they deal with open access initiatives, and what challenges they encounter. We wanted to have a closer look at these issues.

This report consists of two parts, which complement each other. Part 1 focuses on the academic library landscape in Europe and the relationship these libraries have with OA books. Part 2 analyzes existing innovative business models applied to OA books, as exemplified in nine chosen case studies of publishers based in Europe.

The academic libraries landscape painted in this report is by no means exhaustive; there are many more countries in the European community, other than the fourteen we have looked at, that need further investigating. The sample that we have taken under closer inspection proved to be a lively and diverse organism that escapes any easy overarching classifications. In order to better understand the role of academic and research libraries in Europe regarding open access books, we have looked at several crucial aspects that would help us both identify common threads and pinpoint regional particularities. We have examined each country according to the following areas of interest: 1. general characteristics of library systems for e-content and OA publications, 2. library community and open access, 3. OA book policies, 4. OA book funding, 5. library/scholar-led OA book publishing initiatives, and 6. integration of OA books in library systems.

A general look at academic libraries’ systems in the chosen fourteen European countries has revealed certain polarities. While in some countries libraries enjoy relative autonomy in their decision-making processes and budget spending (e.g. Germany, Norway), in others they rely heavily on centralised systems, where Ministries of Education play a decisive role

in the state budget allocations per institution and collection building on a national, rather than institutional, level (e.g. Croatia, Poland).

It is a common practice across Europe for libraries to come together and form consortia, which represent the collective interests of participating libraries, especially when it comes to discussing deals with major publishers and negotiating terms of access to the e-content. Such organisms can develop on a regional (e.g. Spanish regional consortia), national (e.g. Couperin in France) or even transnational level (GASCO for German speaking countries, including Germany, Austria, and Switzerland).

The European library community is characterised by the presence of numerous library associations, which treat open access as one of the critical points of discussion. On the one hand, well-established librarian networks with long history (e.g. the Italian Libraries Association, established in the 1930s, or BAD, the Portuguese Association of Libraries in Archives, established in 1973) have created special interest groups to deal with OA-specific topics. On the other hand, new organisations united around the issues of open science are emerging in the European library community (e.g. ENABLE! in Germany). The abundance of these initiatives across Europe shows the scale and importance of library engagement in open access publishing practices.

OA book policies are slowly being introduced across Europe. Only three out of the fourteen countries we looked at have introduced national OA policies that include books (France, Poland, the Netherlands). Slovenia, in its OA national strategy, encourages – yet does not mandate – OA for books.

Institutional OA mandates exist in all investigated countries, with some also having funder-specific OA requirements (e.g. NWO, the Dutch Research Council).

OA book-specific funding remains a rarity in the countries we have looked at. Out of the fourteen cases, only four countries (Germany, the Netherlands, Finland, and Norway) have OA book-dedicated funds, some on the national, others on the institutional or funder's level. The presence of such funds in these four countries does not come as a surprise: they are also among the European pioneers of the open access movement. In the remaining ten countries OA book publications are most commonly funded through researchers' grants, with a pool of the grant money allocated towards OA publication fees.

Library or scholar-led OA book publishing initiatives have not (yet) gained momentum in Europe. While there are several emerging projects involving libraries, in most cases they are not large in scale (e.g. FF Open Press at the University of Zagreb). Among the pioneers of innovative OA book publishing models are Germany, Denmark, Finland, and Sweden. There are also few examples of projects partially subsidised by the national

fundings (OA books from the Faculty of Arts at the University of Ljubljana, Slovenia and the Kallipos+ project in Greece). In the majority of the investigated countries, however, such initiatives do not exist.

When it comes to integration of the e-content with library catalogues, libraries across Europe rely on the aggregators they choose to partner with; therefore, the presence – or lack thereof – of OA books in local catalogues depends on how well they are covered by these partners. Since the OA book coverage by major aggregators tends to be patchy (a concern expressed by several of the interviewed librarians), in many cases, where resources allow, OA book records are introduced to local catalogues manually. The DOAB is mentioned by librarians as the source of metadata for OA books that they use and often link to on the libraries' websites.

Findings of this report suggest that there is potential to create an EU-wide consortia funding model for OA books. There is an incontestable interest in OA books in general coming from the European academic library community. Despite this enthusiasm, however, one needs to be mindful that a project of such scale will be faced with numerous challenges.

There are deep discrepancies between the members of the European Community when it comes to dealing with open access issues. In the Nordic countries, Germany and the Netherlands it has become one of the pivotal aspects of scholarly communication; institutions are supportive, and there are funding schemes allowing libraries to invest in OA book publishing initiatives. Other regions still struggle with full integration of OA publications in their library ecosystems: there is insufficient funding, not enough human resources, little autonomy of decision-making on an institutional level and hence little room for experimentation.

After having examined the European academic library landscape, it seems clear that it will be difficult, if not simply impossible, to try to find a single model for an EU-wide collaborative funding scheme for OA books. Since, however, there are several regional trends and similarities between the examined countries, it would seem prudent to gather them into clusters based on these similarities and create a variety of models that would work for centralised and decentralised systems, and for both OA veterans and novices.

Following the investigation of the academic library landscape, we focused on publishers. We have analyzed nine Europe-based OA book publishers who use business models which either depart from relying on Book Processing Charges (BPCs) completely, or use mixed models, where BPCs are one of several revenue streams. In order to better understand how they work, we have interviewed representatives of these nine publishing

houses. We looked at several crucial aspects that would help us both identify common threads and pinpoint particularities of applied models. We have examined each case according to the following areas of interest: 1. publisher's general profile, 2. workflows, 3. business model, 4. sustainability and 5. challenges.

The sample we have looked at is by no means exhaustive and should not be treated as a general reflection on the business models landscape for OA books in Europe. It is simply a collection of different approaches, analyzed in detail by practitioners of each chosen model. We have sought diversity in approaches, structure and geographic location in this sample of publisher, rather than universal inclusiveness. By providing an online template for these case studies we hope to encourage other publishers to provide details of their own models, to complement the case studies provided here.

The majority of examined cases (five out of nine) are university presses; there are three independent scholar-led presses and one press associated with a learned society. Most of them declare that their yearly OA book output is between six to ten books, with one press reaching forty books per year (Open Book Publishers) and one reaching fifty (University of Ljubljana, Faculty of Arts Press).

They tend to rely on small teams, on average consisting of two to three people working full time for the press. In atypical cases, there were presses where the number of FTEs was zero (meson press), others with one person dedicating only part of his time to the press (University of Tilburg). In most cases OA book-related duties were combined with other publishing, research or administrative functions.

Seven of the analyzed presses publish only open access works, while the remaining two combine OA with closed access publications. There are cases of OA publishers which began as OA publishers and of OA publishers who made the decision to transition to OA, either partially or fully. While all the cases are similar in their choices of preferred licences (CC BY, with exceptions allowed for CC BY-NC, CC BY-ND, or CC BY-NC-ND), they differ in the formats in which their books are available: some producing PDFs only, others combining PDF with EPUB, MOBI, xml, html and Print on Demand options.

Workflows do not appear to differ significantly from those applied to non-OA books. When it comes to acquisitions, however, the examined presses do not rely on acquisition editors actively looking for authors, but rather on editors' or institutions' networks which they use to attract book proposals. The presses also benefit from unsolicited proposals submitted to them directly by authors. All of the examined publishers offer print editions, they rely on partners to produce and distribute them, linking to their website for purchases of print copies.

Distribution of digital copies is another area frequently outsourced by the examined presses. Most popular distribution channels for digital editions are their own websites (in all cases digital editions of the books are downloadable from presses' websites), and the OAPEN. Those presses who do not outsource distribution tend to struggle with dealing with it by themselves and declare that, together with preservation, this is the area in which they would like to invest more energy in the future. The question of preservation proves to be challenging for publishing houses which do not outsource this part of the publishing process. We have seen cases where preservation has not been addressed at all, or where the press relies solely on an institutional repository or a National Library. Open Book Publishers stands as an exception in this group with its exceptional engagement in the questions of distribution and preservation, also through the COPIM project.¹

In all cases, when asked about the sustainability of their model, interviewees replied positively; however, they were not shy to also list the challenges they were facing. Among the challenges raised, it was the lack of human resources, funding and the reliance on a single revenue stream that seemed to be worrying the interviewees most. Some also mentioned administrative hurdles they faced especially during the process of establishing their presses and their models. Others highlighted the importance of open infrastructure, without which they would not be able to operate.

This report is just the first step in a closer examination of alternative business models for OA books. It will be complemented by a series of workshops carried out in April and May 2021. These workshops, together with the findings of the present report, will inform our final report, expected to be published at the end of June 2021.

¹ For details see COPIM Work Package 5: Building an Open Dissemination System <https://www.copim.ac.uk/work-package/wp5/> and Work Package 7: Archiving and Digital Preservation <https://www.copim.ac.uk/work-package/wp7/>



Part 1: Academic Libraries and Open Access Books in Europe. A Landscape Study

Introduction

This part of the report has been created as a result of cooperation between the OPERAS-P and COPIIM projects. They share similar interests in exploring innovative revenue models for open access books.

As part of the Work Package 6 at OPERAS-P we are investigating existing and emerging business models that depart from the Book Processing Charges scheme and often involve libraries in the publishing processes.

As part of the Work Package 2 at COPIIM we are creating a model based on cooperative library funding for OA books.

OPERAS, being a research infrastructure and COPIIM, being a partnership of its stakeholders complement each other, allowing for a thorough approach and a wide-lenses view on the scythe scholarly communications ecosystem.

Background to the OPERAS-P project

The OPERAS-P project supports the OPERAS Research Infrastructure by furthering the development of the infrastructure in view of achieving the necessary scientific, technical and community maturity.

The key objectives of the OPERAS-P project are as follows:

- Produce the necessary documentation defining OPERAS' strategy and implementation to support the ESFRI application.
- Support the preparation phase of the infrastructure by implementing a legal framework, a governance and support the implementation and coordination of services.
- Prepare a long-term, evidence-based strategy for the development of the infrastructure and its services
- Ensure outreach and advocacy for open scholarly communication in social sciences and humanities, developing a communication strategy on the infrastructure and

supporting the expansion of the consortium, and enhancing innovation for the future of scholarly communication practices in social sciences and humanities.

Background to the COPIM project

[COPIM](#) (Community-led Open Publication Infrastructures for Monographs) is an international partnership of researchers, universities, librarians, open access book publishers and infrastructure providers. Funded by the [Research England Development \(RED\) Fund](#) and [Arcadia](#) – a charitable fund of Lisbet Rausing and Peter Baldwin, COPIM is building community-owned, open systems and infrastructures to enable OA book publishing to flourish.

COPIM will develop a significantly enriched not-for-profit and open source ecosystem for OA book publishing that will support and sustain a diversity of publishing initiatives and models, in the UK and internationally. To achieve its aims, the project is divided into seven work packages ranging from the technical (building open-source, community-based infrastructures that support the publication and dissemination of OA books), through to advocacy and knowledge sharing activities (establishing and consolidating partnerships between HE institutions and OA book publishers).

Aims

This report reviews existing academic and research library systems for e-content and OA book procurement. It looks into how the e-content is integrated into library catalogues and e-learning environments in chosen European countries. It examines how library communities work and deal with open access books under local OA policies. It also identifies existing funding streams, collective funding groups and consortia and looks closely at emerging new initiatives in OA book publishing, particularly those involving libraries in their publishing process.

Scope

While this report draws heavily on the Knowledge Exchange *Landscape Study on Open Access and Monographs: Policies, Funding and Publishing in Eight European Countries* (Ferwerda et al., 2017), which sheds light on how open access monographs are handled, it also aims to expand the previous work's horizons, adding new territories of exploration. Next to the often considered Western European countries, we have included those which are sometimes overlooked, trying to paint a more balanced picture of the academic library systems in Europe and understand the challenges they are facing under different regional

circumstances.

We have included 14 European countries: the OPERAS core members: Croatia, France, Germany, Greece, Italy, Poland, Portugal, Slovenia, and The Netherlands, with the addition of Spain and the Nordic countries. The United Kingdom is out of the scope of this report since the UK-specific report will soon be published as an outcome of research conducted in the context of COPIM's [Work Package 2](#).

The present report is informed by COPIM's *Revenue Models for Open Access Monographs* ([Penier et al., 2020](#)) report, which helped to explain and systematise different approaches towards OA books publishing when it comes to the used revenue models.

Methodology

The report is based on a systematic literature review, desk-based research, and, perhaps even more importantly, on what we heard from the European library community in interviews and workshops. In 14 interviews, representatives of each of the analysed countries were asked general questions about country-specific library systems, OA policies and OA books publishing initiatives (see [Appendix 1](#)).

Four workshops – including two regional events for the Nordic countries (Denmark, Finland, Norway, Sweden) and for Southern Europe (Croatia, Greece, Slovenia), as well as two country-based ones for Germany and Poland – gave us a chance to ask more specific questions about roadblocks, selection criteria, and budget allocations for OA book-related projects. A survey which participants were asked to complete prior to these workshops shed more light on the level of familiarity with existing OA books publishing initiatives (see [Appendix 2](#)). A set of short reports, discussing main take-aways from each of the workshops, has been published in the form of blog posts on the COPIM website. The workshops will continue to take place in Q1 of 2021, in order to cover all the countries included in this report.

In the final stage of report preparation, we asked the interviewees for their feedback on country-specific components and COPIM colleagues for their feedback on the document. Although we were striving to paint as nuanced a picture of the landscape as possible, we acknowledge that, especially when it comes to emerging OA book publishing initiatives, there might be more out there, whose existence we are not aware of.

The interviews have been conducted by Agata Morka, who has also organised all the workshops, and has written the present report. Rupert Gatti, as the OPERAS-P Work Package 6.2 leader, has supervised all the steps, providing general structure for the

performed tasks and co-leading the workshops.

Definitions

The term “library” in this report is used to signify academic and research libraries, connected to Higher Education Institutions (HEIs). Public libraries are excluded from the scope of this report. National and special libraries might be mentioned if their role is deemed significant in handling/producing OA books.

In this report, we define OA books as both scholarly monographs and edited volumes, published open access. Textbooks, having different methods of usage and acquisition criteria, are not covered by the OA book definition, therefore they are specifically referred to as “textbooks”.

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Croatia

Key findings

- Academic libraries in Croatia have relatively little autonomy and their



collection development strategies depend on the institutional and state budget

- The open access movement has a long history in Croatia, with lots of initiatives brewing in the library community
- There is no official national OA policy; some institutions have their own OA/Open Science policies
- There are no OA book-specific funds in Croatia
- There are several library/scholar-led OA book publishing initiatives in Croatia
- Libraries rely on aggregators for OA books coverage

General library system for e-content and OA publications

Croatia, with its 9 public and 2 private universities, 11 public and 4 private polytechnics, 3 public and 22 private colleges, and 25 public research institutes, has approximately 95 academic and research libraries (*Upisnik knjižnica Upisnik knjižnica u Republici Hrvatskoj*, n.d.). Croatian higher education and research institutions are funded via institutional funding from the Ministry of Science and Education, via project funding by the National Science Foundation, and via own-income sources. Croatian academic and research libraries' services and collections are partly funded by the institutional budget, and partly directly by the state budget.

Since the Croatian academic and research community is rather small, libraries' digital collections are acquired mostly by consortial agreements at the national level and funded directly by the state budget (additionally, in the past four years, a significant proportion of funds was obtained from the European Social Fund). The license agreements with major publishers are negotiated and signed by the National Academic Consortium led by the National and University Library.

Several institutions and their libraries subscribe to (or purchase) additional e-resources for their users, with their own institutional budgets (e.g. University of Zagreb and the University of Rijeka). There are no dedicated financial lines for OA content, either at the national or institutional level.

Within this rather centralised system, there is little freedom for individual libraries when it comes to shaping their collections or investing in innovative projects, as they rely on ministerial policies and budget restrictions. The National and University Library in Zagreb,



the oldest library in Croatia, acts as the central academic library for the country.

Library community and open access

It is hard to talk about an actual academic library system in Croatia, as it is more of a sum of dispersed initiatives, shaped by more active institutions, groups and individuals carrying on the OA and OS projects at the national, regional or local level. Librarians are generally in favour of open access, and, in many institutions, they are the main promoters of OA. This bottom-up approach, especially when it comes to the open access movement, has resulted in two important projects that currently act as the main systems for Croatian scientific e-content.

The oldest OA infrastructure in Croatia is the Croatian Scientific Bibliography **CROSBI**, launched in 1997, which aims to collect information on all scholarly outputs of the Croatian researchers. Beside prevalent publication types like journal articles, books, and conference proceedings papers, CROSBI also stores theses, software, pre-prints and other types of research output. Metadata on more than 600,000 research outputs have been stored in CROSBI, many of them with full-text available in OA, since CROSBI serves as a national repository too.

The key component of the Croatian infrastructure for e-content is **DABAR** (Digital Academic Archives and Repositories). DABAR is a collaborative project uniting numerous Croatian academic institutions and researchers. It is strongly connected with both the University of Zadar and the Ruder Boskovic Institute. DABAR “provides technological solutions that facilitate maintenance of higher education and science institutions’ digital assets” and its current database consists mainly of Master’s and undergraduate theses (*What Is DABAR? | Digital Academic Archives and Repositories*, n.d.). Within DABAR, 10 groups work on different aspects of the infrastructure, such as, for example, the interoperability with other repositories, questions of preservation and user functionalities.

HRCAK, on the other hand, is the national portal for Croatian scientific journals offering open access to their content. HRCAK offers tools for print journals to switch to digital form and services for editors that help boost their journals’ visibility. Currently, HRCAK does not cover books.

OA book policies

As of 2013 the Law on Science and Higher Education mandates deposition of undergraduate, graduate and doctoral theses in open access; however, Croatia does not



have a national OA policy (*Zakon o Znanstvenoj Djelatnosti i Visokom Obrazovanju - Zakon.Hr*, n.d.). Although open access is mentioned as part of the development strategies of the Ministry of Education, released in 2014, no official plan for the OA implementation has been released (*Strategy for Education, Science and Technology*, 2017).

As a bottom-up initiative, the **Croatian Open Access Declaration** was published and signed by Croatian researchers and librarians, calling for a sustainable national infrastructure that would be able to ensure open access to Croatian scientific publications (*Declaration - Open Access - Otvoreni Pristup Znanstvenim Informacijama*, n.d.). In 2015, the Croatian Rectors' Conference formulated a document in favour of the introduction of a national OA policy (*Vrednovanje Znanstveno-Istraživačkog Rada i Promicanje Otvorenog Pristupa Znanstvenim Informacijama i Istraživačkim Podacima*, 2015).

There are currently two Croatian institutions with registered OA policies in the ROAR map: the Ruder Boskovic Institute (which specifically mentions books), and the University of Zagreb, Faculty of Electrical Engineering and Computing.

OA book funding

No specific OA book funds exist in Croatia. Open access publications can be funded as part of larger research projects. The National Science Foundation (NSF) is the main funder of research in Croatia. Through its programmes, OA publications can be funded, but the overall dissemination and cooperation funds are capped at 20,000 EUR (which hardly enables financing BPCs on a national level). As a funder, the NSF does not mandate OA, and the NSF is not a signatory of Plan S.

Beside support for OA journals at Croatian academic and research institutions (only a limited number of journals is eligible for government subsidies, and an even smaller number fulfills evaluation criteria), there are no dedicated OA publishing schemes. However, the longstanding tradition of state subsidies for scientific publishing, with separate lines for journals and books, has a key role in the scholarly publishing landscape in Croatia. For journals, OA is the requirement that needs to be fulfilled in order to be eligible for subsidies, but for books it is not (both print and e-books are subsidised).

Library/scholar-led OA book publishing

Library or scholar-led OA book publishing initiatives have begun to spread in Croatia. However, there are only a few academic institutions with such practices in place. One example is the University of Zagreb Faculty of Humanities and Social Sciences Library,



with its **FF Open Press** platform (*FF Open Press - Izdanja Filozofskog Fakulteta u Zagrebu u Otvorenom Pristupu*, n.d.), where the books published by the institution's press are made openly available. At the University of Zadar, there is an open access publishing platform **MorePress** (*MorePress*, n.d.) for journals and books. There are also some very small scholar-led projects with open-access books in humanities; for example, publications of the Croatian Ethnological Society (*O HED Biblioteci – Hrvatsko Etnološko Društvo*, n.d.) or the e-library Stilistika, but their common problem is a lack of support for professional e-publishing.

Integration of OA books in library systems

Academic library discovery systems rely on EBSCO services, which include OA books, with uneven coverage. There are no special discovery systems for OA content: all publications, both open and closed, are handled by the same system.

Occasionally, some libraries will include specific open access titles in their library catalogues, but not in a systematic way.

Important contributors

- **Dabar (Digital Academic Archives and Repositories)** <https://dabar.srce.hr/en>
- **Hrcak** <https://hrcak.srce.hr>
- **CROSBIB** <https://www.bib.irb.hr/>
- **Croatian Academic and Research Network CARNET** <https://www.carnet.hr/en/>
- **PUBMET conference** <http://pubmet.unizd.hr/pubmet2020/>
- **The National and University Library in Zagreb** <https://www.nsk.hr/en/>
- **Croatian Science Foundation**
<https://hrzz.hr/en/the-foundation/organizational-structure/>
- **FF Open Press** <https://openbooks.ffzg.unizg.hr>
- **MorePress** <https://morepress.unizd.hr/>

Denmark

Key findings

- The Danish library system is in transition, with the newly-merged Royal Danish Library acting as both national library and university library
- The library community is tight-knit, with numerous projects and working groups covering OA
- The national OA strategy is a point of reference for institutional OA policies. It excludes monographs
- There are no OA book-specific funds in Denmark
- There are few library/scholar-led OA book publishing initiatives
- Libraries rely on a cloud-based system (Alma); it covers OA books

General library system for e-content and OA publications

The Danish library system has been undergoing a profound transformation over the past three years. In 2018 a study, commissioned by the Ministries of Culture and the Ministry of Research and Education, took a closer look at the library landscape in Denmark. The report, which followed the study, has made several recommendations for the future of Danish libraries. Among other things, it recommended consolidating library services within the Royal Danish Library by, for instance, transferring the existing library consortium to it, thus shutting down DEFF (Denmark's Electronic Research Library) in June 2019 (*Licensforhandling Skal Samles På Det Kgl. Bibliotek*, n.d.).

The Royal Danish Library (RDL), which was created as a result of a merger between the State and University Library in Aarhus and The Royal Library in Copenhagen on January 1st 2017, is now the key player within the Danish library system (Danmark Får et Samlet Nationalbibliotek — Det Kgl. Bibliotek, n.d.). Its role is two-fold, as it fulfills the responsibilities of a national library, and at the same time is a university library for five Danish universities: Aarhus University, University of Copenhagen, Aalborg University, IT University and Roskilde University.

Until June 2019 **DEFF** acted as a Danish library consortium covering research, educational and special libraries (Beagrie, Charles, 2014). The project launched in 1998

and played a crucial role in negotiating license agreements with publishers. As of June 2019 the DEFF dissolved and its responsibilities as a national license consortium were moved to the Royal Danish Library, following the principle of efficiency. With this move a new governance structure was formed where universities in Denmark (incl. the Rectors' Conference) in collaboration with the Royal Danish Library, develop strategy and provide a total, clear strategic negotiation mandate to the largest national negotiations. Beside the eight universities in Denmark, the consortium also includes a number of university colleges and other higher education institutions, research centres, hospitals and other public agencies.

Library community and open access

Denmark, being a small country, enjoys the benefits of a close network of academic librarians. As open access in general is very much present on the universities' agenda, there have been numerous projects and working groups dedicated to the OA questions. However, no formalised OA-specific forum among librarians exists.

The Danish Open Access Indicator is a tool used by the Ministry of the Higher Education and Science in order to measure compliance of the Danish universities' published research output with the national open access strategy. It publishes statistics on a yearly basis, covering three main categories: realised open access (publications released as OA), unused open access rights (for publications released as non-OA in journals with embargoes of up to one year), and blocked open access (for publications released as non-OA in journals with an embargo period exceeding one year).

OA book policies

Denmark launched its national OA strategy in 2014. In its initial form it aimed at achieving open access to 80% of Danish peer-reviewed scientific articles published in 2016 by 2017, arriving at 100% of those published in 2021 by 2022.

The strategy was revisited in 2018 and in its current state it is aiming to have 100% of all peer-reviewed articles from Danish research institutions in open access by 2025, allowing for a maximum 12-month long embargo period. It covers scientific journals and conference proceedings, leaving out monographs, edited volumes and PhD theses. Another revision of the strategy is planned for 2021-2022 (*Denmark's National Strategy for Open Access*, 2018).

The strategy is being treated as a point of reference for OA-related issues by individual

universities, which follow its principles in forming their OA policies.

Currently, there are eight institutions with open access policies registered in the ROAR map. Among them two mention books specifically: Copenhagen Business School, Roskilde University.

OA book funding

Public BPC-specific funds do not exist in Denmark. Until May 2020, the University of Southern Denmark's library was the only institution offering an OA-specific fund (up to 100,000 EUR per year to cover APCs and BPCs alike). The increasing interest in the fund made it impossible to sustain its existence. Since the official closure of the fund, the researchers of the University of Southern Denmark have been encouraged to upload their publications to Pure (*Open Access Fund*, n.d.).

Library/scholar-led OA book publishing

Library or scholar-led OA book publishing initiatives are rare, if not non-existent, in Denmark.

Among the rare examples is the Aarhus University - with its platform dedicated to un-edited OA material, incl. books - and Aalborg University Press, closely cooperating with the university library.

Aarhus University offers its researchers a chance to deposit their books, PhD dissertations and working papers. The service, run on the Open Monograph Press software, is provided at no fee to authors (provided they are affiliated with the university) and offers no editorial intervention. Authors are asked to submit their manuscripts as camera-ready PDF copies. Published books are available as PDFs with assigned ISBN and DOI numbers.

Aalborg University Press offers the open access option for a wide range of publications: journals, conference proceedings, reports, edited volumes and monographs. Books are published in PDF format and hosted on the Knowledge Base (Vindenbase: VBN) research portal.

Integration of OA books in library systems

The Royal Danish Library has recently introduced a new cloud-based system called Alma,



which covers both closed and open sources. Before the system was introduced OA books were integrated in the library discovery systems through DOAB and OAPEN. The Danish National Research Database (central national repository/aggregator) lists more than 5,000 OA books.

Important contributors

- **The Royal Library** <https://www.kb.dk/en>
- **Universities Denmark** <https://dkuni.dk/>
- **Aalborg University Press** <https://aauforlag.dk/forside.aspx>
- **The Danish Open Access Indicator** <https://www.oaindikator.dk>
- **Danish National Research Database** <https://www.forskningsdatabasen.dk>

Finland

Key findings

- **Research libraries in Finland each have their own OA policy and act as public libraries, accessible to all citizens, regardless of affiliation or lack thereof**
- **The interests of university libraries are represented by the Finnish University Libraries network, while the universities of applied sciences have their own AMKIT consortium**
- **National OA policy excludes monographs**
- **The Academy of Finland offers funding for OA publications**
- **Helsinki University Press is a researcher-driven press offering open access publishing options for books without BPCs for authors**
- **Libraries rely on aggregators for OA book coverage**

General library system for e-content and OA publications

Finland's higher education institutions can be divided in two main sectors: research universities (13) and universities of applied sciences (22) (*Higher Education Institutions and Science Agencies*, n.d.). Both types of institutions have their own libraries, organised in associations and consortia. Research libraries are open to the public, with minor restrictions on access to content for non-affiliates, particularly when it comes to the STM journals (*In Finland LIBRARIES Basic Service for Everyone*, n.d.).

The National Library of Finland plays a pivotal role in the library landscape in Finland. Being the central information hub, it provides services to all Finnish libraries. It coordinates the efforts of the **FinELib**, a consortium of research institutions, universities, universities of applied sciences and public libraries. FinELib facilitates access to electronic resources on a national level and represents the member institutions in negotiations with international publishers. In its strategy for 2021-2030 it mentions openness as one of its principles (*Strategic Plan of the National Library of Finland 2021-2030*, 2020).

The Finnish University Libraries Network (former Council for Finnish University Libraries) is an organisation representing all research universities in Finland. Although it is not a formal consortium, the body acts as a forum for the exchange of information between research libraries, and encourages collaboration and experimentation. The interests of Finnish universities of applied sciences are represented by **the AMKIT consortium**, which facilitates cooperation between participating institutions.

Library community and open access

The research library community in Finland seems to be tight and well-organised into associations and networks, such as the **Finnish Research Library Association** with 700 members or the Network of Special Libraries and Information Services.

Open access projects are handled on each institution's level with the **Open Science expert panels** programme acting as a project encouraging OA on a national level, and numerous working groups focusing on particular fields of open science, such as open education, open data, open access and open scholarship.

OA book policies

Finland has been a strong supporter of open access in Europe, with its first OA initiatives launched in 2014, and a national OA mandate for peer reviewed articles in 2017. The Finnish Ministry of Education and Culture appointed the Federation of Finnish Learned

Societies to coordinate all open science-related activities. With the help of this organisation the national policy and declaration was inaugurated in 2019. It rolls out the implementation plan for the five coming years, covering the period between 2020-2025 (*Open Access to Scholarly Publications National Policy Executive Plan by the Research Community in Finland for 2020-2025*, 2019). The policy's main objective is to have all newly published research articles available open access by 2022, with no embargo periods. It covers both Finnish and international journals and should be applied in cases when authors are affiliated with a Finnish institution or funded by a Finnish funder. The policy pertains to articles and conference publications, making no mention of monographs, although their inclusion in national OA policies was much anticipated.

HEI follow the national OA guidelines while creating OA policies. There are currently 33 registered OA policies in ROAR map, among which three specifically mention book or book sections (University of Eastern Finland, University of Jyväskylä and Åbo Akademi University).

OA book funding

The Academy of Finland, following its OA policy, offers funding for OA publications as part of research grants. Funding is geared towards article publishing charges, but it can also be used towards "other types of publications", which presumably means books (*Academy of Finland - Academy of Finland*, n.d.).

No OA book-specific funds are available on an institutional level.

Library/scholar-led OA book publishing

Back in 2016-2017, the Aleksandria library consortium was a pilot project run by the Finnish Literature Society (SKS) and Helsinki University Library (HULib), based on the Knowledge Unlatched model applied to the Finnish library environment. Participating libraries were offered a package of ten books (three forthcoming titles and seven backlist titles). The project is no longer active (*Kirjastokonsortio Aleksandria – suomalainen tiedekirjallisuus avoimeksi verkkoon*, n.d.).

Finnish university presses do offer open access publishing options. The relatively young **Tampere University Press**, founded in 2014, publishes all their books in open access, operating on a BPC model. The current BPC (as of December 2020) amounts to 2,250 EURO +VAT (*Information for Authors | Tampere Universities*, n.d.).

Researchers can publish their books open access with **Helsinki University Press**, which accepts both its affiliates and scholars from other institutions, without applying Book Processing Charges to individual authors (*Helsinki University Press*, n.d.).

Integration of OA books in library systems

For the inclusion of open access books in their catalogues and discovery systems Finnish libraries rely on aggregators. On a national level a common discovery tool based on the open source library portal called VuFind has been applied.

Important contributors

- **National Library of Finland** <https://www.kansalliskirjasto.fi/en>
- **FinElib** <https://www.kansalliskirjasto.fi/en/services/licensing-services/finelib>
- **AMKIT consortium** <http://www.amkit.fi/en/>
- **Universities Finland (UNIFI)** <http://www.unifi.fi/in-english/>
- **The Federation of Finnish Learned Societies (TSV)** <https://eusea.info/member/federation-of-finnish-learned-societies/>
- **The Finnish Research Library Association** <https://www.stks.fi/in-english/>
- **Network of Special Libraries and Information Services** <https://www.kirjastot.fi/erik/network-of-special-libraries-and-information-services>
- **The Federation of Finnish Learned Societies** <https://www.tsv.fi/en>
- **Open Science Coordination** <https://avointiede.fi/en/open-science-expert-panels>
- **Aleksandria library consortium** <https://www.finlit.fi/en/node/2162#.XzQohi2w2u4>
- **Finna.fi** https://finna.fi/Content/about_finnafi

France

Key findings

- The academic library system is centralised around the Ministry of Higher Education, Research and Innovation at its core
- The Couperin consortium represents French libraries on the national level
- The National Plan for Open Science, introduced in 2018, calls for open access to publicly funded publications for journal articles and books alike
- There are no OA book-specific funds in France; OA book publishing is mainly supported by grants
- No library-led OA book publishing initiatives were identified
- OpenEdition acts as an open access platform for journals and books in HSS
- Libraries rely on ABES for OA books coverage

General library system for e-content and OA publications

The higher education system in France has three main contributors: public universities, research performing organisations such as the CNRS, and Grandes Écoles.

The country has historically relied on a strongly centralised academic libraries system, with the Ministry of Higher Education, Research and Innovation at its core. Although academic and research libraries still fall under its aegis, they are also gaining more autonomy. Academic libraries are organised around institutions. In the case of public universities, each of them has its own central system with smaller faculty libraries. In order to facilitate the exchange between universities, some of them come together to form mergers of three or four institutions.

Negotiations on access to digital content in France are managed by the **Couperin consortium** (Unified Consortium of Higher Education and Research Organisations for Access to Digital Publications), founded in 1999. It unites academic and research institutions in France and negotiates deals with publishers on their behalf. Currently Couperin has 264 members: among them are universities, research institutes and national libraries (*Liste Des Membres - Membres*, n.d.).

ABES (Bibliographic Agency for Higher Education) is a body responsible for the development of cataloguing standards used across libraries in France, eBooks included.

Library community and open access



ADBU (the French Association of Academic Libraries and Documentation) is a well-established organisation uniting academic libraries across the country since the 1970s, when ADBU was officially formed. The organisation takes pride in working on strategic development of the academic library, which is seen as an institution with a strongly pronounced societal role: that of innovating and providing access to knowledge (Swiatek, 2020). Open Access is one of the questions that sits high on the discussion list in the ADBU, which supports Plan S and organises numerous roundtables and conferences supporting developments in open science.

Open Science Committee, an organisation that came to life in 2018 under the auspices of the Ministry of Higher Education, Research and Innovation, is a collection of working groups dealing with a spectrum of topics that have to do with open science. Librarians constitute a large part of the working groups, alongside researchers and publishing experts. Open Science Committee defines its mission as that of leading the way and indicating directions in which open science should evolve, as well as educating people about its benefits and animating the open science community. It serves as one of the main platforms where librarians engage in discussions on open access (*Ouvrir La Science - The Committee for Open Science*, n.d.).

OA book policies

In 2018, France published the National Plan for Open Science, in which it committed to generalising open access for publications using public funding, structuring research data and making it available OA, and being an active part in the OA international community. The Plan pertains to journals and books alike. While it outlines roadmaps for all three commitments, it does not give any specific dates by which the policy should be implemented (*National Plan for Open Science*, 2018). The same year saw the creation of the Jussieu Call for open science and bibliodiversity, a declaration crafted by French researchers and academic publishers. In the document they express the need for a more diverse publishing landscape, supporting the development of innovative scientific publishing models (*Jussieu Call*, n.d.).

Currently, there are 24 institutions with recorded OA policies in the ROAR map. Among them, nine specifically mention books:

- Agence National de la Recherche (HSS branch),
- Arts et Metiers ParisTech,
- CIRAD (Centre de coopération internationale en recherche agronomique pour le

développement),

- CNRS,
- CentraleSupélec,
- INRIA (National Institute for Research in Computer Sciences & Control),
- Ifsttar: Institut français des sciences et technologies des transports, de l'aménagement et des réseaux,
- Institut Pasteur,
- Institut français de recherche pour l'exploitation de la mer (Ifremer).

The most important public funder in France, the French National Research Agency (ANR), supports the National Plan recommendations mandating deposits of publications coming out of funded projects into institutional or national open archives (HAL). ANR encourages publication in open access journals (*Open Science*, n.d.).

OA book funding

There are no OA book-specific funds for researchers available in France. OA publications are mainly covered by research grants. Several French libraries participate in the freemium programs available from the OpenEdition platform, therefore allocating their budgets to OA initiatives.

Library/scholar-led OA book publishing

Academic libraries in France do not act as publishers per se. There are several examples of libraries being involved in journal publishing (for example, at the universities of Nice, Bordeaux, Clermont and Lyon), but none involved in OA books publishing. Some libraries might be engaged in depositing theses in institutional repositories, yet they do not strictly take publishing initiatives themselves, leaving this job to a well-developed network of university presses.

OpenEdition provides university presses with an infrastructure for hosting open access books. The platform unites open access journals, books, blogs and academic announcements. Currently there are over 10,000 OA books accessible through OpenEdition.

Integration of OA books in library systems

ABES (Bibliographic Agency of Higher Education) plays a crucial role in the process of cataloguing OA books and integrating them with library discovery systems on a national level. Some universities, in order to make sure that OA books are included in their discovery systems additionally rely on the DOAB metadata.

Important contributors

- COUPERIN <https://www.couperin.org>
- ADBU (Association française des directeurs et personnels de direction des bibliothèques universitaires et de la documentation) <https://adbu.fr>
- Bibliographic Agency of Higher Education (ABES) <https://abes.fr/en/>
- Open Science Committee <https://www.ouvrirlascience.fr/open-science/>
- Open Archives for Academic Publications HAL <https://hal.archives-ouvertes.fr/?lang=en>
- OpenEdition <https://www.openedition.org>

Germany

Key findings

- The federal government system results in a decentralised library system across the country, with different systems used in different regions and a fair amount of independence on an institutional level
- There is a number of library consortia across the country for different regions. The interests of the German speaking countries are collectively represented by the GASCO consortium
- Open Access is a topic widely discussed among librarians, with a large number of organisations and working groups
- Although there is a strong push towards OA in Germany, no national OA

policy exists. However, a number of institutions and funders have adopted OA mandates

- There is a fair number of institutional and national funding available for OA books
- There are several scholar/library-led OA book publishing initiatives
- Libraries rely on aggregators for OA book coverage

General library system for e-content and OA publications

Germany's governmental system relies on a federal structure, as the country is divided into 16 federal states (Länder). Within this framework, HEIs are subject to higher education legislation, but at the same time enjoy a fair degree of autonomy, their libraries included. With nearly 400 universities (including universities, universities of applied sciences, and colleges of art and music and other subjects), Germany possesses a large number of academic and research libraries, operating under a variety of governance and administrative structures (German Rectors' Conference). Regional and institutional differences make for a complex ecosystem, where libraries are often confronted with challenges of interoperability.

GASCO (German, Austrian and Swiss Consortia Organisation) is a library consortium for German speaking countries. GASCO consortium works across the countries' and federal states' boundaries, negotiating e-content deals with publishers.

Library community and OA books

OA Tage ("OA days") is a conference and a meeting point for the OA community, taking place each year in a different German city. German librarians play a big part of the OA Tage community, and this event serves as a platform for discussion and exchange of best practices.

The Deutsche Bibliotheksverband (**DBV**), the Association of German Libraries, has a special Section 4, devoted to academic libraries.

DINI (The German Initiative for Network Information) is an organisation aimed at

"improving the information and communication services in higher education institutions and learned societies, and the necessary information infrastructures

regionally and nationally” (*DINI - Project Details*, n.d.)

Among the four organisations that came together to form the DINI network, academic libraries are represented by the DBV Section 4. The remaining institutions include: Consortium of German Higher Education Institutions’ Media Centres (AMH: Arbeitsgemeinschaft der Medienzentren der deutschen Hochschulen), Association of German University Computing Centers (ZKI: Zentren für Kommunikation und Informationsverarbeitung in Lehre und Forschung e. V.), and the research institutions and research organisations (Wissenschaftseinrichtungen und -organisationen).

ENABLE! (Bibliotheken, Verlage und Autorinnen für Open Access in den Geistes- und Sozialwissenschaften), a brand-new initiative, strives to connect libraries, publishers and researchers in an effort to facilitate Open Access in SSH. Since its formation at the beginning of 2020, the platform currently hosts over 100 OA titles, organised in publishers’ portfolios (for example, from Transcript) and discipline-specific packages, such as Open Access IT Law. The platform doubles as a networking space, with discussion boards for members. It wants to push towards and explore collaborative publishing models for OA monographs in SSH. It remains to be seen which collaborative publishing projects will be created under the aegis of ENABLE!.

OA book policies

Although Germany has been one of the foremost countries to express its commitment to the OA values with the 2003 Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (*Berlin Declaration*, n.d.), there exists no official OA policy on a national level in the country. The German Federal Ministry of Education and Research launched its OA strategy in 2016, calling for open access to become a standard for all publicly funded publications, and a year later introduced a directive on the funding for Open Access (*BMBF / FMER*, 2016).

However, numerous academic institutions and funders have introduced their own OA policies. Four of the largest research institutes — the Helmholtz Association (*Mitgliederversammlung der Helmholtz-Gemeinschaft*, 2016), the Fraunhofer-Gesellschaft (*The Fraunhofer-Gesellschaft’s Open Access Policy*, 2008), the Leibniz Association (*Open Access Policy of the Leibniz Association*, 2016) and the Max Planck Society and network’s institutes — have policies encouraging OA publications using their funds. The major national funder in Germany, the DFG (Deutsche Forschungsgemeinschaft) has also introduced an OA mandate.

74 institutions currently show in the ROAR map with registered OA policies. Out of these 74, twelve have OA policies that specifically include books:

- Bauhaus-Universität Weimar
- Bundesanstalt für Wasserbau (BAW/Federal Waterways Engineering and Research Institute of Germany)
- Fraunhofer-Gesellschaft
- Freiburg University
- Freie Universität Berlin
- Max Planck Society
- Technical University Braunschweig
- Technische Universität Chemnitz
- Technische Universität Dresden
- University Passau
- Universität Konstanz
- Wuppertal Institut für Klima, Umwelt, Energie

OA book funding

Funding is available for OA books on both the national and institutional levels. The DFG offers a dedicated fund to cover Book Processing Charges and so do other funders, such as the Volkswagen Foundation and the Leibniz Consortium. A number of universities have OA book-dedicated funds, with Berlin leading the way in the number of available resources through the Humboldt University and the Technical University of Berlin OA funds.

Library/scholar-led OA book publishing

Two university presses in Germany publish the largest number of OA books in the country: KIT Scientific Publishing, affiliated with the Karlsruher Institute for Technology (**KIT Publishing**), and **Goettingen University Press**. The former operates on a BPC-basis. **Goettingen University Press**, as part of the Electronic Publishing division of Goettingen

State and University Library, offers publishing services to both its affiliated authors, and to researchers coming from outside of Goettingen University.

Language Science Press (LSP) is a relatively new player in the academic publishing landscape — in 2012, the Open Access in Linguistics initiative was set up, which subsequently led to the creation of LSP — in Germany. It is an academic-led initiative with a focus on linguistics, strongly embedded in the linguistic community. With supporters from prestigious universities around the world, the press publishes both open access monographs and edited volumes in SSH, and does not charge BPCs to authors. In its first three years of operation, it was subsidised by a grant coming from DFG (Nordhoff, 2018). Currently, it operates on an institutional membership model, with participating libraries collectively funding publication, using Knowledge Unlatched as a middle-man.

Integration of OA books in library systems

There is no one common discovery system used across all academic libraries in Germany. The inclusion of OA books in discovery tools and library catalogues depends largely on discovery system providers/aggregators. If OA books are not automatically included in them, then there is little chance that they will be manually added, due to the lack of human resources.

Important contributors

- **GASCO** <https://www.hbz-nrw.de/produkte/digitale-inhalte/gasco>
- **DINI** (Deutsche Initiative für Netzwerkinformation e. V.)
<https://www.sub.uni-goettingen.de/en/projects-research/project-details/projekt/dini/>
and <https://dini.de/>
- **DFG** (Deutsche Forschungsgemeinschaft), Schwerpunktinitiative "Digitale Information" https://www.dfg.de/dfg_profil/allianz/digitale_information/index.html
- **National Contact Point Open Access 2020 DE:** <https://www.aa2020-de.org/>
- **Open Access Network:** <https://open-access.network/>
- **ENABLE** <https://www.enable-oa.org/>
- **The Consortium of Library Networks (AGV)**
<https://www.dnb.de/EN/Professionell/Standardisierung/AGV/agv.html>

- OA Tage <https://open-access.net/community/open-access-tage>
- DBV (Der Deutsche Bibliotheksverband) Association of German Libraries <https://www.bibliotheksverband.de/fachgruppen/sektionen/sektion-4.html>
- Goettingen University Press <https://www.sub.uni-goettingen.de/en/publishing-open-access/goettingen-university-press/>
- Transcript: <https://www.transcript-publishing.com/>
- Language Science Press <https://langsci-press.org>
- KIT Scientific Publishing <https://www.ksp.kit.edu/>

Greece

Key findings

- There is no national OA strategy in Greece, yet there are bottom-up initiatives pushing towards a plan for national transition towards OA
- The academic libraries consortium, HEAL-Link, represents the interests of libraries when negotiating deals with publishers
- There are no OA book-specific funds for researchers in Greece
- Project Kallipos and Kallipos+, supported by governmental funds, is the largest publishing initiative for OA textbooks and monographs
- OA books are not included in academic library catalogues

General library system for e-content and OA publications

Academic libraries in Greece, affiliated with 25 Higher Education Institutions and 40 public research centres, are supervised by the Ministry of Education.

The Hellenic Academic Libraries Link (HEAL-Link) is a national academic and research library consortium, offering access to e-content to all Greek Higher Education Institutions along with certain research centres and organisations. In its current shape (as of September 2020) HEAL-Link covers nearly 27,000 journals and 139,000 books, and

comprises of 43 members, uniting all HEIs in Greece. The consortial budget is centralised and individual institutions depend both on the national funding coming from the Ministry and their local budgets. Certain acquisition decisions for electronic sources are made at the consortium level, while others are taken on the institutional budget level, depending on each institution's specific needs.

The HEAL-Link participates in various initiatives and schemes, such as **SELL**, the Southern Eastern Libraries Link. The consortium's General Assembly meets on a biannual basis and approves resource allocation for e-content on a national level. The e-content budget is proposed by the Permanent Committee for Electronic Resources, which first asks for the approval of the Board of Directors before submitting its proposal to the G.A. Among the tasks of this Committee is to negotiate renewals and/or subscription to electronic content with scientific publishers, to promote and support open access, to participate in and represent the consortium actively in actions, initiatives and schemes, and to advise the consortium on matters of scholarly communication. HEAL-Link actively supports open access initiatives, amongst other things by funding the Open Library of Humanities.

Library community and open access

The Permanent Committee of Electronic Resources plays an active role in advocating for OA in the Greek academic community. It advises the HEAL-Link consortium on matters of scholarly communication, preparing guidelines and training materials. The most recent development is the launch and operation of the Scholarly Communication Unit under HEAL-Link, which aims to promote OA, to support and guide the community regarding the routes of implementing OA, to inform about available options provided by HEAL-Link, to publish in OA mode, and to monitor OA publications.

OA book policies

While Greece has not adopted any kind of national OA strategy, it still has active OA advocates, notably in the librarian environment, who push for developments in this area. The Hellenic Academic Libraries Link (HEAL-Link) published a document called *The Declaration on Open Access in Greece*. It recognizes the importance of free access to knowledge and calls for a "smooth transition" of subscription-based academic journals to OA. The Declaration focuses solely on journals and does not mention books (*Hellenic Academic Libraries Link*, n.d.).

In 2018, SELL released a statement supporting the transition to open access, yet also



solely focusing on journals. At the end of 2019, Open Science Task Force, a bottom-up initiative consisting of representatives of HEIs and OA nodes in Greece, prepared a proposal for a National Open Science Plan.

Individual institutions are slowly adopting OA policies in Greece. Currently, there are five institutions with registered OA policies in the ROAR map. Among them, three mention books specifically: the International Hellenic University, the Technical University of Crete, and the University of Patras.

OA book funding

No specific OA book funds exist in Greece. Open access monographs, book chapters and/or proceedings can be funded as part of larger research projects – as the output of research projects.

Library/scholar-led OA book publishing

While some Greek academic libraries run OA publishing programmes, they are mainly focused on journals, a good example being [Prothiki](#) at the Aristotle University of Thessaloniki. Library-led publishing initiatives for monographs have not, however, gained much popularity.

It is on a national level that the innovation in OA book publishing is taking place in Greece. The Kallipos project, launched in 2016 and funded jointly by the Ministry of Education and the European Social Fund, is an initiative aimed at publishing textbooks in Greek in open access. The project is led by HEAL-Link, together with the National Research Network and the National Technical University of Athens. In 2019, a new edition of the project was launched. Kallipos+ will include OA monographs alongside its more general textbooks inventory (*Project Kallipos - Open Educational Resources*, n.d.).

Integration of OA books in library systems

OA books are generally not included in library catalogues. There is a certain scepticism about bringing them into the existing discoverability systems, especially those records that are incomplete and missing permanent identifiers. OA textbooks by Kallipos are integrated with the library catalogues.

Important contributors

- Hellenic Academic Libraries Link (HEAL-Link) <https://www.heal-link.gr/en/>



- SELL <https://www.heal-link.gr/SELL/about/>
- Kallipos (Hellenic Academic Ebooks) <https://www.kallipos.gr/en/>
- Scholarly Communication Unit (under the aegis of HEAL-Link) (scholarly.heal-link.gr).

Italy

Key findings

- Academic and research libraries system in Italy is centralised, with a fair degree of autonomy on an institutional level
- A working group CARE within the Conference of Italian University Rectors represents academic libraries in deal negotiations for e-content
- There is no central national OA policy in Italy
- There are no OA book-specific funds in Italy; OA book publishing is mainly supported by grants
- No library-led OA book publishing initiatives were identified
- OA books are not included in the National Catalogue

General library system for e-content and OA publications

Academic and research libraries in Italy — associated with public and private universities, polytechnics and research centres — depend on the Ministry of University and Research (Ministero dell' Università e della Ricerca, MUR). Each academic library has its own acquisition budget and makes its own acquisition decisions, based on the advice received from the Consiglio di Biblioteca; a governance body at individual library level, consisting of researchers.

CRUI (Conference of Italian University Rectors), funded in 1963, acts as a body addressing crucial questions in the Italian academic world, preparing frameworks and proposals for its development. As part of its mission, it aims to “experiment[ing] with new models and methodologies that can be adopted by universities” (*Mission - CRUI - Conferenza dei Rettori delle Università italiane*, n.d.). While there are no academic

libraries consortia in Italy, within CRUI, a working group called **CARE (Coordinamento per l'Accesso alle Risorse Elettroniche aka. Coordination for Access to Electronic Resources)** handles acquisition of e-content. Acting as a consortium, it represents Italian universities when negotiating deals for e-content with publishers.

Library community and open access

The Italian Libraries Association (AIB), funded in the 1930s, is the oldest organisation of its kind in Italy. It unites librarians and information science students, and is open to non-Italian members. The organisation is divided into working groups and committees, one of which is devoted to academic and research libraries. Within the association, a special focus group, **the GOAPD (Gruppo di studio Open Access e Pubblico Dominio)**, deals with open access, with a mission of sharing best practices and promoting the idea of open science.

AISA (Associazione italiana per la promozione della scienza aperta), a non-profit organisation whose mission is to advance open science, plays a significant role in the national dialogue on the matter since its creation in 2015. Its advisory board has a strong representation of librarians.

The library community also discusses open science-related issues in more informal groups, such as the **Italian Open Science Support Group (IOSSG)**, funded in 2016. Currently, 10 universities participate in the working group alongside the OpenAIRE project. IOSSG aims at facilitating transition towards open access, focusing on the issues of services and infrastructures and tackling those of governance, data management and research-related processes. The organisation creates templates of open science-related documents that can be adopted on an institutional level and plays an active part in the open science dialogue on a national level.

OA book policies

Currently, there is no national open access policy in Italy. According to a law introduced in 2013, based on the Decree *Urgent provisions for the protection, enhancement and promotion of cultural assets, activities and tourism*, all research funded at least 50% by public funds is required to be published as open access (*Legge n. 112/2013*, n.d.). In 2018, the Ministry of Research and Universities formed a group of experts to formulate a *National Roadmap for Open Science*. This roadmap, presented in May 2019, is still to be implemented.

Currently, there are 28 Italian institutions in the ROAR map with a registered OA policy.



Among them, 17 specifically mention OA books:

- Fondazione Cariplo
- Istituto Superiore di Sanità
- Università degli studi di Trieste
- Università di Pisa
- University Federico II Napoli
- University of Bergamo
- University of Bologna
- University of Brescia
- University of Padova
- University of Trento
- University of Udine
- University of Catania
- Università degli Studi di Ferrara
- Università degli Studi di Foggia
- Università degli Studi di Milano
- Università degli studi di Cassino e del Lazio Meridionale
- University of Turin

OA book funding

Funding for open access books in Italy does not exist: there are no OA book-specific funds on a national or institutional level. OA publications are often financed through research grants.

Library/scholar-led OA book publishing

There are no library/scholar-led OA book publishing initiatives in Italy. The academic

publishing landscape is dominated by university presses, among which three are fully open access: Firenze University Press, Trieste University Press and Naples University Press. They operate on a BPC model. Firenze University Press charges 2,500 EUR for a 230-page monograph or edited volume, including 100 free print copies for the author (*FUP VII. Revenue sources and publication charge policy*, n.d.).

The University of Torino runs its own open access publishing platforms for journals (SIRIO) and for books. The latter offers OA publishing for books, released in PDF format only.

Integration of OA books in library systems

Open access content is not included in traditional library catalogues across Italy; they do not belong in the National Catalogue. On an institutional level, each university operates on its own discovery system which may or may not include OA books. Among popular discovery tools in use is PRIMA.

Important contributors

- **CRUI (THE CONFERENCE OF ITALIAN UNIVERSITY RECTORS)**
<https://www.crui.it/crui-english.html>
- **Italian Open Science Support Group/IOSSG**
<https://sites.google.com/view/iossg/home>
- **AISA (Associazione italiana per la promozione della scienza aperta)**
<https://aisa.sp.unipi.it/about-aisa/>
- **The Italian Libraries Association (AIB)** <https://www.aib.it/aib/cen/presaib-e.htm>
- **GOAPD (Gruppo di studio Open Access e Pubblico Dominio)**
<https://www.aib.it/struttura/commissioni-e-gruppi/gruppo-studio-open-access-pubblico-dominio/>
- **SIRIO@ UniTO** <https://www.ojs.unito.it>

Norway

Key findings

- **Research libraries in Norway are part of independent units -universities and research centres - with their own institutional policies**
- **The UNIT consortium represents research libraries in licence negotiations with publishers**
- **National OA guidelines exclude monographs**
- **Sources of funding for OA books are available on an institutional level**
- **No library/scholar-led OA book publishing initiatives (small output of monographs) were identified**
- **Libraries rely on common catalogue offered by UNIT (Alma) for OA book coverage**

General library system for e-content and OA publications

The landscape of research libraries in Norway is heterogeneous, with individual, institution-based libraries which differ greatly in size, available funding and resources. Collectively, they are represented by the library committee of the **Universities of Norway (UHR)**. **UHR** is a cooperative body in the higher education landscape in Norway, which plays a vital role in giving advice on open access-related questions to the entire sector. It stands for 33 universities and university colleges and is divided into strategic units. One of them is dedicated to research libraries.

Their interests are also represented by the newly-formed organisation called UNIT.

UNIT (The Norwegian Directorate of Information and Communications Technology and Joint Services in Higher Education and Research) is an agency of the Ministry of Education and Research, established in 2018. As part of its mission, UNIT coordinates work on open access on a national level and is in charge of negotiations of licence agreement for e-content with publishers. It represented Norway in talks with Taylor and Francis, Springer, Elsevier and Wiley. Library participation in the UNIT consortium is voluntary. Currently the organisation gathers public, county and research libraries, as well as hospitals and institutions, under the aegis of the government. Members of the consortium operate on the basis of the “open consortia” idea, meaning that they can choose in which licence agreements they will participate.

Norwegian national strategy for libraries for the upcoming three years (2020-2023) focuses on three main areas: dissemination, cooperation and development, and infrastructure. It

calls for a greater interoperability and cooperation between the public and research libraries, with UNIT and the higher education institutions working together on common standards, metadata and ensuring access to digital sources. The strategy hints at the fact that special funding will be allocated towards these goals (*National Strategy on Access to and Sharing of Research Data*, n.d.).

Library community and open access

Norway is one of the European front runners when it comes to the open access movement and the library community has played its part in the adoption of OA principles. In 2005, as a product of cooperation between four Norwegian universities, an organisation called **NORA** was founded. Its goal was to be the forum of exchange for the common repositories standard and it was intended to serve as a source of information about the OA for the academic community in Norway (Frantsvåg, 2008). It ceased to exist in 2011 when **Cristin**, a national organisation, formed under the aegis of the Ministry of Education with a mission of dealing with all OA issues on a national level. Currently Cristin is part of UNIT.

Despite high OA awareness among Norwegian librarians, there are no OA specific working groups within the library community in Norway. The issue of open access has been so ingrained in the academic system, though, that it is hard to imagine any discussion about the future of scholarly communications in Norway that would exclude the notion of open access to science. openaccess.no is a website gathering news on open access-related questions on a national level. It is steered by UNIT.

OA book policies

Norway has been a strong supporter of open access in the European landscape. In 2017 the country introduced its national goals and guidelines, with an ultimate goal of having all publicly funded research articles OA by 2024 (*National Goals and guidelines for Open Access to Research Articles*, 2017). OA monographs, however, are not mentioned in the document. Despite several rumours concerning their soon-to-be introduction to the national OA goals, books still remain uncovered.

Alongside OA guidelines on a national level, each HEI has its own policy that their libraries follow. Eight institutional OA policies have been recorded in ROAR for Norway, with three institutions specifically listing books as a type of content covered by the OA policy (University of Stavanger, University of Bergen and University College of Southeast Norway).

OA book funding

Norway benefits from the strong support of the Research Council of Norway, which allocates substantial funds to cover the costs of OA publications. The RCN runs a program called STIM-OA, rolled out on a yearly basis, to which Norwegian research institutions can apply. Available funding support accounts for 50% of the OA publication costs, but so far can be used for APCs only. The need for BPCs to be included in the funding scheme has been communicated by the academic community, but no changes have been introduced as of the end of 2020. **STIM-OA**, introduced in 2015, has entered its second phase now, planned till 2022 (*Open Access to Publications*, n.d.).

In addition to this central funding, there are options for OA book funding available on an institutional level. Nineteen Norwegian institutions currently have their own institutional OA funds (*Publiseringsfond ved norske UH-institusjoner - frontpage*, n.d.). While the majority of them is geared towards journal publication fees, nine institutions mention that their funds can also be used to cover book processing charges.

Library/scholar-led OA book publishing

No library/scholar-led OA book publishing initiatives were identified.

Integration of OA books in library systems

All HEIs in Norway use a common catalogue system offered through UNIT: Alma from ExLibris and Oria as a search system. Libraries depend on Alma for the inclusion of OA books that should be included in it automatically. Single titles coming from smaller publishers and not included in Alma might be added to the catalogue manually by librarians.

NORA - Norwegian open research archives - is the central portal to all national OA output, including more than 6,000 OA books.

Important contributors

- **UNIT** <https://www.unit.no/en/about-unit-0>
- **The Research Council of Norway** <https://www.forskningradet.no/en/>
- **Universities Norway (UHR)** <https://www.uhr.no/en/about-uhr/>

- **open.access.no** <https://www.openaccess.no>
- **NORA** <https://nora.openaccess.no/>

Poland

Key findings

- **Academic libraries system in Poland is centralised, with relative autonomy on an institutional level**
- **The open access movement in Poland is a bottom-up initiative, with libraries playing an important role in pushing for OA**
- **A national OA policy was introduced in 2015 and covers books. It has been slowly adopted by institutions since then**
- **There are no OA book-specific funds for researchers in Poland**
- **There are no library/scholar-led OA book publishing initiatives**
- **Libraries rely on aggregators for OA book coverage**

General library system for e-content and OA publications

Academic libraries in Poland fall under the aegis of the Ministry of Science and Higher Education; however, they are relatively autonomous bodies that depend on the local decisions of each university's governance. In order to facilitate their work, academic libraries in Poland tend to organise themselves in consortia. Numerous such consortia exist, such as **the Federation of Digital Libraries** (Federacja Bibliotek Cyfrowych), which gathers digital content from Polish libraries, museums and archives.

The International Centre of Mathematical and Computational Modelling (ICM) at the University of Warsaw is the crucial player when it comes to e-content. It acts as a national consortium for negotiating license agreements with large publishers. It is responsible for both national licenses (covering about 550 HEIs) and consortia licenses (covering 20-50 institutions). ICM hosts the **Virtual Library of Science (Wirtualna Biblioteka Nauki)** — a database of electronic sources (journals, books, databases) from publishers such as Springer Nature, Wiley, Elsevier and others — and grants access to academic institutions in Poland. For Polish academic publications, ICM curates the Library of Science for journal

articles (as of 2019 it covered 1000 journals and 300K articles) and the platform **Open Up a Book** (*Otwórz książkę*): a repository of Polish academic books, which are no longer available in print (as of 2020, it covered 408 authors and 544 books).

Part of the ICM, the **Open Science Platform** (Platforma Otwartej Nauki=PON) acts as a centre of knowledge and best practice sharing when it comes to the implementation of open access models in academic institutions. PON publishes extensively on the status of open data and open science in Poland.

Library community and open access

The open access movement is very much a bottom-up initiative in Poland, in which librarians seem to be the pioneers, leading the way. The late nineties saw the emergence of the first Polish OA journals, among them the Biuletyn **EBIB (1999)**, which was geared towards librarians. In the following years Polish librarians, together with Polish researchers, were also early to sign ground-breaking OA declarations (the Budapest and Berlin OA and the OECD Declaration to Access to Research Data from Public Funding), long before the question of OA entered official debates in the Ministry of Science and Higher Education.

The Coalition for Open Education (Koalicja Otwartej Edukacji = KOED), an NGO founded in 2008, plays an important role in advancing open access in Poland. Its mission is supported by the Association of Polish Librarians and the EBIB Association. KOED's platform *Uwolnij naukę* ("set the science free") gathers the most up-to-date OA-related news, and offers advice on OA for researchers, publishers and librarians. Together with EBIB, KOED organises some of the most important OA conferences in Poland. KOED has also released a number of reports on the status of OA in the Polish context and organises Open Access Week events in Poland on an annual basis.

OA book policies

Open Access has been on the radar of the Polish Ministry of Science and Higher Education since about 2010, when the first report on OA in the Polish context was commissioned. The document, published in 2011, pointed out main roadblocks and developed a plan of implementation of OA policy on a national scale.

In 2015, the Ministry of Science and Higher Education released an official OA policy document outlining strategies for the development of open access in Poland (*Kierunki Rozwoju Otwartego Dostępu Do Publikacji i Wyników Badań Naukowych w Polsce*, n.d.). The document does not mandate open access, yet discusses general recommendations

for actions to be taken to publish all publicly funded research in OA. It recommends green OA, with deposits in institutional repositories as soon as possible after publication (but not later than six months for STM, and 12 months for HSS). While the document mainly pertains to journal articles, it also mentions books, stating that they too should be made available in OA, yet with more flexible embargo periods. According to these recommendations, all HEIs are encouraged to adopt their own OA policies and appoint OA officers on institutional levels.

There are currently seven Polish institutions with OA policies registered in the ROAR map. Among them, five mention books specifically:

- Cracow University of Economics
- Institute of Nuclear Physics
- ICM University of Warsaw
- Medical University of Lodz
- and the Nofer Institute of Occupational Medicine in Lodz

In 2020 the National Centre of Science (Narodowe Centrum Nauki) also introduced an OA policy for all publications funded by this institution (*Wprowadzenie Polityki Otwartego Dostępu Do Publikacji Powstałych w Projektach Badawczych | Narodowe Centrum Nauki, n.d.*).

OA book funding

Funding for open access in Poland is hard to come by. There are no OA book-specific funds on a national or institutional level.

Library/scholar-led OA book publishing

There are no library/scholar-led OA book initiatives in Poland. Most academic books are published either with international legacy publishers or local university presses.

The University of Torun Press (UMK), together with the University of Torun Library, has been one of the pioneers when it comes to creating open access publishing platforms. In 2013 UMK launched a platform for OA journals (Academic Platform of Journals/ Akademska Platforma Czasopism). As part of its recent development, UMK now also publishes OA monographs.

Integration of OA books in library systems

OA books are integrated with general library discovery systems that, in most academic libraries, rely on services provided by EBSCO. In order to make sure that users have access to OA books (as they are sometimes not fully covered by EBSCO), libraries sometimes also add links to DOAB and OAPEN to facilitate browsing through a global OA book portfolio. In addition to that, CEON (aggregator for Polish research output) lists ~4.400 OA books available in repositories.

Important contributors

- Koalicja Otwartej Edukacji (Coalition for Open Education) <http://koed.org.pl/?lang=en>
- Uwolnij naukę <https://uwolnijnauke.pl>
- International Centre of Mathematical and Computational Modelling (ICM UW) <https://icm.edu.pl/en/>
- ICM UW Platforma Otwartej Nauki <http://pon.edu.pl>
- ICM UW Wirtualna Biblioteka Nauki (Virtual Library of Science) <https://wbn.icm.edu.pl>
- EBIB Association http://www.ebib.pl/?page_id=3611 and EBIB portal <http://www.ebib.pl/>.
- Wirtualna Biblioteka Nauki (Virtual Library of Science) <https://wbn.icm.edu.pl/o-wbn/>
- Federacja Bibliotek Cyfrowych <https://fbc.pionier.net.pl/>
- University of Torun Press (UMK) <https://wydawnictwo.umk.pl/pages/30/o-nas>
- CeON Repository <https://depot.ceon.pl/>

Portugal

Key findings



- Access to e-content for HEIs is managed by the B-on consortium
- The OA-oriented library community operates within the RCAAP network
- There is no national OA policy, although a set of recommendations for open science was developed on a national level
- There are no OA book-specific funds in Portugal; OA book publishing is mainly supported by grants
- No library-led OA book publishing initiatives were identified. Some university presses offer OA option for books
- Libraries rely on aggregators for OA book coverage

General library system for e-content and OA publications

The higher education system in Portugal is divided between universities and polytechnic schools (both public and private). Academic libraries connected to these institutions are of diverse natures: there are the ancient universities (University of Coimbra library, which dates back to the XIII century), relatively young institutions (a large number of new public universities was established in 1970s), and newborns (such as the University of Lisboa, established as a result of a merger between the University of Lisbon and Technical University of Lisbon in 2003).

It wasn't until the 1990s that Portuguese academic libraries underwent a modernisation process, and the past 20 years were marked by the creation of many new library buildings across the country. Despite this revamping process, Portuguese libraries still struggle with low budgets and the problem of understaffing.

B-on (Biblioteca do Conhecimento Online, Online Knowledge Library), launched in 2004, provides access to e-content to Higher Education Institutions in Portugal and negotiates deals with publishers on behalf of them. In its mission statement it cites free access to knowledge and promotion of Portuguese research publications. Currently, B-on offers access to over 16,000 publications and focuses mainly on journals. B-on was developed as a national consortium under the aegis of the Portuguese government; libraries and research centres were invited to join and currently most of Portuguese HEIs are part of it.

Library community and open access

RCAAP, the Scientific Repositories of Open Access of Portugal (Repositórios Científicos

de Acesso Aberto de Portugal) is a platform aggregating content of repositories across the Portuguese universities. Across the country, it unites librarians interested in open science. Originally funded by the Foundation for Science and Technology (Fundação para a Ciência e a Tecnologia), with the support of the University of Minho, RCAAP's mission goes beyond creation of repositories, and the network of people engaged in the project can be seen as one of the important forums for information exchange for the library community.

BAD (Associação Portuguesa de Bibliotecários, Arquivistas, Profissionais da Informação e Documentação) has been uniting representatives of the library community since 1973. Several working groups have been established within the organisation, dealing with different types of libraries and their specificities, including one for HEI's libraries.

OA book policies

There is no national open science policy in Portugal. However, since 2016, the Ministry of Science, Technology and Higher Education has undertaken several steps to advance the development of open science practices in Portugal, starting with proclaiming it as a national priority. Two reports, one on the state of open science and the other with recommendations for further steps were produced in 2016 (*Finanças, Cultura e Ciência, Tecnologia e Ensino Superior. (2016). Diário Da República, 2016*). Among recommendations one can find transitioning to open access, and the development of necessary infrastructures to support it (*Segundo Relatório Da Comissão Executiva Do Grupo de Trabalho Para A Política Nacional de Ciência Aberta, 2016*). The set of recommendations has not been officially adopted on a national scale yet.

The largest national funder, **Fundação para a Ciência e a Tecnologia (FCT)**, has introduced the open access mandate, as have many HEIs in Portugal. Currently, there are 27 institutions with a registered OA policy in the ROAR database. Among them, 13 mention OA books specifically:

- Escola Superior de Educação de Paula Frassinetti
- Fundação D. Anna de Sommer Champalimaud e Dr. Carlos Montez Champalimaud
Fundação para a Ciência e a Tecnologia
- ISCTE-IUL - Lisbon University Institute
- Instituto Politécnico de Bragança
- Instituto Politécnico de Portalegre

- Universidade Aberta
- Universidade Católica Portuguesa
- Universidade da Beira Interior
- Universidade da Madeira/ Biblioteca
- Universidade de Lisboa (University of Lisbon)
- Universidade do Minho
- University of Coimbra

OA book funding

Funding for open access in Portugal does not exist per se: there are no OA book-specific funds on a national or institutional level. OA publications are often financed through research grants.

Library/scholar-led OA book publishing

There are no pure library-led OA book publishing initiatives in Portugal. Most universities engage in publishing activities, offering both closed and open access publications. The largest and oldest publisher — **University of Coimbra Press** — does offer options to publish open access books, with almost 600 titles currently listed in DOAB.

Minho University, one of the OA-oriented universities, was closely involved in the development of the RCAAP project, and created its own university press in 2019, with its first OA titles being published that year. U Minho Editora publishes journals and books alike and is built on the open source software (OJS and OMP). Books are released in PDF format only. U Minho Editora does not charge BPCs to authors; they sustain their publishing activities with their own institutional budget combined with funding from public and private entities, and print sales.

Integration of OA books in library systems

Open access books are integrated in most library systems through discovery tools, offered by such providers as EBSCO and MetaLib. Most libraries also catalogue OA books in their local catalogues. Next to that, RCAAP, the national repository aggregator, lists more than 15,000 OA books from 10 different Portuguese repositories.

Important contributors

- b-on <https://www.b-on.pt/en/>
- RCAAP (Repositórios Científicos de Acesso Aberto de Portugal) <https://www.rcaap.pt>
- Fundação para a Ciência e a Tecnologia <https://www.fct.pt/fct/>
- Higher Education Libraries Work Group of BAD (Associação Portuguesa de Bibliotecários, Arquivistas, Profissionais da Informação e Documentação) <http://www.apbad.pt>
- UMinho Editora <https://ebooks.uminho.pt/index.php/uminho/catalog/book/16>
- University of Coimbra Press https://www.uc.pt/en/imprensa_uc

Slovenia

Key findings

- The academic library system is dispersed with a large number of faculty libraries, each with their own acquisition strategy
- The national OA policy is kept in line with the Horizon 2020 directives and encourages, yet does not mandate, open access for monographs
- There are no OA book-specific funds in Slovenia
- The Faculty of Arts at the University of Ljubljana has its own, scholar-led OA book publishing initiative
- Libraries rely on aggregators for OA book coverage

General library system for e-content and OA publications

Slovenia has three major public universities (University of Ljubljana, University of Maribor, and University of Primorska), and numerous research institutions, each with its own local faculty libraries, adding up to as many as 37 per institution (in the case of the University of Ljubljana). While the **National and University Library (NUK)** acts as the central

academic library of the country, the system is far from being centralised: each of the smaller libraries has its own acquisition budget and strategy. NUK is responsible for the e-content, as it hosts the Digital Library of Slovenia (a national portal providing access to digitised Slovenian scholarly publications) and coordinates consortia deal negotiations on the national level.

Slovenian libraries are organised into several consortia, according to the subject of the content they acquire.

COSEC falls under the NUK's aegis and is in charge of acquisitions of the international digital sources in the field of HSS, while another consortium led by the **Central Technological Library** covers STM e-resources.

The **Open Science Slovenia** portal unites institutional repositories and provides information on open science developments in the country.

Library community and open access

Odprta knjižnica (The Open Library Competence Centre) is a joint initiative of three Slovenian university libraries: the University of Primorska, of Maribor and of Ljubljana, under the auspices of the Ministry of Education, Science and Sport. The initiative is an important player in the open access community in Slovenia, engaging in both national and international dialogue about matters concerning open science, such as OA mandates, policies, licensing, etc. The centre provides researchers and anyone interested in the principles of open science with free information and guidance on such topics as open publications, research data management, citizen science and open education.

OA book policies

Slovenia has a national open access strategy, introduced in September 2015, aligned with the Horizon 2020 priorities and covering the period of 2015-2020 (*Research Infrastructure Roadmap 2011 - 2020* 2016, 2016). It mandates open access for academic articles published as an outcome of publicly funded projects and encourages it for monographs. In 2017 an action plan was released, outlining the implementation process of transformation to OA (*Akcijski Načrt Izvedbe Nacionalne Strategije Odprtega Dostopa Do Znanstvenih Objav In Raziskovalnih Podatkov v Sloveniji 2015-2020*, 2017).

Currently, there are eight institutions with registered OA policies in the ROAR map. Among them, four mention books specifically: the Central Technological Library at the University of Ljubljana, the University of Maribor, the University of Nova Gorica and the University of

Pomorska.

OA book funding

No specific OA book funds exist in Slovenia. Open access publications can be funded as part of larger research projects. The Slovenian Research Agency (SRA) plays an important role, both as provider of research and as a provider of publishing grants for academic presses in Slovenia.

Library/scholar-led OA book publishing

E-books – Ljubljana University Press, Faculty of Arts: The Faculty of Arts, associated with the University of Ljubljana, is among the largest academic publishing houses in Central/Eastern Europe. Their portfolio also includes open access journals, closed access textbooks and OA monographs and edited volumes. Run by scholars, the press publishes around 70 OA books per year in PDF format. While it serves mainly as a publishing unit for researchers affiliated with the faculty, authors from other departments and institutions can also submit their proposals there. No Book Processing Charges are applied to authors (*O Založbi | Znanstvena Založba Filozofske Fakultete, n.d.*).

The press is largely subsidised by the Slovenian Research Agency (SRA), whose funding covers up to 60-70% of the OA publishing costs. The press depends on successful applications for the SRA funds, which are allocated on a yearly basis. The remaining 40-30% of costs is covered jointly through print sales and funding coming from the Faculty of Arts itself.

The press introduced their OA model in 2015, following recommendations of the national OA strategy at the time, encouraging open access for publicly funded academic books with the goal of having 100% of them OA by 2020.

Integration of OA books in library systems

Academic libraries' discovery systems rely on COBISS services, which include OA books. There are no special discovery systems for OA content; all publications, both open and closed are handled by the same system.

Important contributors

- The National and University Library (NUK) <https://www.nuk.uni-lj.si/eng/#>



- The Digital Library of Slovenia <http://dlib.si>
- Slovenia Research Agency <https://www.arrs.si/en/>
- Odprta knjižnica <http://odprta-knjiznica.si>
- COSEC <https://cosec.nuk.uni-lj.si/en>
- Central Technological Library at the University of Ljubljana, <http://www.ctk.uni-lj.si/konzorciji-ctk/>
- E-books – Ljubljana University Press, Faculty of Arts <https://e-knjige.ff.uni-lj.si/znanstvena-zalozba/index>
- Open Science Slovenia <http://www.openscience.si/default.aspx>

Spain

Key findings

- The academic system is decentralised, relying on 17 regions with numerous regional library consortia
- REBIUN is a crucial network for Spanish academic libraries
- The National Open Access Policy, introduced in 2011, encourages, but does not require, deposition of publications in open access repositories. The law focuses on journals and does not mention books
- There are no OA book-specific funds in Spain
- No scholar/library-led OA book publishing initiatives were identified
- Libraries rely on aggregators for OA books coverage

General library system for e-content and OA publications

The higher education system in Spain relies on universities: there are more than 80 of them across the country, with the majority being publicly funded (*Registro de Universidades, Centros y Títulos*, 2020). Due to the country's decentralisation into autonomous regions, universities are being self-governed in each of the 17 regions.

Academic libraries belonging to them have their own budgets at their disposal, comprised of regional and national-level funds (Echeverría & Jiménez, 2011).

In the 1980s academic libraries started uniting into consortia, the first one being the **CBUC** (Consortio de Bibliotecas Universitarias de Cataluña), serving the interests of libraries in the community of Cataluña. There are several regional academic libraries consortia: **CBUA** (for the community of Andalusia), **MADRONO** (for the region of Madrid), **BUCLE** (for Castilla-Leon), and **BUGALICIA** (for Galicia). These consortia are in charge of negotiating deals with large commercial publishers for access to e-content.

The Association of Universities' Rectors (CRUE), comprising Spanish universities representatives, acts as an interlocutor between regional universities and the central government, advising on the most important questions concerning Spanish HEI development. CRUE is one of the crucial contributors on the higher education scene in Spain and is involved in open access discussions on a national level, including negotiations of deals on e-content with large commercial publishers.

Library community and open access

REBIUN (Spanish Network of University Libraries) is an organisation uniting representatives of academic libraries nation-wide and acts as a main discussion forum for librarians. It comprises several working groups, one of them dealing with questions of open access, with a special focus on repositories. The group is currently composed of 36 members representing 27 Spanish academic institutions (*Repositorios | Red de Biblioteca Universitarias Españolas*, n.d.).

The Spanish Foundation for Science and Technology (FECYT), operating under the auspices of the Ministry of Science and Innovation, is the crucial player on the open access scene in Spain. It oversees the implementation of open access-related developments in Spain, deals with questions of open science infrastructure, interoperability and standardisation, and provides information and guidance on open-access-related questions to institutions and researchers.

FECYT, together with REBIUN, runs the **RECOLECTA** (Open Science Harvester) project, which aims to gather institutional OA repositories in one national platform for open scientific content. RECOLECTA is a significant forum for the library community in Spain, offering advice on open-science-related questions to local repositories' managers.

OA book policies



In 2011, the Spanish government released Ley 14/2011 which encourages the deposition of publicly funded publications in open access repositories (*Ley 14/2011, de 1 de Junio, de La Ciencia, La Tecnología y La Innovación.*, 2011). The law does not require, yet does recommend, OA and focuses on journal publications, making no explicit mention of how books should be treated. The question of open access has been raised in the subsequent **State Plans for Research, Development and Innovation** (2013-2016 and 2017-2020), which stated the push towards open science as being one of their core objectives (*Spanish National Plan For Scientific and Technical Research and Innovation, 2013; Plan Estatal de Investigación Científica y Técnica y de Innovación, 2017*).

Currently, there are 43 institutions with open access policies registered in the ROAR map. Among them twenty mention books specifically:

- CEU Cardenal Herrera University, Repositori Obert de Coneixement de l'Ajuntament de Barcelona (BCNROC)
- Spanish General State Administration
- Spanish National Research Council (CSIC)
- Universidad Complutense de Madrid
- Universidad Internacional de La Rioja
- Universidad Politécnica de Cartagena
- Universidad Politécnica de Madrid
- Universidad Pública de Navarra
- Universidad Rey Juan Carlos
- Universidad de Burgos
- Universidad de Extremadura
- [Universidad de Granada](#)
- [Universidad de León](#)
- Universidad de Sevilla
- Universitat Oberta de Catalunya (Open University of Catalonia, UOC)

- Universitat Politècnica de Valencia
- Universitat Politècnica de Catalunya (UPC)
- Universitat de Lleida
- Universitat de Vic

OA book funding

Funding for open access in Spain does not exist per se: there are no OA book-specific funds on a national or institutional level. OA publications are often financed through research grants. After the economic crisis of 2009, Spanish universities have suffered severe budget cuts, which affected libraries and the available publication/acquisition funds.

Library/scholar-led OA book publishing

No typically scholar/library led OA book publishing initiatives were identified. Some university presses offer an option to publish scholarly books in OA (for example UPV, UPC), with the Publicacions de la Universitat Rovira i Virgili (URV) being a fully OA born publisher.

The existing university presses are rather traditional and not OA-oriented. **Revistas** is a publication initiative that processes OA books, publishing them in PDF format. The press does not charge BPCs to authors. It is covered by the Spanish National Research Council (CSIC). Revistas publishes 70-90 books per year.

Integration of OA books in library systems

Open access books are integrated in the Spanish library catalogues and discovery tools in use.

Important contributors

- Spanish Foundation for Science and Technology: <https://www.fecyt.es/en>
- State Research Agency AEI <https://www.ciencia.gob.es/portal/site/MICINN/aei>
- Spanish National Research Council (CSIC) <https://www.csic.es/>
- Association of Universities' Rectors (CRUE) <https://www.crue.org/>

- Spanish Foundation for Science and Technology (FECYT) <https://www.fecyt.es/en/info/presentation>
- RECOLECTA <https://www.recolecta.fecyt.es>
- REBIUN (Spanish Network of University Libraries) <https://www.rebiun.org>
- REVISTAS <http://revistas.csic.es/index.html>
- Consorcio de Bibliotecas Universitarias de Galicia (BUGALICIA) <http://www.bugalicia.org>
- Consorcio de Bibliotecas Universitarias de Andalucía (CBUA) <https://www.cbua.es/>
- Consorcio MADRONO <http://www.consorcioadrono.es/en/acerca-de/>
- Consorcio de Bibliotecas Universitarias de Cataluña <https://www.csuc.cat/es/bibliotecas>

Sweden

Key findings

- The National Library of Sweden is the main body investigating OA-related issues. The National Library of Sweden is responsible for coordinating OA-related issues and keeping track of costs on a national level
- The National Library also runs the Bibsam consortium, which serves as a vehicle for the shift to OA by negotiating transformative agreements on behalf of the universities and colleges
- Recommendations by the Swedish Government and the Swedish Research Council suggest that the transformation of OA to include all publicly funded research publications should be completed by 2026
- There are no OA book-specific funds in Sweden
- The OA book publishers Stockholm University Press and Kriterium play a pivotal role as library/scholar-led initiatives

- Libraries rely on aggregators for OA book coverage

General library system for e-content and OA publications

Research libraries in Sweden differ substantially when it comes to their size, resources and funding. The **Bibsam consortium**, with 55 participating institutions (as of 2019), is in charge of licence negotiations for e-content with international publishers on behalf of Swedish universities, university colleges, research institutes and governmental agencies (*Bibsam Consortium*, n.d.).

The National Library of Sweden has since 2017 been acting as a national contact point with responsibility for coordinating and investigating work related to the aim of open access to research publications in Sweden (*Koulocheri*, n.d.). As part of this initiative, five national investigation studies have been conducted over the period of 2017-2018, looking into the implications of transition to open access, with one focusing specifically on open access to monographs (see the summary of the recommendations in the main report, 2020) and one focusing on technical and financial support for scholarly journals (which has been translated to English: *Open Access*, n.d.).

Library community and open access

The Swedish Library Association represents both organisations and individuals and their aim is to promote libraries and their work by reporting news and supporting the development of skills for librarians. While the association does not have an open science policy, it follows actions that its member libraries decide to take.

OA book policies

Open access has been an important part of the conversation about the future of scholarly communication since 2006 in Sweden, when the National Library of Sweden started its work towards advancing OA. In 2015 the *Proposal for National Guidelines for Open Access to Scientific Information*, produced by the Swedish Research Council, laid out basic principles for OA in Sweden, recommending that all publicly funded publications (books included), art works and data that the research was based on should be made available open access without embargo periods from 2020 the latest, with the OA policy fully implemented by 2026 (*Proposal for National Guidelines for Open Access to Scientific Information*, 2015).

The Research Bill *Collaborating for Knowledge – for Society's Challenges and Strengthened Competitiveness*, presented in 2016, displayed the vision for higher



education institutions for the period of 2017-2020, with open access being one of the desirable directions (Regeringskansliet, 2016).

The general national approach is followed by universities and research institutes, with individual OA policies differing per institution. There are 12 institutional OA policies registered in the ROAR map for Sweden, with two specifically mentioning books (Blekinge Institute of Technology and University College of Borås).

OA book funding

Funding for OA books in Sweden is generally provided as part of research grants, with no OA book-specific funds available on a national level. Individual institutions might have their own OA funds, geared mostly towards APCs.

Some Swedish research funders, such as Riksbankens Jubileumsfond, encourage researchers to submit applications for publishing costs including books, even if this is not included in the official policy. Others, like the Swedish Research Council, also mentions books in their open access policy, even if it is not a requirement (*Publishing Your Research Open Access*, n.d.).

Library/scholar-led OA book publishing

Two main players in the field of library/scholar-led OA book initiatives in Sweden are Stockholm University Press and Kriterium, the first being a proper publishing house and the latter labelling itself as “a mark of quality”.

Stockholm University Press publishes OA journals and books and is open to proposals from any author, not necessarily affiliated to Stockholm University. The press is run by the university library. Editorial Boards consisting of experts in the fields of humanities, social and natural sciences assess the academic quality of submitted proposals and they are also responsible for selecting reviewers for the external peer review process applied for all manuscripts. The Publishing Committee, consisting of representatives of four faculties of the Stockholm University, supervises the transparency and fairness of the peer review processes and makes final decisions concerning acceptance for publication. Stockholm University Press operates on a gold OA model, with a BPC charged to authors on a case-by-case basis, depending on the range of provided publishing services, with an approximate BPC at £3,250 (+VAT) for a book of about 200 pages. SUP's portfolio consists of 31 OA books and it runs 12 book series. The Editorial Boards consist of at least three to five experts in their respective field, where at least one member should be affiliated to Stockholm University.

Kriterium calls itself a “portal” for review rather than a publisher (*Kriterium*, n.d.). This initiative is a collaborative effort between universities and academic presses focused on publication of peer reviewed academic books, with a special emphasis on humanities, social sciences and Swedish scholarship. Kriterium takes care of the peer review process, while the production of books is carried out by participating publishers. The open access versions of the books are usually published via the Kriterium website and added to the OAPEN Library, while the print books are usually manufactured by the publisher of the book. The initiative is supported by the Swedish Research Council, the National Library of Sweden and the Riksbankens Jubileumsfond. Currently there are nine participating universities (Gothenburg University, Karlstad University, Lund University, Malmö University, Stockholm University, Södertörn University, Umeå University, Uppsala University and Örebro University) and two participating publishers (Nordic Academic Press and Makadam publishers).

Lund University Press is the body led by a steering committee, consisting of representatives of the supporting institutions (SRC, NLS and RJ), of participating university libraries and publishing houses. They oversee the work of the consortium, proposing guidelines, while a group of academic co-ordinators gathered in the Editorial Board supervises the academic merit of the published content. So far, 21 OA books have been published with the Kriterium “mark of quality”. Lund University Press has entered a collaboration with Manchester University Press, where the print books are available for purchase and the online versions are added to the Manchester Hive for additional distribution.

Integration of OA books in library systems

OA books are integrated with the general library discovery systems that rely on EBSCO services. In order to make sure that the users have access to OA books (as they are sometimes not fully covered by EBSCO) libraries add links to DOAB and OAPEN to facilitate browsing through a global OA books portfolio.

Many libraries use the DiVA repository, governed by a national consortium of libraries, to publish and disseminate locally produced books (and other types of publications such as reports, conference proceedings, local journals etc.). DiVA is usually the place where universities publish PhD theses, but it also serves as the main repository for green open access. The archive itself is free to access, but it is up to each contributor to indicate and manage rights for their publication. This means that content may or may not be classified as open access. However, for many libraries this is the only affordable option for them to support open publication.

In addition to that, SwePub, the national publication database, lists more than 25,000 open access books.

Important contributors

- **The National Library of Sweden** <https://www.kb.se/in-english.html>
- **SUHF (The Association of Swedish Higher Education Institutions)** <https://suhf.se/in-english/>
- **The Swedish Library Association** <https://www.biblioteksforeningen.se/in-english/>
- **Bibsam Sweden** <https://www.kb.se/samverkan-och-utveckling/oppen-tillgang-och-bibsamkonsortiet/oppen-access-and-bibsam-consortium/bibsam-consortium.html>
- **Stockholm University Press** <https://www.stockholmuniversitetspress.se>
- **Kriterium** <https://www.kriterium.se/site/en-welcome/>
- **Lund University Press** <https://www.lunduniversitetspress.lu.se>
- **DIVA repository** <https://www.diva-portal.org/>
- **SwePub** <http://swepub.kb.se>

The Netherlands

Key findings

- The Netherlands, being a small country, enjoys close geographical proximity of libraries which form tight professional networks
- The National Open Science Plan was introduced in 2017 and it includes books
- There are OA book-specific funds, both on national funder and institutional levels
- There is a plethora of stakeholders engaged in the implementation of the National Open Science Plan: the UKB (The Dutch library consortium), VSNU (the Association of Universities in the Netherlands (VSNU) and the NWO (the

National Research Foundation) and the NPOS (Netherlands Plan Open Science) being the crucial players for scholarly books output

- No typically scholar/library-led OA book initiatives based on non-BPC models were identified
- Libraries rely on aggregators for OA book coverage

General library system for e-content and OA publications

The Dutch higher education system comprises public research universities and universities of applied sciences, as well as medical and private business schools. The Netherlands has been among the first European countries to support transition to open science, and academic libraries played a significant role in the development of OA on a national level. The **UKB** consortium, comprised of 13 Dutch research libraries, the Open University Library and the National Library of the Netherlands, represents the interests of its stakeholders (*Leden | UKB*, n.d.). In the 2017 document entitled *The Power of Synergy. Ambitions 2017-2020*, UKB identified five focus points for its activities, ranging from the library architecture requirements, creating and maintaining access to collections, supporting teaching staff, students, and researchers to setting up joint systems (*The Power of Synergy. Ambitions 2017-2020.*, 2017). UKB, together with **VSNU (The Association of Universities in the Netherlands)**, is in charge of negotiating deals with large commercial publishers on a national level. Following the government's directives, the UKB and VSNU are making sure that no new deals are signed without an open access component.

Libraries and open access books

The library community is OA-oriented and interconnected, with a strong presence of both formal (UKB) and less formal (mailing list) networks. Several working groups, comprised of librarians, operate within larger open science-related projects, sharing best practices and informing strategical decisions taken by each library. The **UKB Open Access Working Group** focuses specifically on all OA-related issues.

There are two main communication channels about OA geared towards the academic sector in the Netherlands: openaccess.nl provides information on current OA policies, OA-related projects and the advantages of OA, while **the National Platform Open Science** was set up to monitor developments in open science and open access on a European scale and share best practices.

OA book policies

In February 2017, following its 2016 EU presidency and strongly pushing towards OA on the European scale, the Netherlands released its *National Open Science Plan*. It called for open access, with no embargo periods, to all publicly funded scholarly publications (books included) to be achieved by 2020. The implementation of the National Plan was handed to the joint forces of VSNU, UKB and SURF (*National Plan Open Science*, 2017).

A recently established project *C1: Exploration of broadening Open Access to books* is exploring the measurements to be taken and further policies to be implemented in order to increase the uptake of OA books (*Project C1: Verkenning Verbreding Open Access Naar Boeken*, n.d.).

The Dutch Research Council (NWO) has also mandated OA on publications funded by their grants for journals, book chapters and books.

Most Dutch HEIs have created their own institutional OA policies. Currently, there are 11 HEIs listed in the ROAR map with OA policies. Among them, however, only four specifically mention books (Radboud University, Royal Netherlands Academy of Arts and Sciences, Tilburg University and Wageningen University). All HEI repositories are aggregated in www.narcis.nl.

OA book funding

There are OA book-specific funds in the Netherlands, on both the funder and institutional levels.

NWO has recently launched a funding scheme dedicated specifically to BPC payments for OA monographs resulting from NWO funding. The fund amounts to up to 10,000 EUR per book and makes it clear that it is for monographs only, excluding other types of book-form publications such as trade books, conference proceedings, textbooks and dissertations (*Open Access Books | NWO*, n.d.).

Dutch researchers at **TU Delft** and **Utrecht University** can also take advantage of institutional funds, which cover both APCs and BPCs. They come with a funding cap (at Utrecht University, 50% of BPCs are reimbursed with a maximum of cap at 2,500 EUR, while TU Delft put its cap at 4,500 EUR per book)(*Open Access Fund - Utrecht University Library - Universiteit Utrecht*, n.d.; *Open Access Funding*, n.d.).

Library/scholar-led OA book publishing



Alongside university presses — such as **Amsterdam University Press**, with its long tradition of OA book publication — there are institutions offering publishing services to their authors. Among them, TU Delft provides its researchers with an option of publishing OA books under its imprint **BK Books**, associated with the Faculty of Architecture and Build Environment. Publishing services are reserved for the TU Delft affiliates; the press operates on a BPC model. BK Books operates on Open Monographs Press software and releases books in PDF format (*BK BOOKS*, n.d.).

As of 2019, **University of Groningen Press** offers a platform for affiliated researchers, where they can publish academic books in open access. The press runs on Open Monograph Press with books available as PDF files (*Books and Series*, 2019).

Among scholar-led presses one notices **Open Press TiU**, associated with the Tilburg University, which aims to publish 100% of their books OA. The press charges “*affordable and transparent book processing charges*” to authors (*Open Press | Openpresstiu*, n.d.).

No OA book publishing initiatives operating on a BPC-alternative model were found.

Integration of OA books in library systems

Open access books are integrated with the discovery tools and library catalogues in The Netherlands. For this inclusion they rely on the service providers, without taking additional measures to list DOAB for a list of open access books available.

Important contributors

- UKB <https://www.ukb.nl/>
- The National Research Organisation (NWO) <https://www.nwo.nl/en>
- VSNU https://www.vsnu.nl/en_GB
- openaccess.nl <https://www.openaccess.nl/en>
- National Platform Open Science <https://www.openscience.nl/en>
- SURF <https://www.surf.nl/en>
- University of Groningen Press <https://www.rug.nl/library/ugp/about>
- TU Delft Open <https://books.bk.tudelft.nl/index.php/press/open>
- OAPEN <https://www.oapen.org>

- U of Amsterdam <https://www.aup.nl/en/publish/open-access>
- BK Books <https://books.bk.tudelft.nl/index.php/press>
- Open Press TiU
<https://www.tilburguniversity.edu/research/open-science-community/open-press-tiu>

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Part 2: Innovative business models for Open Access Books. Case Studies.

Introduction

Aims



This report's ambition is to gain a deep understanding of the intricacies of chosen publishing models for OA books, as they are applied in the European landscape. Moreover, it seeks to identify the most important challenges that the chosen presses are facing, in the realm of administration, legal issues, infrastructure, funding or others.

In order to do so, it explores nine case studies, analyzing the “what”, “why” and “how” of each case. It looks at the general profile of each press, exploring the size of their yearly book output, administrative and legal structures, as well as formats offered, and licenses applied. The report sheds light on reasons underpinning choices of a particular model, pointing out suitability of different models adapted for different circumstances. A close analysis of both revenues and costs, and their distribution helps paint a nuanced picture of each case. Finally, the report lists crucial challenges adherent to each particular model, as perceived and described by their practitioners.

Scope

For the sake of coherency, the scope of this report has been set to be the same as the scope of our previous report on academic libraries in Europe. We have therefore looked at examples of innovative publishing models for OA books within the OPERAS core members: Croatia, France, Germany, Greece, Italy, Poland, Portugal, Slovenia, The Netherlands, and the United Kingdom, adding the Nordic countries to this mix. Within this scope we have focused on countries where we were able to identify the existence of innovative publishing models for OA books. The following selection is to show diversified examples and does not claim to be an exhaustive representation of the landscape. We are well aware of other examples not included in this report, and our hope is that this report will become the first step in creating a database of existing innovative models for OA books, a base of knowledge and exchange of best practices from which other publishers can learn. We encourage your participation in this project and strongly encourage you to submit your cases to this open database.

Methodology

The report is based on a systematic literature review, desk-based research, and most importantly on in-depth interviews that were conducted with representatives of each of the presented case studies.

In the final stage of report preparation, we asked the interviewees for their feedback on

their case study's analysis and COPIM colleagues for their feedback on the document.

The interviews have been conducted by Agata Morka, who has also written the present report. Rupert Gatti, as the OPERAS-P Task 6.2 leader, has supervised all the steps, providing general structure for the performed tasks.

Definitions

In this report, we define **OA books** as both scholarly monographs and edited volumes, published open access. Textbooks, having different methods of usage and acquisition criteria, are not covered by the OA book definition, therefore they are specifically referred to as “textbooks”.

Described **challenges** of each case study are the challenges as stated and perceived by our interviewees when asked about difficulties they encounter while practicing their particular model.

Sustainability of the model has been assessed by the interviewees, based on their own experience with a practiced model.

Acknowledgements

The authors of the report are grateful to all interviewees, without your kind help this report could simply not exist.

We would also like to thank our OPERAS-P and COPIM colleagues, who kindly reviewed the report and offered their feedback and encouragement.

Most frequently used acronyms

BPCs Book Processing Charges

DOAB Directory of Open Access Books

HSS Humanities and Social Sciences

OA Open Access



POD Print on Demand

FF Open Press

“It is nice to have a stable source of revenue. At the same time, I guess it is a problem...” (I. Melinščak Zlodi, personal communication, 16.02.2021)

WHAT?

FF Open Press is a faculty press associated with the Faculty of Humanities and Social Sciences (FHSS) of the University of Zagreb. It was established in 2002. It publishes OA books in the humanities and social sciences. Its model relies on subsidies from the Ministries of Science and of Culture and in-kind support coming from the FHSS. Each year, in response to a call sent out by these Ministries, the press submits a funding request for books it would like to publish. Funding is granted on a per-title basis. The publishing offer is geared mainly towards the faculty affiliated with the FHSS, but the press also welcomes submissions from authors from different institutions. In 2019 FF Open Press, a platform for OA publications, was established.

Number/ type of OA books published per year: 30–40 titles per year, mostly edited books and conference proceedings, about 10 monographs per year. The faculty also publishes 10 open access journals.

Fully OA? While journals are all fully OA, books are not. FF Press started publishing OA books in 2019. The decision on whether to publish a book OA is made by the authors or editors (in case of edited volumes). The proportion of OA versus non-OA books is about 30%. Proportion might change depending on the authors' interest in OA.

Language of publications: Mainly Croatian, with some titles in English or other European languages (some titles are bilingual).

Legal status: FF Open Press is a “faculty press”, strictly associated with the Faculty of Humanities and Social Sciences of Zagreb University. The press, when it comes to the development of its OA publishing activities, relies on the department's library.

Personnel: Four FTEs work for the FF Open Press, however their tasks do not involve OA books specifically. The library's personnel (five people) deals with the OA books submission processes, editing and production, yet their responsibilities involve areas other



than OA books as well.

Licences used: CC BY-NC-ND (for OA-borne books), with other CC licences sometimes used, if the author insists on a different type. For books made OA retrospectively, the press does not apply Creative Commons licences, but rather applies the InCopyright statement, as used by Europeana.

Formats offered: The books are offered as PDF files. Some books are also available in print, some are digital only.

Hosting platform: The FF Open Press books are hosted using the Open Monograph Press software. The FF Open Press uses the Faculty of Humanities and Social Sciences' server.

WHY?

Open access for journals in Croatia has gained momentum with the introduction of HRCAK: a national repository for academic journals. Journals want to be included in HRCAK as it boosts their visibility, and it is easier to get funding for OA projects in this realm. While OA publishing in the realm of journals has become the norm, it is not the case when it comes to books. However, books are also slowly adopting the open access publishing mode, and a specific national circumstance enhances the transition of long-text scholarship towards OA. This circumstance is the fact that most Croatian scholarly books are published in the native language, and as such do not stand a chance in reaching a big audience so that publishing them is not financially sustainable without heavy reliance on subsidies. Print sales are not high enough in these cases to make the model viable. Since there is already funding coming for book publishing on the national and institutional level, FF Press decided to use these funding streams and invest them in making their books OA. The decision was also determined by the promise of the greater visibility that comes with making a book open access.

HOW?

Governance structure

There are two main stakeholders involved in OA book publishing: the faculty press and the library. While the press is responsible for the editorial tasks, production and distribution of print copies, the library deals with the development and maintenance of the FF Open



Press platform, as well as with uploading books to the platform, creating metadata and online disseminations. The press has a Publishing Board which consists of scholars representing different areas of humanities and social sciences. The Board is responsible for the beginning of the publishing process, namely submissions and reviews. The Board members, based on reviews, decide which books to publish. They are supported by thematic editors, who, in agreement with the Board, choose reviewers for monographs and, together with conference organizers, review conference proceedings.

Publishing workflow

1. Acquisitions

Authors are encouraged to submit book proposals to the press, most titles are acquired that way. They are then reviewed by external editors chosen by internal thematic editors (for conference proceedings).

2. Production

PDF files for both print and digital editions are produced within the FF Press, while production of print copies is outsourced. The press works with several Croatian printing companies. Books are printed in small print runs. Print on Demand option is not available, there are no POD service providers on a national level.

3. Distribution

Currently, there is no organized workflow for distribution. The press is starting to list their OA books in the Directory of Open Access Books. Distribution mechanisms are on the list of issues to explore in the future for the press.

4. Marketing

Chosen books are promoted via social media (Facebook) and are promoted in conferences. Since the majority of books are written in Croatian, promotion is geared towards a national, rather than an international audience.

5. Preservation

All books are deposited in HAW, the Croatian Web Archive, under the aegis of the National Library.

BUSINESS MODEL



All books published by the FF Open Press (including OA and non-OA) rely on subsidies coming from the Ministry of Science and the Ministry of Culture. The press has to prepare submissions for the yearly call out from the ministries. This call out, rather than being specifically geared towards open access projects, is for books in general. It operates on a national level and is open to all kinds of publishers: be they university or faculty presses, or commercial publishers. The books compete for subsidies individually. For each title, the press has to submit an application, which includes an overview of the book's content, two reviews and planned publication costs. If the funding application is successful, the title will get published and the author gets to decide if it will be open access and if it will be offered as a digital file only, or as a print edition as well.

Revenues

Total annual revenue associated with books (both OA and non-OA) falls in the 50.000-100.000 EUR. Most of this sum was acquired through national subsidies. The second biggest revenue component was in-kind contributions coming from the faculty and library. Subsidies are allocated for books in general and then some of them are published OA, therefore the press cannot estimate the exact revenue stream associated with OA books only. Print sales make up the smallest component of the revenue structure. The press does not generate profit; subsidies cover its costs.

Costs

Printing and typesetting are stated as being among the highest cost components.

Sustainability

The model is perceived as sustainable, as no major changes in the subsidy system in Croatia are expected in the coming years. In order to secure more funding dedicated specifically towards OA books, more commitment from funders (for example OA mandates for books) would need to be developed.

CHALLENGES

The main challenge of the model is its **dependence on one sole source of revenue**: subsidies coming from the ministries. While this funding stream is perceived as stable, it can also be seen as a threat: if the funding is cut, the press would not be able to sustain itself.

Current low library budgets in Croatia undercut the possibility for experimentation and

investment in collaborative funding models.

Presses also face the challenge of **limited human resources**: there are few specialists in the area of OA books in the country. These specialists divide their time between numerous OA projects meaning that their expertise is not easily accessible.

Finnish Literature Society

“The main thing that interests us in open access is the fact that the books are available for everyone and that they are accessible from anywhere.” (N. Alén, personal communication, 19.03.2021)

WHAT?

The Finnish Literature Society (SKS) was founded in 1831 and has a long tradition of supporting and advancing studies in the Finnish culture and language. It is a learned society, which, among its goals, states its desire for “*conveying information about oral and written Finnish cultures and their study*” (“About the Finnish Literature Society (SKS)”). Looking into fulfilling this goal the SKS has, since the beginning of its existence, been looking into organizing its own publishing activities. Only three years after the SKS was founded, The Publishing House was created. Since 1834 the Publishing House of the SKS has been publishing textbooks, dictionaries and translations of classic literature into Finnish. It was also among the first to publish novels in Finnish. At present it focuses on publishing academic books under the series Studia Fennica.

Number/ type of OA books published per year: SKS is the largest publisher of scholarly monographs in humanities in Finland. It publishes monographs and edited volumes in the area of cultural studies, history, literature and Finnish language. It publishes around 20 OA books per year. Published books are organized into series. Published books are organized into series. Currently, SKS publishes 5 of them: Suomalaisen Kirjallisuuden Seuran Toimituksia, Tietolipas, Historiallisia Tutkimuksia, Historiallien Arkisto, and Studia Fennica. The Studia Fennica series is divided into six sub-series dealing with the topics of anthropology, ethnology, folk studies, history, linguistics, and literature.

Fully OA? As of 2021 all books are published open access.

Language of publications: English and Finnish, estimate for 2021 is 21 Finnish language titles, 1 English language.

Legal status: The Finnish Literature Society is a non-profit scholarly society with the Publishing House being one of its six divisions.

Personnel: There are seven FTEs in the scholarly publishing department, four of which work solely on OA publications.

Licences used: CC BY-NC-ND

Formats offered: PDF, EPUB, Print on Demand

Hosting platform: The Finnish Literature Society is a partner of Ubiquity Press. Books are hosted on the Ubiquity Press's platform. Printed works are purchased directly from the publisher.

WHY?

In 2014 SKS started actively looking into the possibility of publishing open access. They did research into what benefits OA could bring them and were interested in the possibility of gaining a wider audience with OA. They decided to experiment, first with the Studia Fennica series (in English), which started its first OA volumes in 2016. Based on the increase of usage of the Studia Fennica that they have seen since 2016, SKS, as of 2021 decided to fully switch to OA. All books are also available in print.

In 2014 SKS started actively looking into the possibility of publishing open access. They did research into what benefits OA could bring them and were intrigued by the possibility of gaining a wider audience with OA. They decided to experiment, first with the Studia Fennica series (in English), which produced its first OA volumes in 2016. Based on the increase of usage of the Studia Fennica Series since 2016, SKS, as of 2021, decided to switch fully to OA (*Tieteelliset julkaisusarjat*, n.d.).

HOW?

Governance structure

SKS as an organization is governed by the Board of Directors, which is elected by delegates. The Board is the highest decision-making body, while the Secretary General is in charge of SKS's activities. There are six divisions of the Society, each looking into different activities: the Archive, the Library, the Research Department, the Administration and Finance Department, Finnish Literature Exchange, and the Publishing House.

The Publishing House is headed by a publishing director and it has three Editorial Boards responsible for publishing decisions.

Publishing workflow

1. Acquisitions

Authors submit their proposals to a Publishing Coordinator, who does the primary check and sends them over to the series' editorial boards for further evaluation. If the proposal is accepted by the series' publishing committee, it is then sent out for peer-review.

2. Production

Editing and typesetting work can be done in house or it can be outsourced. In-house editing is done by an editor and graphic design is carried out by a technical editor.

3. Distribution

Distribution of digital copies is outsourced to Ubiquity Press, which makes sure that the books are included in DOAB and takes care of indexing. SKS's books are available on their Society's own website, through DOAB, JSTOR, Summit and Google Books. The Society's library division is responsible for indexing OA books in the Finnish library catalogues.

4. Marketing

The Society uses social media to promote the books. In addition, once per year the Society publishes a catalogue, in which all their new books are featured. This catalogue is sent out to Finnish libraries, bookstores, book fairs, SKS members etc. Print books are also marketed directly to bookstores and libraries.

5. Preservation

The Society is required to deposit print copies, as well as digital editions of their books in the Finnish National Archive.

BUSINESS MODEL

As a scholarly society the Finnish Literature Society bears the principal economic responsibility of its publishing activities. As such it covers the bulk of all costs associated with book production. There is a Book Processing Charge, fixed at 6,000 EUR per book. However, BPCs apply only to authors who have some publication funds. In most cases the

Society applies its generous waiver policy (so far only one title has been published with BPCs). SKS is also actively looking into alternative funding models for their OA books: it experimented with a library consortia funding model, modeled after the Knowledge Unlatched scheme, yet translated into the national, Finnish context. The model proved to be unsuccessful: it could not sustain itself on the support coming from the Finnish libraries alone. The SKS is collaborating with national stakeholders such as the Federation of Finnish Learned Societies in order to help develop new funding models suitable to Finnish conditions.

Revenues

Total annual revenue associated with books for 2020 falls in the €100 000-500 000 bracket.

Revenues come from diversified streams: among them the largest is funding coming from the Society, followed by print sales and state subsidies. State subsidies are granted to learned societies in Finland to be used for covering publications costs.

Costs

The largest cost components are associated with editorial processes, including typesetting (estimated at 60% of total costs). Marketing has been identified as the second largest cost component, followed by warehousing and production. Warehousing costs are mainly due to old stock.

Sustainability

While the model is perceived as sustainable for the time being for SKS, it has also been noted that it would not be suitable for smaller learned societies that depend solely on revenue from their publications.

CHALLENGES OF THE MODEL

The SKS states that one of the biggest challenges of the model is its **reliance on Book Processing Charges**. The Society would like to transition towards a model that does not involve BPCs and would welcome a national funding mechanism for OA books that would facilitate such a transition.

The lack of developed shared infrastructure relevant to the needs of OA book publishing has also been pointed out as a road blocker for smaller societies trying to adopt open access.

Helsinki University Press

“The BPC model treats researchers in a very unequal way, and so that’s why we didn’t want to adopt it.” (L. Kaakinen, personal communication, 18.02.2021)

WHAT?

Helsinki University Press (HUP) is a young press, founded in 2017. The first OA book was published by HUP at the beginning of 2020.

It is a fully open access press, publishing both books and journals in all academic disciplines. They publish three OA journals and two book series, alongside individual book titles. Authors wishing to publish with HUP do not have to be affiliated with the University of Helsinki, the press welcomes proposals from researchers all over the world.

Number/ type of OA books published per year: HUP publishes academic monographs and edited volumes. In the first year of OA book publishing, HUP published six books. In 2021 they are expecting to publish ten books.

Fully OA? All books are published OA

Legal status: University press, associated with the University of Helsinki. The legal owner of the press is the university’s library. HUP operates under the aegis of the library in cooperation with Gaudeamus publishing house, which is responsible for the publishing operations of HUP.

Personnel: Two FTEs, plus one employee working 60% for the press and one working 50% for the press. All employees are dedicated strictly to working with OA books, with different areas of responsibilities.

Language of publications: English

Licences used: CC BY-NC, other CC licences allowed on authors’ requests

Formats offered: Books are offered in PDF, EPUB, MOBI and Print on Demand.

Hosting platform: HUP partners with Ubiquity Press, books are hosted on the Ubiquity Press’s platform.



WHY?

Before deciding on publishing books OA, HUP had completed a three-year research project looking for a viable publishing model that would suit their and their authors' needs and that would not be based on the Book Processing Charges (BPCs). They have initiated best practice exchanges with other existing presses publishing OA books. Their priorities were to create a publishing opportunity that would be available for authors coming from different backgrounds, regardless of their economic circumstances. The HUP model combines the publishing experience of the press with the metadata, indexing and discoverability experience provided by the library.

HOW?

Governance structure

Publishing decisions are made by the HUP Academic Board. As of April 2020, the body consists of 17 members, coming from international institutions. The board meets regularly to choose titles that will be published from proposals presented by the press editors.

Publishing workflow

1. Acquisitions

Acquisitions are done both by the press editors and by the members of the Academic Board, using their professional networks. HUP also receives a number of unsolicited submissions. Press editors are responsible for the reviewing process: they need to find two external reviewers for each book. The results of the reviews are presented to the Academic Board which makes the final publishing decisions based on them. Books in books series are reviewed by the series editorial team.

2. Production

The production process is outsourced yet supervised by the press personnel. Print editions are offered as a Print on Demand option. HUP partners with Lighting Source for the POD services.

3. Distribution

The distribution of print and digital copies is handled by Ubiquity Press; they ensure that the books are listed in DOAB and JSTOR. HUP does not engage in the process, leaving it to their partner.

4. Marketing

HUP makes a marketing plan for each title, based on conversations with the author who is asked to identify potentially interested audiences, networks and mailing lists that could be used. Social media platforms are the most prominent tool for marketing. HUP also sends print copies of their books to be reviewed by a journal relevant to the book's topic. Marketing activities are done completely in-house.

5. Preservation

Preservation is outsourced and lies within the responsibility of Ubiquity Press, which uses CLOCKKS.

BUSINESS MODEL

The press relies on subsidies coming from the university, combined with funding from researchers' grants. Authors are not charged BPCs. In the case of book series associated with a specific institution, funding is ensured by the institution owning the series.

Revenues

Total annual revenue associated with OA books for 2020 was falls within the brackets of 100.000- 500.000 EUR. The largest source of revenue (estimated at 75%) is university subsidies. The second biggest funding streams come from specific research grants, where publication money is available, and from subsidies from institutions publishing book series with HUP. The smallest revenue stream comes from subsidies from print sales.

Costs

Main cost components are associated with editorial activities and acquisitions. Next in line are distribution and marketing. The lowest cost component lies in printing and warehousing, which are very low or non-existent, given the fact that HUP uses the POD option.

Sustainability

HUP finds its current model to be sustainable. It relies on mixed revenue streams, of which the largest one – university subsidies – is stable in nature. Mixing different funding sources allows HUP to be more flexible. Although satisfied with its current model, HUP is also exploring other potential models and is interested in collaborative approaches. No major changes to the existing publishing model are expected in the most immediate future.

CHALLENGES

Among the challenges encountered with the current operating models, HUP lists **administrative hurdles** as one of the main road blockers. Setting up the press required engagement and coordination between the various stakeholders involved, agreeing on the amount of university funding provided, and the allocation of human resources proved to be challenging during the first stages of establishing the OA book operations of the press.

The **lack of infrastructure** suitable for OA book publishing also proved to be challenging and was one of the determining factors that influenced the decision to use external partners for hosting, distribution and preservation.

Moreover, among challenges of a more general nature relating to OA publishing (not its own specific model), HUP points to the scarcity of institutional funding for OA books, as well as to academic recognition systems, which do not encourage researchers to publish their books OA.

Language Science Press

“There were a couple of linguists (...) and they decided that it just couldn’t continue like that.” (S. Nordhoff, personal communication, 16.02.2021)

WHAT?

Language Science Press was established in 2014. It is a scholar-led, fully OA press, publishing books in the area of linguistics. Its model relies on a collaborative funding coming from libraries and library consortia, facilitated via Knowledge Unlatched. Books are published in thematic series (as of March 2021 there are twenty-six active series and three in incubation).

Number/ type of OA books published per year: 30, mainly monographs and edited volumes, sometimes textbooks, no trade books.

Fully OA? The press publishes open access only.

Language of publications: English, German, French, Portuguese, Spanish, Chinese, + 2 chapters in Italian

Legal status: charitable Ltd company: gemeinnützige Unternehmergeellschaft (haftungsbeschränkt). Non-profit.

Personnel: The press has two part-time employees (50% each), working on OA books only.

Volunteers coming from the linguistics community are used as proofreaders. Proofreading takes place on the [Paperhive](#) platform, where the community can collectively review manuscripts in a sneak preview option. The proofreader community consists of more than 400 members. Most active ones are listed in the LSP's "[hall of fame](#)".

Licences used: CC-BY. LSP permits exceptions from the preferred licence. These cases are very rare (one book CC-BY-SA and one anthology CC-BY-NC-ND).

Formats offered: PDF, Print on Demand hardcover. Books are written in LaTeX.

Hosting platform: Zenodo, with Open Monograph Press as a frontend. Additionally, hosted at the repository of the Freie Universität Berlin

WHY?

The idea for setting up Language Science Press stemmed from a certain frustration expressed by academics in the field of linguistics. The frustration had to do with the state of scholarly publishing, where scholars are not paid for rendering services to publishers (such as reviewing books) and lose rights to their own work. In the latter case, the work can then be sold and re-sold by publishers, who set high prices on print copies of books, which, in practice, restricts access to produced knowledge.

HOW?

Governance structure

The company is owned by three associates (Müller, Haspelmath and Nordhoff). The former two act as press directors and are responsible for scientific quality, while the latter is the managing director and responsible for administration. The press has an Advisory Board consisting of 13 members (as of January 2021). The Advisory Board has the power to decide on acceptance or rejection of series proposals (*Advisory Board | Language Science Press*, n.d.).



Publishing workflow

1. Acquisitions

Acquisitions are done by series editors, with a number of unsolicited submissions being received directly by the press. Authors are expected to submit book proposals to one of the 26 thematic series. Proposals are reviewed by the series editors. Series editors acquire titles and are responsible for reviewing and accepting or rejecting submitted manuscripts. Additionally, the first five titles in a new series must be vetted by the press directors.

2. Production

Manuscripts are first made consistent with the in-house style by LSP's employees, then they are run through community proofreading tools. The final typesetting is undertaken in-house, using templates for covers.

Production of print copies is outsourced to [Books on Demand](#) (BoD). LSP converts the original PDF file to PDF/X, produces a cover and uploads the PDF and XML-metadata to the BoD FTP-server.

3. Distribution

Digital copies are available from langsci-press.org. They are also available on Zenodo, DOAB, OAPEN, GoogleBooks.

Print copies are distributed by BoD. Print copies cannot be purchased directly from the LSP website, the LSP's website links to Amazon for print copies purchases.

4. Marketing

Social media and discipline specific mailing lists are used for promotion. Print copies are not promoted.

5. Preservation

Books are archived on Zenodo and in the repository of the Freie Universität Berlin.

BUSINESS MODEL

LSP primarily applies a collaborative funding model, in which libraries come together to finance the press. The model relies on Knowledge Unlatches as a middleman. Libraries

pledge support every three years. In addition to that, LSP benefits from four other revenue streams: individual memberships, donations, BPCs and print copy sales. These additional revenue streams do not contribute significant figures though. BPCs are generally not applied. If a project has funds available, a BPC can be applied. The amount varies and is adjusted according to individual projects' financial capacities.

Revenues

Total annual revenue associated with OA books for 2020 was 120,000 EUR. Most of this sum (90%) was made up from institutional memberships (libraries participating in collaborative funding via Knowledge Unlatched, 105,000 EUR). The second biggest revenue component came from BPCs and print sales, while donations supplied the smallest part of the total revenue.

Costs

The largest expense is associated with the two part-time employee's salaries and accounts for about 90,000 EUR per year. Other main cost components are associated with printing (mandatory print copies that need to be sent to national libraries) and distribution (assigning DOIs, ISBNs, etc). Further costs were associated with author support, manuscript processing and typesetting, and finally with overheads.

Sustainability

The model seems to be solid. LSP is not envisioning any major changes to its core set-up and plans to continue using the current model.

CHALLENGES

In the first years of the press's existence the main challenge lay in the **financial area**, as the press struggled to break even. The process of achieving this took about five years.

Once this goal had been reached, the main challenge became **growth**. The press's revenue is fixed for the period of three years (Libraries commit to financing the press for the period of three years, with each pledge round facilitated by Knowledge Unlatched). If within this period demand increases, LSP is not in a position to generate additional revenue to handle the demand.

Meson press

“We are not so much into competition or making profit... It's about publishing good books and giving authors good opportunities to publish.” (A. Kirchner, personal communication, 17.02.2021)

WHAT?

meson press is a small scholar-led press. It was established in 2015. It works as a cooperative with three founding members: Mercedes Bunz, Marcus Burkhardt and Andreas Kirchner. The press publishes open access books in the area of media studies, philosophy of technology, and digital cultures. It does not publish journals. In 2018 meson press was a founding member of the ScholarLed initiative, which brings together OA scholar-led presses.

Number/ type of OA books published per year: meson press publishes monographs, multi-authored monographs, and edited volumes (some of them based on conferences). They also experiment with so-called “growing publications”, in which the text is gradually added. Their output is six to seven books per year.

Fully OA? meson press publishes OA only.

Language of publications: Most of the books are published in English, but some are in German.

Legal status: Since 2015 meson press has held the status of a cooperative.

Personnel: No FTEs. The press is run by the three founding members, each of whom has a full-time job and works on meson press as an additional project. Copyediting and proofreading is outsourced.

Licences used: Creative Commons CC-BY-SA, exceptions permitted.

Formats offered: PDF, Print on Demand. Some exceptions, where books are also made available as EPUBs or HTML.

Hosting platform: Books are hosted on meson press's own website, which is a WordPress site.

WHY?



The idea for the creation of the press sprung from the Hybrid Publishing Lab, at the Leuphana University of Lüneburg. The three founding members of meson press had worked there together and were looking for ways of establishing a scholar-led OA press that would publish books pushing the boundaries of media studies and advancing “key debates in the humanities today” (*About*, n.d.). They were looking for a set-up that would depart from the for-profit oriented publishing options and whose governance structure would be based on democratically made decisions.

HOW?

Governance structure

meson press is organized as a cooperative, therefore its governance structure is very democratic. Each member of the cooperative is entitled to one vote of equal importance, regardless of their financial input. The cooperative is open to new members and so-called “silent members”, however, so far it consists of the three founding members only.

Publishing workflow

1. Acquisitions

Authors can submit their proposals to meson press via email by filling out a publishing proposal form. The three founding members of the press do sometimes actively seek authors or act as editors for edited volumes. In the first years of the press’s existence acquisition relied mainly on the academic networks of the three founding members.

2. Production

Copyediting and proofreading is often outsourced, whereas typesetting happens in-house. meson press offers a Print on Demand option with all their books. Printing is outsourced to Ingram and Books on Demand. For some books an initial, small print run is produced with several partnering small printers in Poland or Germany and, in some cases, with the POD partners. Shorter books (about 70 pages long) also often have an initial print run produced by companies in Germany. These books are then offered for free at conferences.

3. Distribution

For digital editions meson press also has its own repository, run on [Omeka](#) software. They work closely with a number of repositories: [media/rep/](#) (German repository for media studies) and [SSOR](#) (Social Sciences Open Repository, based in Germany at GESIS). Their books are included in the German National Library, OAPEN and DOAB.



Print copy distribution is done by the POD services (Ingram and BoD).

4. Marketing

Marketing is done in-house, using social media and mailing lists. In some cases meson press organizes book launches in bookstores that they have a good relationship with. Books are also presented at conferences. However, marketing is not done systematically, due to the lack of time, and it is the area of the publishing process that meson press would like to look into more.

5. Preservation

Preservation is ensured by depositing PDFs in the above-mentioned repositories.

BUSINESS MODEL

Meson press uses Book Processing Charges, keeping them very low. The amounts vary, depending on the book length and services provided, but usually fall in between 1,500–5,000 EUR per book. Within the German publishing tradition, where authors are accustomed to pay for the publication of their books, the introduction of BPCs proved to be relatively easy.

Revenues

Total annual revenue associated with OA books for 2020 falls into the 10,000–100,000 EUR range, being closer to 10,000. The main source of revenue comes from Book Processing Charges (estimated at around 75% of total revenues). The second largest revenue component is print sales.

Costs

Copyediting and proofreading – activities which are outsourced – account for the largest component of costs.

Sustainability

The model, relying on low BPCs and print sales, seems to be sustainable in the German context, in the sense that the press is able to break even or make a modest profit at the end of the year. The press, however, relies on the time and commitment of the three founding members, who are not paid for the work they do for the press on a regular basis (unless they are remunerated for proofreading or copyediting), but rather receive a kind of

an annual expense allowance from the profits made. While describing the model as sustainable, meson press is also looking into adapting more innovative models like platinum or diamond OA to complement the gold OA option.

CHALLENGES

Human resources and time are the most challenging areas for meson press. With no full-time employees, the press depends on the voluntary work of its founding members.

The small scale of the operation also makes it difficult to change the business model towards one with a more cooperative funding approach, as in that case meson press would not be able to act as an individual press and initiate a dialogue with libraries.

The lack of necessary infrastructure also prevents the press from exploring the cooperative funding models involving libraries, as it would be impossible for the press to handle the financial side of operations, administer billing, etc.

Open Book Publishers

“Where there is a will, there is a way”. (R. Gatti, personal communication, 15.04.2021)

WHAT?

Open Book Publishers (OBP) is an independent scholar-led nonprofit press publishing peer-reviewed academic books in all disciplines. It was founded in 2008 and is now the largest independent OA publisher of scholarly monographs in the UK. OBP is divided in two operating arms: there is a publishing division, dealing solely with book publication processes and a software division, which at the moment, works closely with the COPIM and OPERAS-P projects.

Number/ type of OA books published per year: OBP publishes around 40 titles per year.

Fully OA? The press is fully OA.

Language of publications: mostly English, with a small number of titles in French and German and some bilingual editions.

Legal status: a UK registered Social Enterprise, nonprofit (Community Interest Company).

Its assets must be reinvested into company mission's development. It cannot be sold or its assets transferred to anybody except a nonprofit organization.

Personnel: OBP employs four and 1/3 full-time equivalent people in its publishing division and three people in its software division.

Licenses used: CC BY strongly recommended, exceptions allowed (it is estimated that about 82% of books were published under CC BY, 16% under CC BY-NC-ND, and 2% under other Creative Commons licenses)

Formats offered: PDF, EPUB, MOBI, HTML, XML and Print on Demand (paperback and hardback)

Hosting platform: Books are hosted on the OBP's own website, as well as many other platforms (eg OAPEN, GoogleBooks, etc.)

WHY?

OBP is an OA born publisher. Until 2014 its main revenue stream was coming through print sales and title grants. During this time, the press was finding it challenging to break even. They wanted to reach the point where the revenue stream would be predictable and find a scope to grow, especially in the area of marketing and distribution. An interest-free loan from a trust fund gave OBP the facility to finance a marketing position and introduce the Library Membership Programme, which is a critical component of the press's current model.

HOW?

Governance structure

OBP is governed by three Directors, which form a Board. Directors have shares, not equally distributed among them, but divided in such a way that two people are required for a majority. Acquisition and publishing decisions are made by the three directors. There are also Editorial Boards at a series level.

Publishing workflow

1. Acquisitions

When it comes to acquisitions, OBP relies primarily on proposals directly submitted to the



press by authors. Series editors assume a more active position in acquiring new titles. All books are peer-reviewed, usually by two, in some cases by three experts.

2. Production

Production is done in-house, including editing, typesetting, and indexing. Print copies for Print on Demand option are produced by Lightning Source. Electronic editions are generated in-house. OBP believes that cost efficiency achieved in their production processes is the most important component of their business model. Bringing first-title costs to around £5k stands in stark contrast to many ‘legacy’ publishers, and means that it is significantly easier to raise the revenue required to break even.

3. Distribution

OBP uses multiple distribution channels: their books are available through the press’s website, 9 metadata aggregators, and 11 ebook retail/distribution platforms. Print copies distribution is provided by two partners: Lightning Source and GOBI. OBP’s books are also available on 4 Open Education Resources platforms.²

OBP’s metadata is available in multiple formats: ONIX, KBART, and MARC.

4. Marketing

All OBP books undergo a targeted marketing campaign: review copies are sent to leading and subject-specific journals. At the time of publication, each book is promoted through email notices to libraries and personalized messages to academics. Every new title is featured on the OBP’s website and marketed via social media channels. OBP encourages authors to actively engage in promotion of their books: they have an opportunity to write a blog post about their books and to post podcasts and videos. OBP also prepares, promotes and hosts collaborative events and online book launches with authors (open for everyone).

5. Preservation

OBP has gone through a series of transformations when it comes to deciding on its preservation procedures. It used to partner with Portico (since OBP is no longer uploading their books to JSTOR, the Portico link, depending on JSTOR, has been lost). OBP provides digital editions of their books to the British Library. It uses the Internet Archive for

² For a detailed description of OBP’s distribution channels consult their Distribution Guidelines <https://www.openbookpublishers.com/shopimages/resources/OBP-Distribution-guidelines.pdf>

archiving OBP's html editions, as well as links included in them and all the sites they link to.

BUSINESS MODEL

OBP uses a mixed model, with diversified streams of revenue. It does not charge BPCs, the press uses what can be described as an OA diamond model. One of the revenue streams comes from grants: authors are asked if they are able to receive funding to support publications of their books, but a lack of such funds does not prevent author from publishing with OBP.

OBP also runs a Library Membership Programme (introduced in 2014), geared towards libraries wishing to support OBP's activity. In return for a membership fee, libraries receive some of the eBooks normally offered for a fee, discounts on print copies and other benefits (e.g., talks by OBP's employees at institutions participating in the Membership Programme).

OBP also receives revenue from the sale of printed editions and some digital editions.

Revenue

Total annual revenue associated with the publishing division of OBP for 1 October 2019-30 September 2020 (which counts as a financial year for OBP) was 229,000 GBP.³

38% of the revenue comes from print sales, 34% from grants and donations, 25% from the Library Membership Programme and 3% from Title Services Revenue (e.g., charged additional services for authors). The largest revenue stream associated with sales can be further broken down into direct sales through OBP's website (print and ebook) accounting for 35%, print sales through traditional retail channels (UK, US, and Australian retail) accounting respectively for 25%, 33%, 1% and ebook sales retail at 4% and ebook sales through library distributors at 2%.

Costs

Publication costs for a year 2019-2020 for OBP amounted to 222,000 GBP. The largest cost component is associated with staff's salaries (61%), followed by printing costs and royalties (23%), overheads (12%), and title production expenses (4%). First copy costs, defined as total costs less printing and royalty costs, amount to 4,874 GBP per title (*Open*

³ For the purpose of this report, we are focusing only on this revenue stream, excluding the one associated with the software division of OBP.

Book Publishers. Author's Guide, n.d.).⁴

Sustainability

OBP has been breaking even for the past years, or even making profit (reinvested in the company). The model is perceived as sustainable, although one of the OBP directors insists on a certain irrelevance of this term applied to small companies and poses a question: *Who needs a sustainable business model in a long-run? It needs to be sustainable for as long as you want it to exist.* (R. Gatti, personal communication, 15.04.2021)

OBP is certain that their model will evolve and be transformed over time, especially in the light of work performed by the COPIM project and OBP's engagement in it. It expects that their library package will be revised in the coming 12 months.

OBP sees certain dangers on the revenue side of their operations: as grants form a significant part of their revenues there is a risk that a large number of transformative agreements might result in a decrease in funds available outside of them. Therefore, it would be challenging for authors wishing to publish with OBP to obtain institutional grants.

Looking into the future, OBP stresses the strategic importance of its software division. OBP has made a conscious decision that, rather than scaling itself, it would invest into facilitating scaling of other projects. The software division's mission is to create an open infrastructure that would enable other publishers to scale.

CHALLENGES

The question of **distribution** and **recognition** was raised as one of the most important challenges for OBP. The existing distribution channels rely on traditional print-based revenue models, with publishers paying a commission or per title fee. These models are not well suited for free content or non-bpc focused business models.

Another challenging area pointed out are production **workflows** and ways in which they should be organized in order to facilitate and encourage innovation.

A **rise in collective funding models** competing with each other could also potentially cause a threat to the OBP's survival.

⁴ For more on OBP's account please see:

<https://find-and-update.company-information.service.gov.uk/company/06707027>

Open Press TiU

“We make a loss, but it is a calculated loss. We profit because we as a library do not have to buy books that are not open access.” (D. Rutten, personal communication 18.02.2021)

WHAT?

Open Press TiU is a young publishing initiative, established in 2020, which looks into ways of publishing academic books open access. It is based on a collaboration between the Tilburg University library and Wolf Legal Publishers. The press publishes both books and journals in open access, in all academic disciplines.

Number/type of OA books published per year: In the first year of its existence Open Press TiU published five books. They expect to publish up to ten books per year. The press publishes scholarly monographs and textbooks in all disciplines. Proposals for theses, critical editions and other academic publications are also welcome.

Fully OA? The press publishes open access only.

Language of publications: most books are published in English, but there are also titles in Dutch

Legal status: The university press was formed as a liaison between the UiT library and an external publisher.

Personnel: One employee acting as the managing editor of the press, working on it part-time, combining these responsibilities with other projects at the university. Voluntary editors engaged on a project basis.

Licences used: CC BY 4.0, exceptions allowed for more restrictive CC licenses

Formats offered: PDF and Print on Demand

Hosting platform: Books are hosted on the TiU’s platform.

WHY?



The Open Press TiU was established as part of the Open Science Action Plan of Tilburg University. The Plan's ambition is to publish 100% of its books open access. The Open Press TiU set-up was based on an existing relationship with the Wolf Publishers that the TiU had cultivated over the previous years. The press was established as an experiment and does not yet have a strictly defined business model or a governance structure.

HOW?

Governance structure

The press is in the process of establishing its governance structure. Currently it has formed an Advisory Board composed of scholars representing different departments of the TiU. The Advisory Board meets several times a year and revises the press's operations.

The Managing Editor of the press assumes responsibility for the content quality and selection of titles to be published, while the representative of the partnering publishing house is responsible for production-related tasks.

Publishing workflow

1. Acquisitions

So far, acquisitions have been done through the Managing Editor's and the institution's networks. Submitted proposals, depending on which type of books they represent, are subject to different kinds of peer-reviewing mechanisms.

2. Production

Copyediting and proofreading are done in-house by the Managing Editor himself or by a volunteer editor. In exceptional cases texts can undergo an additional round of language editing, also performed voluntarily. Production is done by the partnering publishing house. The partner is responsible for typesetting, cover design, etc. It is also in charge of handling print editions.

3. Distribution

The issue of the distribution of digital copies is currently not on the list of top priorities for the press. Their books are not yet listed in DOAB but will be in OAPEN shortly. The press wishes to investigate this area more in the future. Automatic distribution also happens via

the Pure system and the research portal harvested by Google Scholar / NARCIS. PDFs of books are available from the Open Press TiU website and on several personal Pure profiles of the authors.

4. Marketing

There are currently no professional marketing operations in place. Book releases are shared via social media (the press's Twitter and LinkedIn accounts) and information about them is distributed in an internal newsletter. The press points towards marketing as one of the areas that they want to develop in the near future.

5. Preservation

All books are currently stored in the Tilburg University Library internal system.

BUSINESS MODEL

Publishing costs are covered by a combination of a grant specifically assigned to the Open Press TiU library budget and publishing grants that researchers have. Authors are not charged Book Processing Charges, unless they are not affiliated with the TiU. For “outsiders” the press charges “affordable BPCs” that cover production costs only (*Open Press | Openpresstiu*, n.d.). BPCs amount to 3,000 EUR per book on average and 1.450 EUR for a PhD thesis. The press does not make a profit.

Revenues

Total annual revenue associated with OA books for 2020 was around 15,000 EUR. The largest part of the revenue stream came from the library budget allocated to the press's operations. Less significant revenue streams include individual research publishing grants and print sales. Revenue from print sales (so far hypothetical) are equally shared between the partner publisher and the editors/ authors.

Costs

One of the largest cost components is staff, followed by expenses associated with typesetting, design, artwork and image copyrights.

Sustainability

As the press is in its initial phase, it is hard to have a solid view of its sustainability in the long run. As long as no major changes occur in the library, and with the university's aim to

achieve 100% open access publishing, the press should not experience a lack of internal funding.

CHALLENGES OF THE MODEL

One of the main challenges associated with the currently pursued model is its **total dependence on the work of its managing editor**. Scarcity of human resources engaged in the operation makes it hard to develop and polish the services offered, which is especially visible when it comes to distribution and marketing. These are the two areas suffering the most in the current set-up.

Stockholm University Press

“We are coaching the authors towards learning more about what open publishing is.” (S. Wennström, personal communication, 23.02.2021)

WHAT?

Stockholm University Press (SUP), established in 2013, is a fully open access academic publisher publishing peer-reviewed books and journals. Editorial decisions are made by researchers, and books are published within disciplines taught at Stockholm University. The Press is run as a part of the Stockholm University Library.

Number/ type of OA books published per year: The number of books published per year varies depending on the demand, but the average so far has been five. The press publishes monographs and edited volumes alike, with a slight prevalence of the latter (estimated at 60% edited volumes, 40% monographs). In principle, books are organized into thematic series. In rare cases the press also publishes individual titles, not associated with any of the series.

Fully OA? The press is fully OA.

Language of publications: English.

Legal status: A university press, part of Stockholm University and managed by the Stockholm University Library

Personnel: One FTE working for the press only; one person working 75% for the press;



one working 50% for the press; and one person working 20% for the press.

Licences used: Creative Commons licences required, CC BY recommended.

Formats offered: PDF, EPUB, MOBI, full text readable online, Print on Demand

Hosting platform: Books are hosted on the web platform provided by Ubiquity Press.

WHY?

Following the decision of the Vice-chancellor in 2012, the press was established in 2013 to be a fully open access academic publishing house of Stockholm University. The overarching principle of SUP was that all content should undergo rigorous peer-review procedures. First, OA journals under the SUP brand appeared in 2014, and a year later the press started publishing OA books.

HOW?

Governance structure

The Library Director is the head of Stockholm University Press and also acts as Vice-chair of the Publishing Committee.

The Publishing Committee, consisting of one chair and four representatives from the faculties of the University, is responsible for overseeing the review procedures and making final publication decisions for books and journals. Members of the Committee are nominated by the faculty members and selected by the President of the University.

Each book series has its own **Editorial Advisory Board**, consisting of experts in a given area. The forming of editorial structures is based on the demand from researchers. They are responsible for the peer-review process and for ensuring the academic quality of the books submitted to their respective series. Members of the Editorial Advisory Board decide on which reviewers to invite, which proposals to accept and recommend proposals to be taken under consideration.

The operational part of the press is handled within the Library, with managing editors for books and journals advising on the general direction and strategy of the press in close collaboration with the Publishing Committee and the Editorial Boards.

Publishing workflow



SUP outsources a large part of the production process for books and journals. SUP partners with Ubiquity Press. The partner is responsible for the web presence of the press, and also provides the manuscript management system for books and journals, handles agreements with typesetters and language editors and is responsible for the provider who offers distribution of print-on-demand books.

1. Acquisitions

SUP relies on authors submitting proposals for consideration, rather than active acquisition procedures for single book titles. Members of Editorial Boards promote their respective series on conferences and among their peers. SUP welcomes proposals from researchers from all over the world, so they do not have to be affiliated with the Stockholm University. Each proposal is screened by the Managing Editor to ensure a correct submission. The proposal is then sent to the Editorial Board for evaluation, which can sometimes lead to an external peer-review process if the author is too familiar with the members of the Editorial Board. The Editorial Board writes a recommendation to the Publishing Committee if the book should be accepted or rejected. If the first screening process is successful, the SUP signs a contract with the author. Once the author submits their full manuscript, it is sent to the Editorial Board who selects external reviewers. The reviewer comments are scrutinized by the Editorial Board who then writes a recommendation to the Publishing Committee about the final decision. Most book manuscripts are revised at least once, before the final version is accepted for publication.

2. Production

The author and the Managing Editor of the press prepares the manuscript for production into a digital book with print-on-demand service for those readers who prefer that format. The Press service provider (Lightning Source) then prepares all files and metadata before publication online.

3. Distribution

Distribution of electronic copies is done via the Press website and managed by Ubiquity Press. All SUP books are included in DOAB and OAPEN. The distribution of metadata and full text files into other relevant databases varies depending on discipline. The possibility to purchase print-on-demand copies is offered via a number of online bookstores and the process is handled by Lightning Source.

4. Marketing

Marketing is done through social media: each book launch is announced on the SUP's



blog and its Twitter, Facebook and LinkedIn accounts. Book launches are also announced in the university newsletter. If the book's author is affiliated with any of SU's departments, relevant Communications Officer are informed, so that the existing university structure helps in spreading the word. Additionally, authors are advised by SUP in terms of self-marketing for their books, the use of relevant mailing lists, etc.

5. Preservation

Preservation is handled by Ubiquity Press.

In addition to that, SUP fulfills the national requirements and sends print copies of their books to the National Library of Sweden and three Swedish universities who are in charge of legal deposit.

BUSINESS MODEL

SUP is a nonprofit university press. The university contributes with the running costs of the press and employs all internal staff. The publishing costs of the OA books are negotiated to a minimum and the charges are paid by authors, their institutions or research grants. The BPCs are based on actual publishing expenses only and are kept to the lowest possible via a framework agreement with the service provider. The SUP advises authors on where to seek funding that could cover the publishing costs of their books. Funding can come from Stockholm University or from an external funder.

Revenues

Stockholm University Press is a nonprofit organization. It does not collect revenue from print book sales. The total annual revenue is on average about GBP 150. 100% of the revenue comes from currency conversion rates due to print sales in different currencies.

The cost of running the press office is subsidized by the Stockholm University, and that the cost of production of books is covered by BPCs. The most common way to pay for the BPC is by internal departmental publishing grants or external research project grants or private foundation grants. This is, however, not registered as revenue by the Press, as SUP does not manage payments for the BPCs. The invoicing of BPCs is handled by Ubiquity Press, our contracted service provider. Therefore, the Press does not report any revenue back to the University, apart from the small contribution obtained from the currency conversion related to print book sales.

Costs

The main costs are associated with book production and the service fee that the service provider Ubiquity Press charges for handling parts of the publishing process. The average price for producing a book of about 200 pages with some images is approximately GBP 3 500. The University subsidizes the online platform for the press and the cost of staff and equipment at the Press office as a part of the Library.

Sustainability

The model has been successfully used for five years now. Due to the university's support, the press operates within a stable environment, where the staff salaries are covered by the University's budget and where the press is in a position to negotiate the prices of outsourced services with the chosen service providers. SUP is satisfied with its current model and is not looking into radically changing it in the near future.

CHALLENGES OF THE MODEL

Main challenges of the model lie in the **funding availability** for authors. Even though the Book Processing Charges are kept to a minimum that allows for the covering of the costs of production, these charges might still prove to be too high for some authors and therefore prevent them from choosing SUP as their press.

The second major challenge lies in the SUP's **dependence on one partner** for the majority of the publishing process activities and infrastructure. This level of outsourcing to one sole service provider might make the whole operation vulnerable.

The third challenge, as stated by the SUP is of an **educational nature**: the press acts not only as a publishing house per se, but also as an educator for researchers on open access practices and needs to invest time and resources into advising authors on licensing issues, third-party rights and strategic aspects of academic publishing.

University of Ljubljana, Faculty of Arts Press

“The main fear was that when we started to publish books open access, we wouldn't sell so many printed books, but this has not really happened.” (M. Rudolf, personal communication 18.02.2021)

WHAT?

University of Ljubljana, Faculty of Arts Press is a publishing unit of the Faculty of Arts, which is the biggest department of the UoL. The press was officially established in 2007. It specializes in books from the areas of social sciences and humanities. It publishes both books and journals, both in open and closed access. The press is dedicated to research produced at the Faculty of Arts and welcomes proposals from affiliated authors.

*The press is currently in a transition state, as all twenty-six departments of the university are coming together to form the University of Ljubljana Press. The following case study focuses on the publishing unit associated specifically with the Faculty of Arts.

Number/ type of OA books published per year: Around 50 OA titles per year. About 25 of these are academic monographs, and 25 are edited volumes. The press publishes about 20 textbooks per year, in closed access.

Fully OA? Academic monographs and edited volumes are published OA, textbooks are not. Textbooks are only offered as print, with no digital editions available, even for purchase.

Language of publications: Slovenian

Legal status: Faculty press, associated with the Faculty of Arts, supervised by the dean of the university.

Personnel: Three FTEs, one of whom is fully dedicated to OA books. Proofreading and copyediting are outsourced. Typesetting is partially done in-house, partially outsourced.

Licences used: CY BY or CC BY-SA, exceptions allowed for more restrictive CC licences, especially for books with a lot of third-party material in them.

Formats offered: PDF and print. Some experimentation with EPUB, but on a small scale (10 titles).

Hosting platform: The press runs on the Open Monograph Press software, including the submission system. It uses the university's server.

WHY?

The press made the decision to publish books OA in 2015. It was influenced by a national OA policy that was being developed in Slovenia at that time, calling for all books to be OA by 2020, in line with the Horizon 2020 principles. The representatives of the Faculty of Art Press met with the UCL Press in order to discuss their business model. They decided to



adopt a similar model to the UCL Press for themselves, which was presented to the University Dean and accepted.

HOW?

Governance structure

The press, as part of the university structure, is under the aegis of the University Dean. The Publishing Dean represents the interests of the press to the University Dean. The press also has an Advisory Board, composed of scholars coming from different departments on the UoL. The role of the Advisory Board is to look into problematic areas, should they occur, provide guidance and suggest solutions.

Publishing workflow

1. Acquisitions

Authors affiliated with the Faculty of Arts reach out to the press with proposals for the books they would like to publish. Each department of the faculty has its own Publishing Advisory Board. All book proposals have to be reviewed and accepted by a relevant Publishing Advisory Board of the department that the book's author is affiliated with. Once approved, the proposal is then sent to the Slovenian Research Agency in response to their call. Authors are required to help the press in preparation of the submission to the SRA. It is not until the successful application is confirmed by the SRA that the production process starts.

2. Production

The production process is heavily outsourced: with copyediting and proofreading done by partners. Typesetting partially takes place in-house and is partially outsourced. Print copies are produced by a partnering printing house.

3. Distribution

Print editions are available for purchase through the faculty's bookstore. Currently the press does not have its books listed in the Directory of Open Access Books. Issues in OA book distribution are something that the press would like to explore more in the future.

4. Marketing

The press makes use of social media to market their books (Twitter account). Releases

are announced on the Facebook account of the Faculty of Arts and through departmental mailing lists to the faculty. Authors are encouraged to promote their books in their circles.

5. Preservation

Digital editions of each book are deposited in the University of Ljubljana repository. They are also sent to the Slovenian National Library which preserves the books in its own digital library.

BUSINESS MODEL

All books published by the press rely on subsidies coming from the Slovenian Research Agency (SRA). The SRA issues a funding call for academic publishers on a yearly basis. Presses can apply for funding for their upcoming titles. The press has to prepare submissions for this call every year. The books compete for subsidies individually. The exact amount of funding per project varies, depending on the length of the book or any special requirements it might have, but generally fall within the 2,000–3,000 EUR range. If the application is successful, the book needs to be published within a year of receiving the funding. The SRA's publishing subsidies are occasionally combined with Faculty of Arts research project funding, which ultimately comes from the same source: the SRA.

Revenues

The total annual revenue associated with OA books for 2020 was around 200,000 EUR. The largest part of the revenue stream (estimated at 60%) is composed of the publishing subsidies from the SRA. Other revenue streams include research project grants (estimated at 20%) and print sales (estimated at 20%).

Costs

The largest cost components of the press are associated with printing, typesetting and proofreading.

Sustainability

The model is perceived as sustainable, as it breaks even, provided no changes in the Slovenian Research Agency funding scheme occur. However, if such changes should take place, it would put the model in jeopardy, as around 80% of its current budget comes from the SRA. As most of the books are published in Slovenian, the market interested in purchasing print copies is restricted, therefore the press would not be able to sustain itself from print sales only.

CHALLENGES

The main challenge of the model is the fact that, in large part, it **depends on funding coming from the Slovenian Research Agency**, which provides subsidies to the press and also sponsors research grants. Should this source be cut, the model would have no chance of survival.

Among other pressing challenges, the press mentions the lack of infrastructure in handling OA books and praises the fact that OMP is an open-source solution they are able to use.

Scarcity of **human resources** dedicated specifically to OA book-related questions also slows down the development of the press and limits the scope of its activities.

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APPENDICES

1. General interview questions for librarians

Aim: to get a sense of a general library landscape per country, to understand each country library systems' intricacies and to point out main common points and differences between them within the European context.

Based on answers to the general interviews, a set of follow-up questions will be put together, with specific issues touched upon in each country.

Name:

Position:

University:

General structure

1. What are the main characteristics of the library system in your country?
2. Are there any library consortia in your country and if so, could you briefly explain how they are organised? Is your institution part of them?
3. Who, within the library structure, is responsible for open access publications? Who are the main decision makers in that area?

Library community per country

4. Are there any open access-specific projects, associations or working groups among librarians in your country?
5. What are the main library networks, journals, communication channels that you use among librarians in your country?

Open access books

6. Does your library have an open access policy? If so, could you describe how it works? Does it include books? (if there is no OA policy in place: What are the reasons for your institution not to have an OA policy? What would you find helpful in the process of developing such policy?).

6a. *** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

7. How do you fund open access books? Do you have a specific budget allocated towards open access publications? (if there is no OA fund: What are the reasons for your institution not to support OA books?)

7a. *** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

8. If you fund BPCs, do you have a cap up to which you will fund an open access book? How do you determine such a cap?

8a.*** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

9. What would you require to justify expenditure on OA content to internal budget managers and decision makers?

10. Are you legally able to support third party OA publishers/platforms without receiving specific products or services in return?

10a.*** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

11. Are you, as a library, looking to publish OA books yourselves (e.g. thesis, faculty/scholarly-led publishing initiatives)? If there are no initiatives like that in the library itself, are there any scholarly groups within your institution who are looking into that?

11a.*** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

12. Are there general national-level initiatives in your country that encourage library/scholar-led OA book publishing initiatives?

13. What discovery systems are used for open access books in your country? Do they

differ from discovery systems used for closed content?

13a.*** How representative is your institution of the wider national library landscape when it comes to this topic: is the set-up you described "typical" for libraries in your country or are there differences between libraries?

Further steps

Would you be willing to act as our national contact point for further inquiries and preparation of regional events, such as workshops for librarians?

2. Pre-workshops survey questions

SECTION 1: GENERAL

1. Please identify your role within an institutional library and provide a sense of how you and/or your institution facilitates support for open access (in general).
2. What are the major inefficiencies or roadblocks that you experience in that process?

SECTION 2: OPEN ACCESS BOOKS

1. Does your library presently support Open Access book publishing initiatives? If so, which ones? (you can simply list these -- we will be asking for views on some different initiatives later in the survey)
2. What are the most significant challenges that you/your institution encounters in supporting Open Access books / Open Access book publishing?
3. What are the critical pieces of information for you/your institution in deciding to support, or not support, an Open Access book publishing initiative?

SECTION 3: OPEN ACCESS INITIATIVES

1. Knowledge Unlatched's KU Select programme: <https://www.knowledgeunlatched.org/ku-select-library-info/> What are the positives and/or negatives from your/your institution's perspective?
4. Knowledge Unlatched's Open Research Library: <https://www.knowledgeunlatched.org/openresearchlibrary/> What are the positives and/or negatives from your/your institution's perspective?
5. OpenEdition <https://www.openedition.org/8851> What are the positives and/or

negatives from your/your institution's perspective?

6. Open Book Publishers' Library Membership Programme: <https://www.openbookpublishers.com/section/44/1> What are the positives and/or negatives from your/your institution's perspective?
7. Open Library of Humanities Library Partnership Subsidy Model: <https://www.openlibhums.org/site/about/the-olh-model/> What are the positives and/or negatives from your/your institution's perspective?
8. Are there any other specific Open Access initiatives, in particular those designed to support Open Access books, that you would like to offer feedback on?

SECTION 4: NEW INFRASTRUCTURES

How might the following influence you/your institution's decision to support such an infrastructure (please rate on a scale: much less likely to support, slightly less likely to support, neither more nor less likely to support, slightly more likely too support, much more likely to support):

1. If the infrastructure is non-commercial
2. If the infrastructure is developed according to the principles of Open Source Software
3. If your institution has some ownership/control over the infrastructure provided
4. If your institution has control over which specific projects/publishers your institution financially supports
5. if access to specific projects/publishers is determined via a centralised / collective funding decision making process
6. If the infrastructure is community-led or governed

For those factors that make it "much more likely" for you/your institution to support such an infrastructure, could you explain why? (If none are 'much more likely' please explain why for those that are 'slightly more likely').

Are there any other factors that might influence you/ your institution's choice to support such an infrastructure? If so, what are they? Why are they important?

Do you have any other comments you'd like to add?