

OAPEN Foundation Annual Report 2016

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Introduction

The OAPEN Foundation is dedicated to Open Access publishing of academic books. OAPEN works with publishers to build a quality controlled collection of Open Access books, mainly in the area of Humanities and Social Sciences, and provides services for publishers, libraries and research funders in the areas of dissemination, quality assurance and digital preservation.

OAPEN (Open Access Publishing in European Networks) was developed as a 30-month targeted project co-funded by the EU in its eContentplus-program. The goal of the project was to achieve a sustainable publication model for academic books in Humanities and Social Sciences and to improve the visibility and usability of high quality academic research in Europe.

OAPEN Foundation

OAPEN Foundation was founded by the University of Amsterdam (UvA), the University of Leiden (UL), the University library of Utrecht University (UU), the Netherlands Academy of Sciences (KNAW), the National Library of the Netherlands (KB) and Amsterdam University Press (AUP). These institutes act as Participants in the foundation and are committed to provide financial support. The Participants form a Council that meets once every year. The Council elects the members of the OAPEN Board from its circle. The OAPEN Board can appoint one person from outside the Council in the board. In addition, the Board can establish an Advisory Board.

Board and Participants

On December 31 the Board consisted of the following members:

- Bas Savenije (president)
- Henk Wals (treasurer) - KNAW
- Astrid van Wesenbeeck - KB
- Kurt de Belder - UL

The remaining Participants are represented by Anja Smit (UU) and Frank Huysmans (UvA).

Advisory Board

OAPEN's Advisory board consists of members of the former OAPEN consortium and representatives from stakeholders in scholarly communication, such as publishers, libraries, research councils and scholars. The Advisory board is chaired by Caroline Sutton, director of Co-Action Publishing and first president of the Open Access Scholarly Publishers Association (OASPA).

Funding

In the first three years, 1 April 2011 - 31 March 2014, OAPEN Foundation received funding from the Participants and from NWO. NWO provided a yearly subsidy to match the financial support from the Participants. The total funding from the Participants and NWO amounted to 240,000 euro yearly. Subsequently, the Participants and NWO provided an annual subsidy of in total 55,000 euro for two years, with a growing part of OAPEN's income coming from services and projects. OAPEN's aim is to become sustainable by providing services to publishers, libraries and funders.

Objectives

The objectives of OAPEN Foundation as stated in the bylaws are:

- To stimulate Open Access publishing of academic books
- To further develop OAPEN as a platform for Open Access books
- To develop a sustainable business model for OAPEN

Activities in 2016

OAPEN-ERC

In 2016, the European Research Council (ERC) and OAPEN started their cooperation to aggregate and host open access books and book chapters resulting from ERC grants.

OAPEN developed a tailor-made deposit service for ERC grantees and their publishers, adding a new section to the OAPEN website: '[ERC deposit](#)'. As part of the new project funded by the ERC, OAPEN provides guidance and support to ERC grantees and their publishers to comply with ERC open access requirements for books.

Austrian Consortium

OAPEN Foundation and an Austrian consortium, consisting of the Austrian Science Fund (FWF), the [University of Vienna](#), and the publishers [Böhlau](#) and [Holzhausen](#), have agreed to make OAPEN's deposit service for OA books available to all Austria-based researchers.

The OAPEN deposit service is funded by the Austrian consortium and is free for all researchers working mainly in Austria. Researchers can submit their peer reviewed open access books to the OAPEN library through a website maintained by FWF: <http://www.fwf.ac.at/en/service/oapen-library>.

Researchers need to complete a form and provide a PDF of their publication. Publishers can also deposit these OA books directly on behalf of their authors.

OAPEN-CH second call

In 2014, the Swiss National Science Foundation (SNSF) initiated the pilot project OAPEN-CH. After the first call in 2015, the first books were uploaded to the OAPEN Library. In 2016, following the second call, SNSF has funded 52 new titles, of which the first have been uploaded to OAPEN at the end of 2016. In total, there are now [32 books in OAPEN](#), and more will follow in 2017.

Jisc & OAPEN project: Investigating Open Access Monograph Services

The 'Investigating Open Access Monograph Services' project was finalised with a Round Table discussion on [Green OA for books](#) and a [final report](#). Previously, Jisc and OAPEN had published two guides: '[Publisher information on open access monographs](#)' presents recommendations for information that OA monograph publishers should make available on their websites to make their service clear to end users. The second guide, '[Metadata for open access monographs](#)' recommends a list of metadata for OA book publishers and other stakeholders. Both guides were developed in consultation with research funders, researchers, university and library staff and monograph publishers.

KU round 2

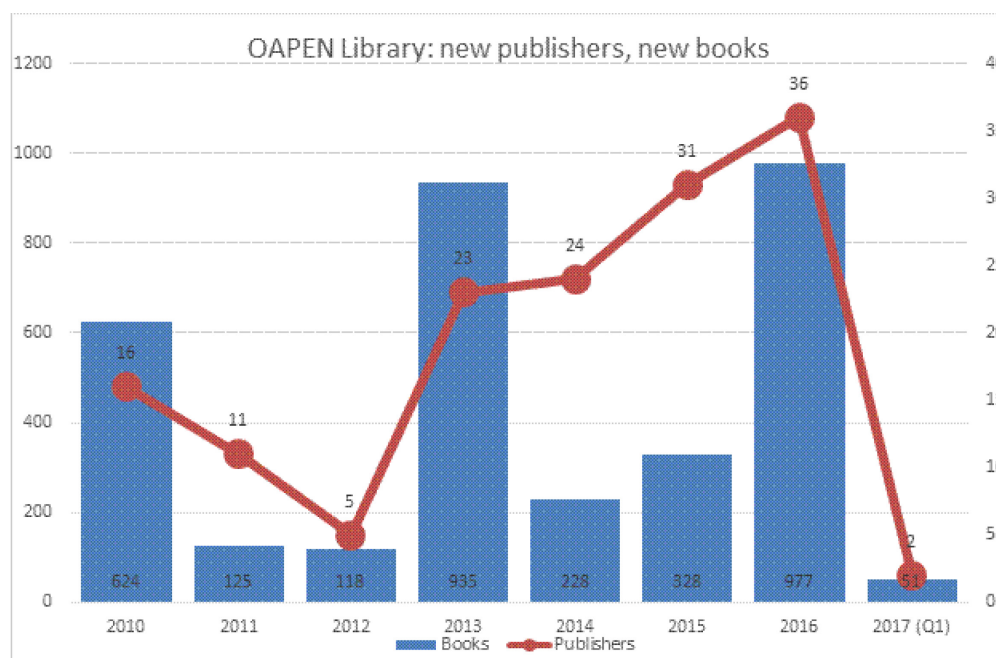
OAPEN hosts the books that are made open access through Knowledge Unlatched since 2014, when the first pilot collection was unlatched. Together with KU, almost all books of the second round have been made available through the OAPEN Library making the [total number of KU books in OAPEN 103](#).

OAPEN and KU are currently preparing to add the next round of books, [KU Select 2016](#), consisting of 343 frontlist and backlist titles from 54 participating publishers.

OAPEN Library

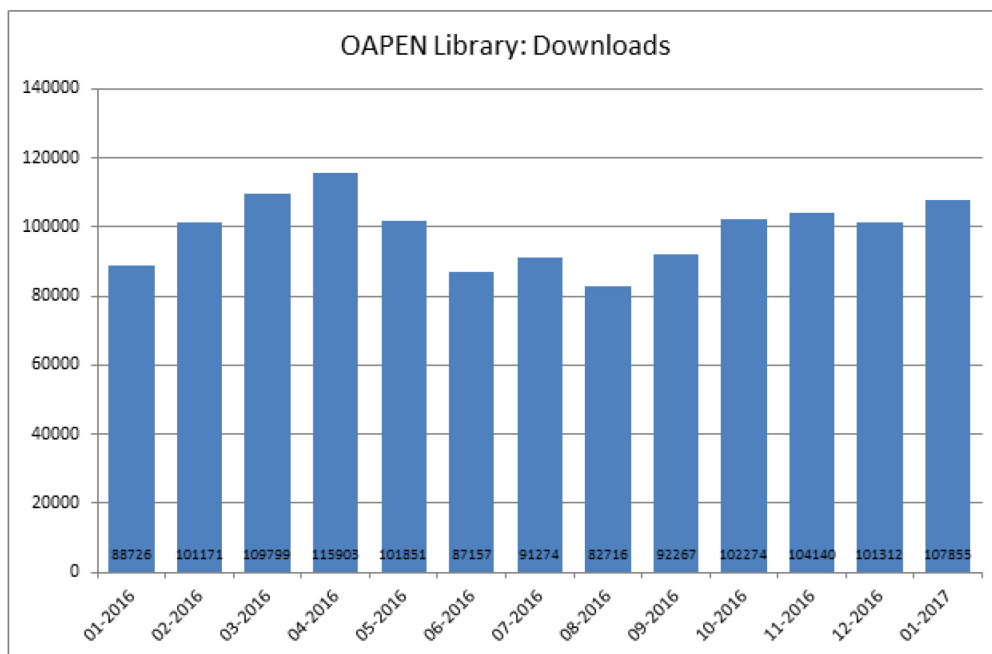
Publishers and the collection

In 2016, 977 titles were added to the Library, bringing the total number of OA books to 3335, and 1% of those titles are chapters. New titles come mostly through our partnerships and projects, such as ERC, SNSF, Knowledge Unlatched. We added 63 titles – books and chapters – to the library as part of our cooperation with the European Research Council. But OAPEN also welcomed many new members, among them University of California Press, Modern Academic Publishing, Oxford University Press, Policy Press, Institute for Local Self-Government and Public Procurement Maribor and the University of Huddersfield Press. In the first 2 months of 2017 we added 51 new books from 21 different publishers.



Usage

Starting in 2013, a COUNTER compliant usage data service was set up in cooperation with IRUS-UK. IRUS-UK is a Jisc-funded repository and infrastructure service. COUNTER (Counting Online Usage of Networked Electronic Resources) is an international initiative serving librarians, publishers and intermediaries by setting standards that facilitate the recording and reporting of online usage statistics in a consistent, credible and compatible way. In 2016, the OAPEN Library served 1,178,590 downloads.



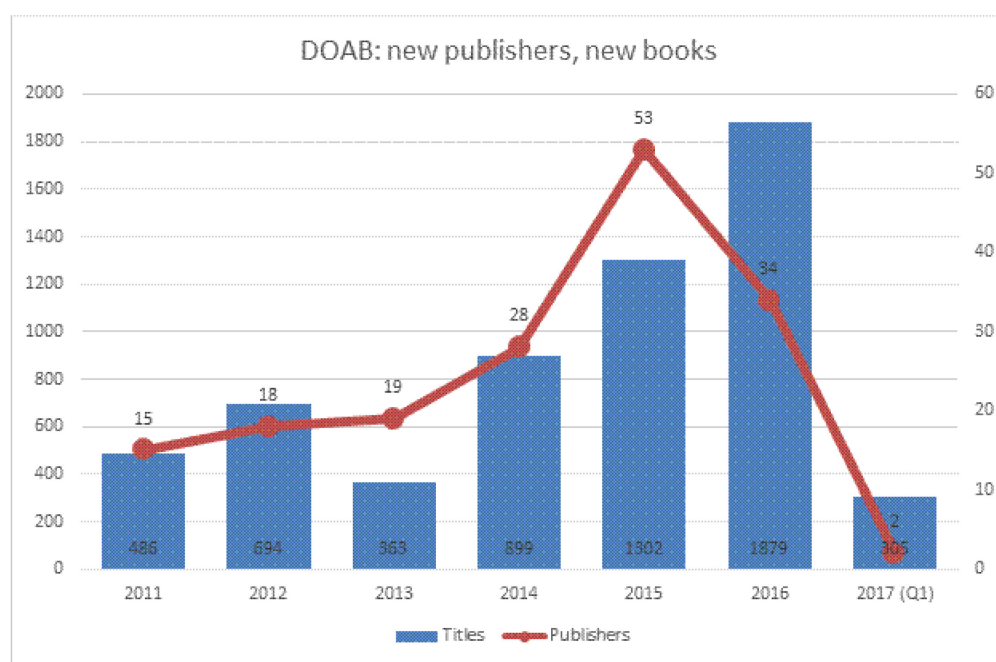
Twice a year, all publishers receive a usage report containing the monthly totals plus the global usage, describing the number of downloads per country. Additionally, OAPEN has introduced a premium service for enhanced usage reporting as an option for interested members. The enhanced usage reporting contains details for each individual title and members can request additional reports, based on a selected time frame.

Directory of Open Access Books

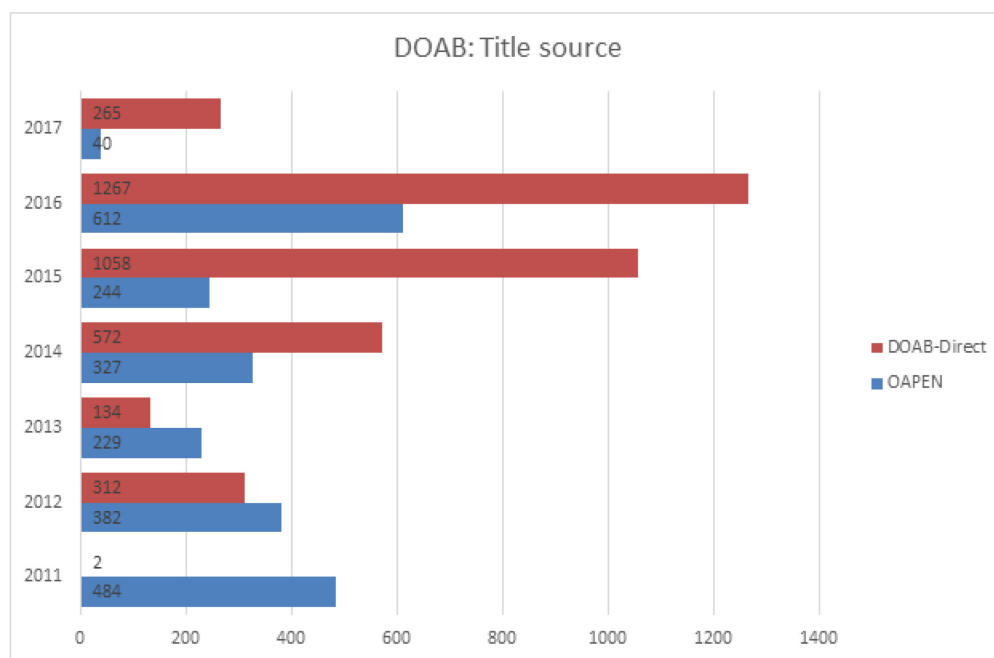
The Directory of Open Access Books (DOAB) is a discovery service for peer-reviewed books published under an Open Access license. DOAB provides a searchable index to the information about these books, with links to the full texts of the publications at the publisher’s website or repository. The Directory of Open Access books was officially launched on 1 July 2013.

Publishers and the collection

In 2016, 1879 new titles have been added to the Directory of Open Access Books, bringing the total number of titles listed in DOAB to 5623. The directory grew with a rate of over 50% for the third consecutive year. In addition, 34 new publishers were added in 2016. The first two months of 2017 saw an increase of 305 new titles, with two new publishers joining DOAB.



The growth of titles in 2016 is predominantly caused by the autonomous growth of the DOAB service. While listings from the OAPEN Library contribute to the development, most titles are entered directly by listed publishers.



DOAB as usage enhancer

The Directory is proving to be a successful aid to enhance the usage of the books in the OAPEN Library. Apart from leading readers to the OAPEN website, this effect can also be measured by looking at the average downloads. The books that have been listed in DOAB are downloaded 389 times per year on average, compared to 228 times per year for books which are not listed; a difference of almost 60%.

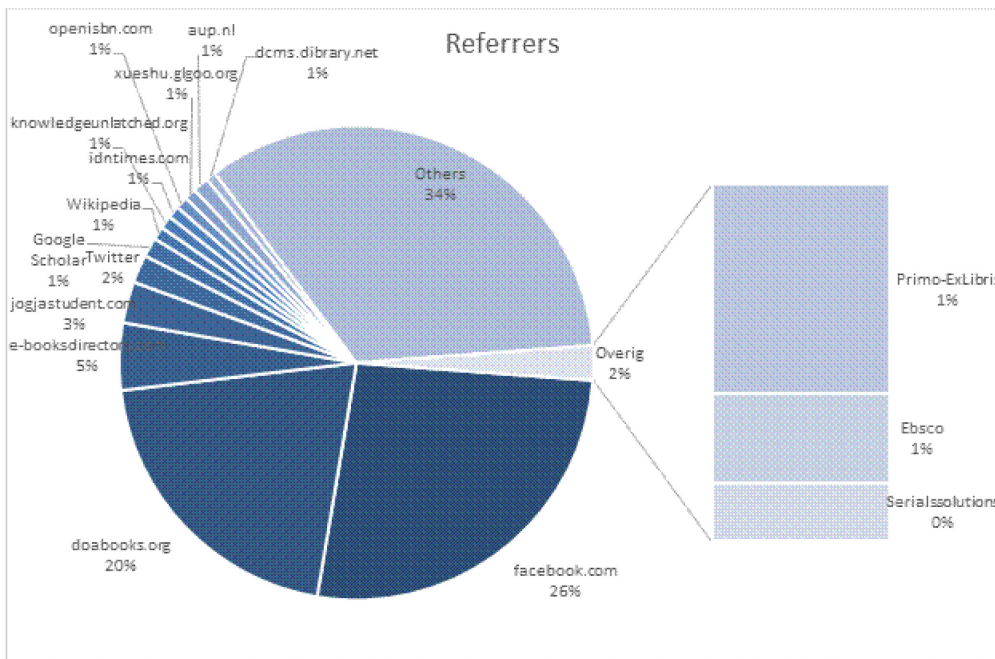
Partnership with OpenEdition

Since 2014, OpenEdition acts as a partner to support DOAB's activities. OpenEdition supports the aim of DOAB and its commitment to quality assurance of listed publishers and publications. OpenEdition has helped set-up a French version of the DOAB website. More in general, OpenEdition represents DOAB as a partner at events for the academic community and assists in developing our services for publishers and libraries.

Open Access dissemination

Digital dissemination is a central part of OAPEN's services, based on metadata conversion and data exports for aggregators, intermediaries and libraries. OAPEN maintains daily data feeds in several formats to enable integration of the OAPEN collection into Library catalogues. Furthermore, to ensure maximum dissemination OAPEN works with a number of content aggregators and library suppliers, and enables integration in social media.

The chart below shows the sources of traffic to the OAPEN website. Clearly, the Directory of Open Access Books (DOAB) is a very important driver of usage of the OAPEN Library. Other referrers include the aggregators Primo Central (ExLibris); Serials Solutions (ProQuest) and EBSCO Discovery Service. Traffic from Google Scholar and Wikipedia is growing and so is traffic through social media such Facebook and Twitter. Lastly, the traffic from E-books-directory.com and Openisbn.com is noteworthy: a sign that OAPEN's reach is expanding beyond academia.



Technical developments

In 2016, a much-requested feature has been added to the OAPEN Library: a metadata feed in the MARC21 format. MARC (MACHINE-Readable Cataloging) standards are a set of digital formats for the description of items catalogued by libraries, such as books. This standard is widely used by libraries worldwide. As with all metadata feeds, it contains the descriptions of all documents in the OAPEN Library and is updated daily. Apart from MARC 21, all metadata are available in the formats ONIX (3.0); MARCXML – based on MARC 21 XML Schema; CSV – comma delimited text file; TSV - tab delimited text file; XML - optimised for import in Excel.

Another technical development is the introduction of a new content management system (CMS). The Drupal CMS is now in use to manage the frontend of the OAPEN Library.

New projects

OAPEN is involved in several new projects, outlined below.

Knowledge Exchange Landscape Study on Open Access Monographs

OAPEN is participating in a Landscape study initiated by Knowledge Exchange (KE). The primary goal of the Landscape study is to come up with comparable data and analysis of the KE countries. This includes the costs of OA books; the fees being charged for OA books; the range of non-BPC models; the adoption of OA policies for books by funders (both public and private), universities, and publishers. The study will provide an overview of OA book publishing by presenting a typology of book publishers, their business models, and OA book publishing models and policies that brings out the various national differences as well as similarities. Eelco Ferwerda from OAPEN will act as Principal Investigator of the study, together with Frances Pinter (Knowledge Unlatched) and Niels Stern (Nordic Council of Ministers), with support from Lucy Montgomery (KU/Curtin University) and our Ronald Snijder.

OPERAS

OAPEN is one of the main partners in OPERAS, a project for a new infrastructure in Europe to support the development of open access scholarly communication. The infrastructure will aim at strengthening research and improving research output by providing new approaches to impact and measurement of academic merit. One of its goals is to introduce the principle of Open Science in the humanities and social sciences and ensure effective dissemination and global access to research results in those disciplines. Social Sciences and humanities (SSH) needs its own models for sustainable Open Access and the infrastructure will coordinate players to establish them. OPERAS currently consists of 20 partners from nine European countries. The OPERAS consortium developed two successful applications for Horizon 2020 projects. OAPEN is participating in both these projects, outlined below.

HIRMEOS

The first, HIRMEOS (High Integration of Research Monographs in the European Open Science), aims to develop a number of new services across five existing platforms for open access monographs, including the OAPEN Library. The services include identification, authentication and interoperability (DOI, ORCID, Fundref), enriching information and entity extraction (INRIA (N)ERD), the ability to annotate monographs (Hypothes.is), and a service to gather usage and alternative metrics. HIRMEOS also involves the Directory of Open Access Books (DOAB), to provide automated uploading, and to develop a certification system to document monograph peer-review. Other participating partners are OpenEdition, EKT, Max Weber Stiftung, Göttingen University, Ubiquity Press, OpenBook Publishers, Dariah and Torino University. The 30-month project was prepared in 2016 but officially launched in January 2017.

OPERAS-D

The other OPERAS project, OPERAS-D (Design), will address long-term requirements for the development of the OPERAS e-infrastructure and network. The project will develop governance models, requirements for future services, and the network of partners participating in OPERAS across Europe. OPERAS-D will also engage with key stakeholders inside and outside Europe for potential collaboration. Other partners in the project are: OpenEdition, Max Weber Stiftung, EKT and Knowledge Unlatched. The duration of the project is 18 months and it was also prepared in 2016 and started in January 2017.

Promoting OAPEN and raising awareness for Open Access Monographs

An important part of OAPEN's activities has to do with promoting Open Access as a publishing model for Monographs and promoting OAPEN as a dedicated platform for OA books. This is done through regular PR and marketing activities such as flyers, newsletters, social media, taking part in Book Fairs and through talks at conferences and articles in journals. But in addition, OAPEN promotes OA for monographs through projects, such as the OAPEN pilot projects (OAPEN-NL, -UK, -CH) and through other specific activities, such as the international conference on OA monographs organised with Jisc in 2013. Currently, OAPEN is taking part in a large scale landscape study on OA monographs commissioned by Knowledge Exchange. The study will result in a final report, expected in April 2017.

Book Fairs

OAPEN was present at the London International Book Fair (April) and the Frankfurt Book Fair (October). OAPEN represented both OAPEN and DOAB.

Articles and reports

OAPEN produced two reports based on the project 'Investigating OA Monograph Services':

- Report of 'Green OA for books'
- Investigating OA monograph services: Final report

Ronald Snijder wrote two publications based on OAPEN research data, published in 2016:

- Snijder, R. (2016). Revisiting an open access monograph experiment: measuring citations and tweets 5 years later. *Scientometrics*, (May), 1–19. <https://doi.org/10.1007/s11192-016-2160-6>
- Snijder, R. (2016). *Building a model for Open Access books*. <https://doi.org/10.17605/OSF.IO/H6VPT>

Conferences

OAPEN was invited to give talks and presentations at several conferences. A selection is given below:

- Round Table 'Green OA for books', Jisc, London, January 2016
- Workshop on collaboration between OA presses, UCL, London, March 2016
- Conference 'University Press Redux', LUP, Liverpool, March 2016
- Workshop OAPEN-CH, SNSF, Bern, November 2016

Appendix 1: Larger publishers in DOAB

Publisher	Number of books (15-2-2017)
Academia Press	27
Academic Studies Press	11
Amsterdam University Press	273
ANU Press	433
Ariadna Ediciones	21
Athabasca University Press	117
Bloomsbury Academic	138
Böhlau	190
Brill	187
bu,press	17
Central European University Press	37
CNRS Éditions	83
Collège de France	127
Cornell University Press	20
De Gruyter	341
Duke University Press	15
Editions de Linguistique et de Philologie	14
EDP SCIENCES	28
ENS Éditions	60
Finnish Literature Society / SKS	20
Firenze University Press	89
Frontiers Media SA	580
Holzhausen	12
Institute for Local Self-Government and Public Procurement Maribor	28
IOS Press	26
KIT Scientific Publishing	93
Language Science Press	32
Ledizioni - LediPublishing	94
Leiden University Press	15
Les Presses de l'Université de Montréal	26
Liverpool University Press	11
Manchester University Press	110
MDPI AG - Multidisciplinary Digital Publishing Institute	146
Newfound Press	45
Open Book Publishers	90
Open Humanities Press	30
OpenEdition Press	21
Oxford University Press	31
Palgrave Macmillan	38

Publisher	Number of books (15-2-2017)
PETER LANG LTD International Academic Publishers	15
Presses agronomiques de Gembloux (Liege University)	20
Presses de l'Ifpo	125
punctum books	128
SciELO Books - Centro Edelstein	114
SciELO Books - Editora FIOCRUZ	126
SciELO Books - Editora UNESP	166
SciELO Books - EDUEPB	38
SciELO Books - EDUFBA	77
Springer	199
Stockholm University Press	10
Studien Verlag	13
Taylor & Francis	10
transcript Verlag	11
Ubiquity Press	24
UCL Press	26
Universidad Carlos III de Madrid. Figuerola Institute of Social Science History	90
Universidad Nacional de La Plata. Facultad de Humanidades y Ciencias de la Educación	38
Universitätsverlag Göttingen	259
University of Adelaide Press	58
University of Calgary Press	81
University of California Press	23
University of Michigan Press	60
University of North Texas Press	86
University of Tartu Press	21
Utah State University, University Libraries	97
Verlag der Österreichischen Akademie der Wissenschaften	29
<i>Total (from 66 larger OA book publishers)</i>	<i>5620</i>
Total number of books	5928

Appendix 2: New publishers in OAPEN

Publisher	Year of entry
Ariadna Ediciones	2016
Brandeis University Press	2016
Chronos Verlag	2016
Dartmouth College Press	2016
Editions Alphil Presses universitaires suisses	2016
Edizioni Casagrande	2016
Finnish Literature Society / SKS	2016
Fordham University Press	2016
FrancoAngeli	2016
Franz Steiner Verlag	2016
Frontiers Media SA	2016
Institute for Local Self-Government and Public Procurement Maribor	2016
Intech	2016
Intellect Ltd	2016
Koninklijke Brill NV	2016
LIBRUM Publishers & Editors LLC	2016
Modern Academic Publishing	2016
Monash University Publishing	2016
Naturhistorisches Museum Wien	2016
Penn State University Press	2016
Pluto Press	2016
Policy Press	2016
Poznań Archaeological Museum	2016
Rowman & Littlefield International	2016
San Paolo – Gregorian & Biblical Press	2016
Scheidegger & Spiess	2016
Society of Antiquaries of London	2016
Studienverlag	2016
University of California Press	2016
University of Toronto Press	2016
University of Westminster Press	2016
University Press of Colorado	2016
Verlag Bibliothek der Provinz GmbH	2016
Walter de Gruyter GmbH	2016
Yale University Press	2016