

Open Access Monographs and Book Chapters:

A practical guide for publishers

Background

Open access for monographs and book chapters is a relatively new area of publishing, and there are many ways of approaching it. This document provides some guidance for publishers to consider when developing policies and processes for open access books.

The guide was written by the Wellcome Trust, which extended its open access policy to include monographs and book chapters in October 2013. Section 4 of this guide sets out Trust policy, but otherwise the recommendations made here are intended as helpful suggestions for best practice rather than requirements.

We recognise that implementation around publishing monographs and book chapters open access is in flux, and we invite publishers to email Cecy Marden at c.marden@wellcome.ac.uk with any suggestions for further guidance that would be useful to include in this document.

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Developing a publisher open access policy and business model

There are many different ways publishers can provide their authors with an open access option. Whichever route you choose, authors will want to know more about what your open access policy means and they will seek this information on your website.

You may wish to include information on the following topics on an open access policy page:

Licence

Make it clear to authors what licences you offer, and provide them with information on the usage restrictions for each licence. The Open Access Scholarly Publishers Association (OASPA) and the Wellcome Trust both encourage publishers to use a licence which allows for the broadest possible reuse of published material.

Costs

Some publishers determine the cost of an open access book by length or other attributes; others offer a flat rate. As with any service, the costs should be as transparent as possible and clearly displayed on your site.

Formats

Outline what formats you publish open access monographs in, and which of those formats will be open access. For example, you may offer a Print on Demand service in order to sell the paper copies of the book. You might also produce an e-book which you may choose to make open access or to sell. You may wish to make a statement about production quality of print copies, should you feel this is appropriate for your open access programme.

Peer review

Some authors worry that open access publications are not subject to the same editorial processes as traditional publications. This is not the case; publishers should approach the peer review of open access monographs and book chapters with the same rigour as traditional publications. It is easiest to demonstrate this, and allay author concerns, if you describe your editorial process. For example, you may wish to specify whether the full text or just the proposal is sent for review.

Marketing and distribution

Authors will wish to be assured that their open access monograph will receive the same level of marketing and distribution as traditional monographs. If you are able to specify what distribution mechanisms you are using, whether traditional or non-traditional, this will be helpful. You will also need to provide information about where your open access books are hosted, and you may wish to link to an example.

Royalties

Existing research shows that print sales of monographs are not significantly impacted by the availability of an open access version, so you should consider how you wish to handle royalties on print and (if relevant) e-book sales.

Speed

Knowing the average speed of peer review and production process may help an author decide which publisher is most suitable for their work. It may be helpful to look at OASPA's membership criteria for open access book publishers, and at what information other publishers provide (for example, Routledge or Open Book Publishers).

Signposting the monograph or book chapter's open access status

It is critical that potential readers and buyers are aware that an open access version of the monograph or chapter is available. This information should be clearly displayed: within the book itself, on the product page, and via the discovery services through which the reader may find it. This is not always straightforward, but the availability of a free version of the book or a chapter needs to be transparent to users.

Production of the book

Copyright page

We recommend that open access information for the book is included on the copyright page, as this is where readers are likely to look for it, and it will also help ensure that the copyright and open access licence information provided is consistent. Information regarding the open access status of the work should be included in all versions of the book. Readers should easily be able to see:

- the licence information for the book (and specific chapter if relevant), so that they know what they can do with it
- that a free version of the book is available, and where it can be found.

To provide readers with this information, you could include:

- a stable URL for the free version of the monograph or chapter
- a clear statement of the open access licence terms
- a stable URL to the more detailed licence information
- a statement regarding who holds copyright
- the relevant licence logo (if using a Creative Commons licence)
- details of any parts of the monograph or book chapter that are not open access (such as third-party images; see page 7).

Examples of copyright pages for open access monographs are included in Annex A, as well as an example title page. The example from Open Book Publishers provides the reader with a stable URL for the open access version of the book on their copyright page. All three examples clearly state the licence used and provide a URL for the more detailed licence terms.

You should also ensure that the licence information, including a URL to the licence, is included in the metadata for the book. This will ensure the licence is machine-readable.

Marketing requirements

Product page

When potential readers visit the product page on your (or your distributor's) website, they should be able to quickly identify the monograph, or the relevant chapter within the book, as open access. The monograph is likely to appear in multiple places – for example, in your catalogue and publishing platform – and its open access status should be clearly indicated wherever it appears. There are many ways you can indicate the open access status of a monograph or book chapter. In the Palgrave Macmillan monograph below, Palgrave has tried to convey the open access status of *Fungal Disease in Britain and the United States 1850-2000* by:

- having a download option directly on the product page
- including the entire monograph in a book viewer on the product page, where it is clearly labelled as open access
- including the text “This book is open access under a CC BY license” at the beginning of the description.

Individual open access chapters should also have their status clearly signposted on their parent title's product pages.

When Palgrave includes the open access status information as the first line in the description, it also means this information is provided to potential readers on the search results, in addition to clear access status labels (see next page).



Figure 1. Example product page.

1
Showing 1 - 2 [collapse all results](#)
Order by: Relevance GO



book

[Fungal Disease in Britain and the United States 1850-2000](#) OPEN

Mycoses and Modernity
Aya Homei and Michael Worboys

[Open Access](#)
[Series: Science, Technology and Medicine in Modern History](#)

This book is open access under a CC BY license. The grand narrative of twentieth-century medicin ...

Print Publication Date: 11 Nov 2013 Online Date: 08 Nov 2013 Access: **OPEN**



book

[Plague-Making and the AIDS Epidemic](#)

A Story of Discrimination
Gina M. Bright

[Political & International Studies Collection 2012](#)

This book explores how the cultural process of making any disease a "plague" results in di ...

Print Publication Date: 15 Feb 2012 Online Date: 31 May 2012 Access: **PREVIEW**

Figure 2. Example search results.

Distribution and discovery tools

It is not particularly common for readers to find books directly via the publisher's product pages. You should consider how best to convey the open access status of a monograph or chapter via distribution and discovery tools. For example, potential readers will often find books via Amazon, but Amazon is not designed to cater to open access monographs and chapters so this requires a careful approach. You can help ensure that Amazon and other retailers make this information available by clearly stating that a free PDF is available and providing a URL to it in the first line of the short blurb, long blurb and table of contents fields within the ONIX feed for all editions of the title. Blurbs for closed access monographs which contain individual open access chapters should also make it clear which chapters are available open access and provide URLs for the open chapters.

You may also include your titles in Google Books, in which case the open access PDF should be set to a 100% preview with the option to download the full PDF directly from Google Books. Where there are individual open access chapters within a closed access monograph, the chapter PDFs should be freely available on Google Books in addition to the closed access parent title PDF.

Essentially, it is important to ensure that the open access information is included in the title's metadata in such a way that its open access status is clear both on your website and within the other channels the title may be discovered through, such as DOAB.

Using third-party images

It is possible to include third-party images in open access books, either under the book's open access licence or under a different licence as specified by the image provider. Usually it is the author's responsibility to seek permissions for use of third-party images in their monograph or chapter. This responsibility can remain with the author for open access books. However, as with e-books, getting image permissions may be a more complicated and expensive process than it is for print publications. Many authors would benefit from guidance from their publisher regarding how to approach this when publishing open access.

Supporting authors

We suggest that you give authors the following information before they approach image providers for permission:

- a. A summary of what the licence which the monograph or book chapter is being published under entails. For example, if it is being published under the Creative Commons Attribution licence:

The work which this image will be used within will be published open access under the Creative Commons Attribution (CC BY) licence. This means anyone can freely copy, share, reuse and adapt the work without seeking permission as long as such uses are fully attributed. For more information regarding this licence visit: creativecommons.org/licenses/by/4.0/.

- b. An explanation of the options for how the image can be licensed within the work. For example:

We would like all images within this work to be licensed under the same licence as the rest of the work. If you are able to provide permission for this, the image will be licensed under the CC BY licence, which will mean anyone can freely copy and reuse the image as long as they provide full attribution. We recognise that not all images can be provided on these terms; if your image cannot, we can include it with whatever copyright specifications you provide to us. It will not be published under the CC BY licence, therefore readers will know that they should not copy and reuse it. If your image is published under a separate licence, we will indicate this on the copyright page of the work and where the image is used within the work.

The copyright holder might also require details of projected print and 'closed' e-book sales in order to prepare and grant a licence.

In addition, authors might appreciate being advised of relevant sources of more openly licensed, free images, such as Wellcome Images, Wikimedia Commons or Rijksmuseum.

Marking the copyright and licence status

If third-party content is used within the monograph under a different licence, it is important to clearly demarcate this content and ensure the reader understands what they can do with it. Ideally, the following three signposts will be in place:

- On the copyright page, any content within the title which has a different licence from the main work will be listed, with its licence details.
- On the pages where the third-party content is used, the copyright and licence information will also be listed.
- In the metadata and/or XML of the work, any parts which are under a different licence will be clearly indicated, and the licence information – including the URL for the licence – will be included in the element. The JATS for Reuse group provides some useful recommendations for this: jats4r.org/recommendations/permissions.html

Wellcome Trust policy for open access monographs and book chapters

The Wellcome Trust requires original research articles, monographs and book chapters resulting from its funding to be published open access. If you publish titles by Trust grantholders you will need to be aware of the Trust's open access policy.

Wellcome Trust policy

As it refers to monographs and book chapters the policy:

- a. The policy applies to all original scholarly monographs and book chapters authored or co-authored by Trust grantholders as part of their grant-funded research. The policy does not apply to textbooks, 'trade' books, general reference works or works of fiction, or to collections edited but not authored by Trust grantholders.
- b. The Trust requires electronic copies of monographs and book chapters to be made available through PMC Bookshelf and Europe PMC as soon as possible, and in any event within six months of publication.
- c. The Trust will make funds available for the payment of open access monograph processing charges. The author's grant will be supplemented, and their institution will be reimbursed by the Trust. Funding is also provided where a research grant has ended. Publishers cannot directly invoice the Trust for any Trust-funded monographs and book chapters they publish under an open access model.
- d. Where a publishing fee is levied, such works must be available without embargo and be licensed in ways which support their reuse. The Creative Commons, Attribution licence (CC BY) is the preferred licence.

Depositing book files in PMC Bookshelf and Europe PMC

If an open access monograph processing charge is levied, the Wellcome Trust requires electronic copies of monographs and book chapters to be made available through PMC Bookshelf at the National Library of Medicine (NLM) and Europe PMC immediately upon publication. In addition, the Trust currently has a pilot agreement with OAPEN, who

harvest Trust-funded monographs and book chapters from PMC Bookshelf and host them on OAPEN Library.

Deposit form requirements

Publishers should deposit Trust-funded open access monographs and book chapters in PMC Bookshelf as a service to their authors. The files can be deposited using a simple form: <https://oadeposit.wellcome.ac.uk/oa/>. To complete this form you will need the:

- relevant Wellcome Trust grant number or grantholder name
- full text monograph or book chapter file(s), plus associated metadata files if available
- licence details of the publication
- embargo release date, if applicable.

File format

The preferred file format is XML, marked up to the standard specified in the NLM Book DTD.

If you cannot provide XML, other acceptable formats include, but are not limited to, PDF and Word. Content deposited in other formats will be converted to XML.

Timeline

When the files are submitted they will be received by PMC Bookshelf, and the Trust will receive notification. The file conversion process usually takes four to eight weeks depending on the length of the book and the file format. When the conversion process is complete, you will have the opportunity to review the converted files on the PMC Bookshelf stage site before they are made live.

You may wish to consider this timeline when deciding when to deposit the files; if you intend to point to the open access version of the monograph or chapter during promotion you should submit the files well in advance of the publication date. You can specify an embargo for the book (though this should not be beyond the publication date if an open access fee has been paid).

Open access formats

The monograph or book chapter will be made open access in html and PDF format.

Useful logos

You may wish to use images to indicate the open access status of the monograph or book chapter. Logo downloads are available here:

Creative Commons licence logos

<https://creativecommons.org/about/downloads>

'Open access and padlock'

https://commons.wikimedia.org/wiki/File:Open_Access_PLoS.svg

'Padlock'

http://commons.wikimedia.org/wiki/File:Open_Access_logo_PLoS_white.svg

Annex A: Example copyright and title pages with open access information

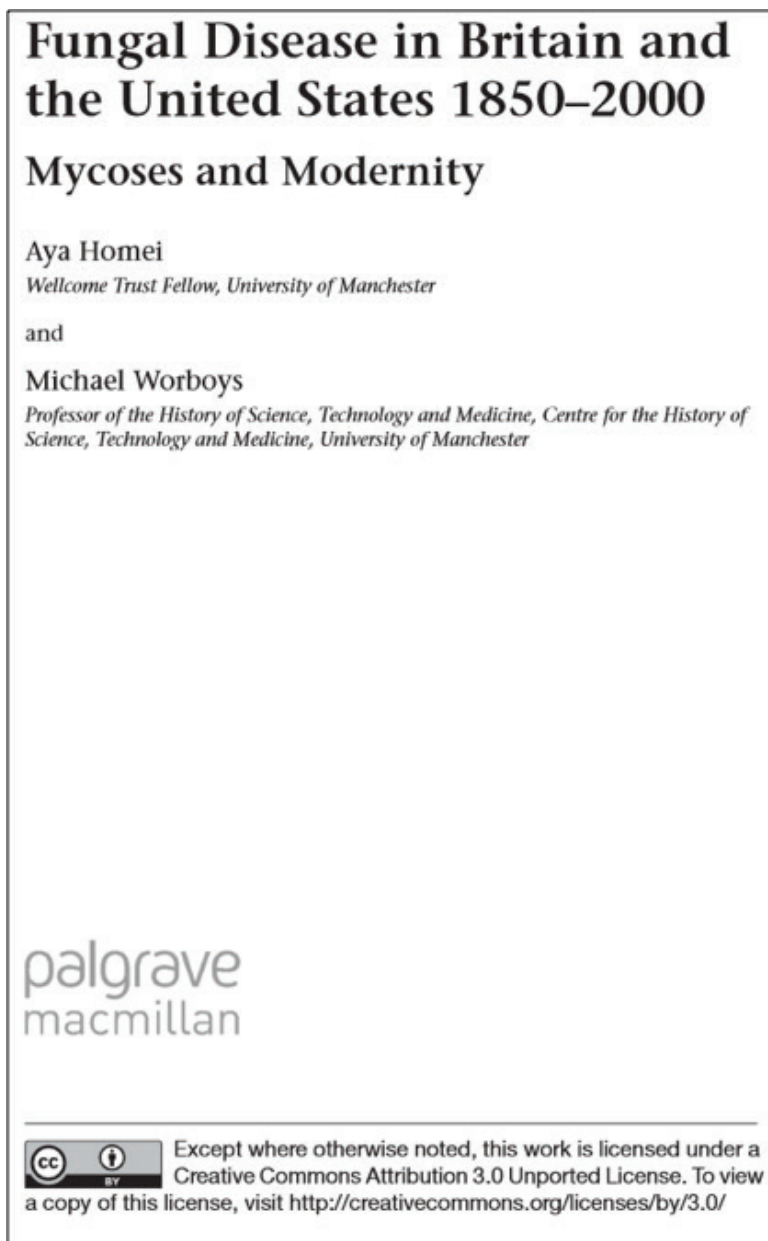
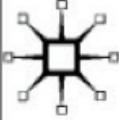



Figure 3. Example title page (monograph)



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Figure 4. Example copyright page (monograph)



<http://www.openbookpublishers.com>

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Figure 5. Example copyright page (monograph)

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Figure 6. Example copyright page (book chapter)

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Our investment portfolio gives us the independence to support such transformative work as the sequencing and understanding of the human genome, research that established front-line drugs for malaria, and Wellcome Collection, our free venue for the incurably curious that explores medicine, life and art.

Wellcome Trust
Gibbs Building
215 Euston Road
London NW1 2BE, UK
T +44 (0)20 7611 8888
F +44 (0)20 7611 8545
E contact@wellcome.ac.uk
wellcome.ac.uk

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