

Open access to books

A study within the remit of the National Library of Sweden's national coordination mandate for open access to scholarly publications (Study 3)

National Library of Sweden



National Library
of Sweden

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1 Summary

In 2016, approximately 15 percent of monographs and anthologies published in Sweden were open access, which was an increase of about 3 percent compared with 2010. The study shows that this increase tends to continue, partly due to the fact that higher education institutions in Sweden work with and support open access publishing of books. In addition, the study has shown that more and more commercial scholarly publishers accept that open access scholarly books are published at the same time, or with embargo periods, as the print version. Another important factor is that dissertations in the humanities and social sciences from Swedish higher education institutions today are predominantly published open access, with the exception of dissertations published by international publishers.

Internationally, the issue of open access to scholarly books has been on the agenda for many years and a great number of reports have been published that show both challenges and possibilities with respect to open access publishing of monographs. The study has shown that it is not easy to apply these results and models to Swedish conditions. The main reason for this is that the Swedish publishing landscape is not shaped by prestigious academic publishers to the same extent as the international one.

Within the scope of the study, it was a challenge to paint a complete picture of the publishing of scholarly books, and especially monographs, in Sweden.

The following reasons can be given:

- The monograph lacks a uniform definition and is valued differently in different subject areas.
- Swedish researchers use a number of different publication channels for monographs, including Acta and publication series, Swedish commercial and non-profit publishers, as well as various types of international publishers. It is not possible to paint a clear picture of how these different publication channels relate to open access.
- Publishing patterns vary between the humanities and social sciences, as well as between different subjects and higher education institutions.

The study has shown that open access books contribute to increased distribution and greater accessibility. In addition, open access is important to research-related teaching at Swedish higher education institutions. Furthermore, an open access digital version of a monograph can be a valuable complement to the print version by facilitating text and data mining. The study has also pointed out challenges in the transition to an open access publishing system for scholarly books. Firstly, Swedish researchers publish in an international academic book market where open access books equal high publishing costs. Secondly, there is a publishing tradition in the humanities and social sciences where Swedish commercial publishers are chosen to reach a wider audience outside academia.

Thirdly, the availability of well-functioning academic open access publication channels varies between higher education institutions.

2 Introduction and background

The study's directive was to prepare recommendations for how monographs, anthologies, and books can be published open access. The directive is based on the Swedish Research Council's 'Proposal for national guidelines for open access to scientific information', which proposes that books that are 'published by Swedish publishers and is a result of publicly-funded research shall be freely accessible on the Internet'.¹

The study has chosen to make two delimitations to specify the investigation and the collection of empirical data. Firstly, the study has mainly focused on the monograph as a publication channel. Secondly, a delimitation has been made with respect to the humanities and social sciences. The main reason is that the monograph is considered key to the knowledge development in these fields of science. This is also in line with international discussions on the matter.

A monograph is often defined as a longer presentation of a coherent subject, in most cases written by one, but sometimes several authors.

*Defined as an academic book written on a single research topic or subject that is usually between 80–100,000 words, the monograph provides a detailed examination of a specific topic, with a carefully constructed presentation of evidence and contextual analysis. The term is also used more broadly to include edited collections of research essays, critical editions of texts and other works.*²

The definition above can also be clarifying for Swedish conditions, but it should be emphasised that the boundaries between related genres such as popular science books, non-fiction, reports and the like are fluid, not least in Sweden.

The study is based on the following working definition of monograph:

- The book shall to some extent be the result of research work or a qualified compilation of research work based on current scientific standards and requirements.
- Normally, a monograph is authored by a researcher linked to a Swedish higher education institution or another public institution.
- The publication is usually - though not exclusively - directed at the research community. A comprehensive demarcation between scholarly and popular science publications is difficult to make but should be considered.
- The research work on which the book is based is publicly funded.

As is apparent from both the definition above and the study's directives, anthologies are also included in the study. This means that even if we focus on monographs, the study also covers the anthology as a publication channel.

The anthology forms a significant part of research publishing in the Swedish humanities and social sciences. At the same time, the anthology's middle position is difficult to

¹ Swedish Research Council, 2015, p. 11

² Universities UK Open Access Coordination Group, 2018, p. 4

assess as the form is broad and can include everything from homage volumes to peer-reviewed research and can be published in both English and Swedish. Essay collections and textbook texts can also be included in the anthology definition. This diversity has led to the anthology having a somewhat unclear and varying status as a publication channel, which distinguishes it from the monograph. It is also clear that the international literature on open access to books explicitly discuss the anthology to a very low degree.

As dissertations form a major part of Swedish scholarly book publishing and are often categorised as monographs, these have also been included in the report.

However, textbooks are not covered by the study.

3 Method and approach

Within the scope of the study, literature reviews were carried out. In addition, a questionnaire was sent out to a selection of Swedish publishers. The study also had discussions with representatives of research funders in Sweden for the purpose of gathering knowledge regarding the funders' views on publishing open access books. In addition, a seminar was arranged with Björn Hammarfelt, senior lecturer at the Swedish School of Library and Information Science at the University of Borås. The seminar was conducted with the purpose of acquiring knowledge about the Swedish publishing landscape.

Within the scope of the investigation work, publishing statistics were collected for the purpose of describing book publishing at Swedish higher education institutions. The data was obtained from Swepub and DiVA.³

Data was collected from Swepub on the publishing of books by researchers at Swedish higher education institutions during the period 2010-2016. This data includes books, book chapters, dissertations, and anthologies as well as reports in all subject areas.

Textbooks are also included here.⁴ To examine the proportion of monograph dissertations in relation to compilation dissertations in the humanities and social sciences, statistics were collected from DiVA for the period 2010-2017. In addition, the study collected statistics for monographs in the humanities and social sciences published during the period 2010-2018, to find the number of publications divided by the different levels of the 'Norwegian list'.⁵

³ Digitala vetenskapliga arkivet

⁴ With respect to DiVA, monograph and dissertation statistics were collected, mainly from Blekinge Institute of Technology, Karlstad University, KTH Royal Institute of Technology, Linnaeus University, Linköping University, Stockholm University, Södertörn University, Umeå University, Uppsala University, and Örebro University.

⁵ The Norwegian list is administered and updated annually by scientific experts in each subject area. Assessments are based on the type of publication and the publication channel's prestige within the field. The publication channels in the Norwegian list are graded on a scale between 0 and 2. Channels on level 0 lack a scientific review process and have mainly national distribution, while levels 1 and 2 indicate that these are publication channels with a scientific review process and an international readership. Level 2 consists of the 20 percent of the total number of channels considered to be of the highest international class. As assessments are made annually, there are also changes in classifications between the levels, which means that the same publication channel may be sorted under a new level depending on the prevailing scientific opinion. In DiVA, publications are listed according to the scale 0-2 in the Norwegian list with the level that

4 International perspectives

Both internationally and nationally, the monograph has been highly valued as a publication channel in the humanities and social sciences.⁶ In a survey conducted within the project OAPEN-UK,⁷ it was shown that 66 percent of researchers in ‘arts and humanities’ had published a monograph and that 95 percent considered it either important or very important to publish in monograph form.⁸

However, there are wide variations between subjects and disciplines, which is emphasised in many studies.⁹ Other studies have shown that there may be differences within the subject between different countries, as well.¹⁰ For example, book markets differ nationally in scope, both in terms of readers and number of titles. This also means that academic publishing itself varies in prominence in relation to other publication channels. Opportunities for researchers to fund book publishing also vary.¹¹

Despite the different conditions described above, the starting point in international discussions about the importance of monographs in the transition to an open access publishing system is often a homogeneous Anglo-American publishing pattern, where a limited number of prestigious academic publishers offer both quality and dissemination. These publishers are also prestigious, which is considered favourable from a competition perspective.¹² The symbolic value of publishing with these publishers may thus be of importance to the researcher's career, for example in the form of appointments or resource allocations, which Martin Paul Eve, among others, emphasises.¹³

The question of open access to scholarly books has attracted increasing attention over the past 10 years. An overview of the international discussion based on available literature on open access to monographs can be summarised in the following points:¹⁴

- The transition is at an early stage, and even though new data is constantly being added, there are no clear patterns for use and impact with respect to open access monographs.
- Policies for open access monographs are still uncommon, as are funding

applies to the publication channel for the year in which the publication is registered, which means that there is a certain source of error for the classification over time. In connection with evaluations and statistical analyses of publishing at several Swedish higher education institutions, the Norwegian list is used as an important basis for analysis of material published in the humanities and social sciences, as the list also includes book series and book publishers.

⁶ See, for example, Mole, T., 2015 & Universities UK Open Access Coordination Group, 2018

⁷ OAPEN-UK Final report. A five-year study into open access monograph publishing in the humanities and social sciences., 2016

⁸ Milloy, C. & Collins, E., 2014

⁹ See, for example, Hammarfelt, B., 2017a & Kulczycki et. al., 2018

¹⁰ Ferwerda, E., Pinter, F., & Stern, N., 2017

¹¹ Schonfeld, R.C. 2016

¹² Universities UK Open Access Coordination Group, 2018

¹³ Eve, M.P., 2014. See also Crossick, G., 2015 and Jubb, M., 2017

¹⁴ Universities UK Open Access Coordination Group, 2018

opportunities for publishing costs.

- At present, only a small part of scholarly monographs is published with open access.
- Many open access initiatives can be considered experimental.
- The transition to open access for monographs requires more time compared with scholarly articles.
- International scholarly publishers charge fees to publish open access monographs. These costs differ greatly but are high. A big part of the discussion has been about how to fund and manage these costs.
- Although there are challenges in the transition to open access publishing of monographs, there are clear ambitions among research funders to include monographs in open access policies in the future.

There is also a potential for open access books to reach a wider audience outside academia, which in turn can benefit collaboration and societal impact.

*Open-access books, freely distributed across the Web, can provide a way for academics and non-academics alike to engage with scholarly material without the obstacles presented by price, location or copyright, [...], as a consequence, their wider use, readership and non-academic impact can be increased.*¹⁵

Funding of publishing costs for open access books is considered, as mentioned above, to be an obstacle.¹⁶ Books are expensive to produce and the profit margins for book sales are small. Also, commercial academic publishers are important for quality assurance and offer services that are still necessary for academic book publishing. Disciplinary traditions and scientific standards linked to publishing patterns can also present an obstacle for researchers when they want to publish their results in open access books.¹⁷ Another challenge is third-party rights to materials such as images.¹⁸

The connection between open access and the status of monographs has also been discussed internationally. Among other things, it has been noted that open access has a strong potential to strengthen the importance of scientific books both in the research community and in society at large.¹⁹ The international discussion also emphasises that the scientific paradigm also impacts open access publishing practices in the humanities and social sciences.²⁰ Eve also describes that open access to monographs is met with more scepticism in the humanities than in other fields of science. This may be due to the fact that prominent researchers in the humanities in the UK have expressed concerns regarding plagiarism, copyright, and neoliberal market-oriented thinking within academia, says Eve.²¹ Eve et.al. shows that the complexity of the transition to an open

¹⁵ Crossick, G., 2015. p. 34

¹⁶ Ferwerda, E., Pinter, F., & Stern, N., 2017

¹⁷ See, for example, Universities UK, 2018

¹⁸ This can be accomplished using different licensing solutions and by parallel publishing a version of the publication in an open archive. Read more about this in the study 'Monitoring of requirements for open access including CC licences'.

¹⁹ See, for example, Crossick, G., 2015 & Ferwerda, E. et.al. 2013

²⁰ Eve, M.P., 2014

²¹ Eve, M.P., 2017a

access publishing system for books can also be traced to major transformations of the scientific system. These apply, in general, to the entire academic career system, the allocation of resources, and technical development, and affect the humanities to a significant degree.²² Eve also believes that fears that open access books do not uphold the same level of quality as print books may be a consequence of such general changes.²³

Internationally, the possibilities of publishing books both in print and digital and open access format are often discussed. Eve notes that the book's materiality and cost are often highly valued in the current publishing system. The fact that the book is expensive can be considered a guarantor of quality. In addition, many researchers want to read and study scholarly books in print and not in digital form.²⁴

Researchers who publish their books with open access are quoted ten times more often than similar research results in print form. The open access books are also often downloaded by readers outside the research community. Also, open access to books has been shown not to have a negative impact on book sales of print books. The likely explanation is that there are different groups of readers who choose the different versions.²⁵ In a report, the publisher Springer Nature examined its own publishing of open access books. According to this report, the download figures for these open access books are seven times higher than for their license-based titles. The report further shows that open access books have 50 percent more quotations and more than 10 times as many mentions online.²⁶

The study would like to emphasise that even if results from internationally conducted studies are important and interesting, it is not always possible to easily transfer the results to Swedish publishing patterns for open access books.

5 National situation analysis

As in other countries, the monograph is an important publication channel for Swedish researchers in the humanities and social sciences, partly because books are considered important in order to be able to present lengthy arguments and discuss complex issues.²⁷ Publishing books is also considered important in order to acquire further qualifications in one's research career.²⁸ Several Swedish researchers have shown that the monograph is also considered to give visibility and have an impact even outside the boundaries of academia, which is highly valued in certain disciplines.²⁹

While the monograph's central importance in the scholarly publishing system is emphasised, the 'monograph crisis' is being discussed in both Swedish and international

²² Eve, M.P., et. al. 2017. See also Jubb, M., 2017

²³ Eve, M.P., 2017b

²⁴ Eve 2014, p. 116 *Open Access and the Humanities: Contexts, Controversies and the Future*

²⁵ Snijder, R., 2019 *The deliverance of open access books: examining usage and dissemination*

²⁶ Emery, C. et. al., 2017

²⁷ See, for example, Bernhardsson, K., 2011, Steiner, A., 2016 & Hammar, I., 2017

²⁸ See, for example, Hammarfelt, B., 2017b. Compare Pinter, F., 2015 & Crossick, G., 2015

²⁹ Bernhardsson, K., 2015 & Francke, H., 2017. See also Joelsson E., Nelhans, G. and Helgesson, CF., 2018 (in press)

contexts, not least due to declining book sales.³⁰ The monograph has also been highlighted in national discussions on how collaboration with the surrounding society is influenced by new trends such as digitalisation, internationalisation, and publishing in article form.³¹

5.1 Multifaceted publishing landscape for books

The Swedish publishing landscape for monographs appears to be multifaceted compared with many other countries. One contributing factor is that Swedish publishers who publish scholarly books have different profiles and publishing processes.³² This can also be seen in the questionnaire responses received within the scope of the study. In these, it becomes clear that the majority of responding publishers are commercial, while a smaller number are university publishers or non-profit or independent publishers. The number of published monographs or anthologies per year can vary between a few and up to 30-40 titles per year from different publishers.

Despite its prominence, the monograph only represents a small part of total publishing output, as Hammarfelt and de Rijcke have shown.³³ We see the same from the Swepub data, where the categories books and anthologies in total only represent a small proportion (1-2 percent) of the total number of publications during the period 2010-

2016 (Figure 1). The breakdown between different subject areas shows that book publishing³⁴ in the social sciences and humanities dominates compared with other subject areas.

³⁰ JISC, 2014, Ferwerda, E., Pinter F., & Stern, N., 2017

³¹ Blomqvist, G., 2013, Östling, J. et.al., 2016; Steiner, A. 2016

³² See Francke, H., 2017

³³ Hammarfelt, B., & de Rijcke, S., 2015. Accountability in context: Effects of research evaluation systems on publication practices, disciplinary norms and individual working routines in the faculty of Arts at Uppsala University. I: Research Evaluation, Vol. 24, No. 1, p. 63-77, 2015

³⁴ The information from Swepub includes scholarly monographs and anthologies as well as textbooks and books with a popular science focus.

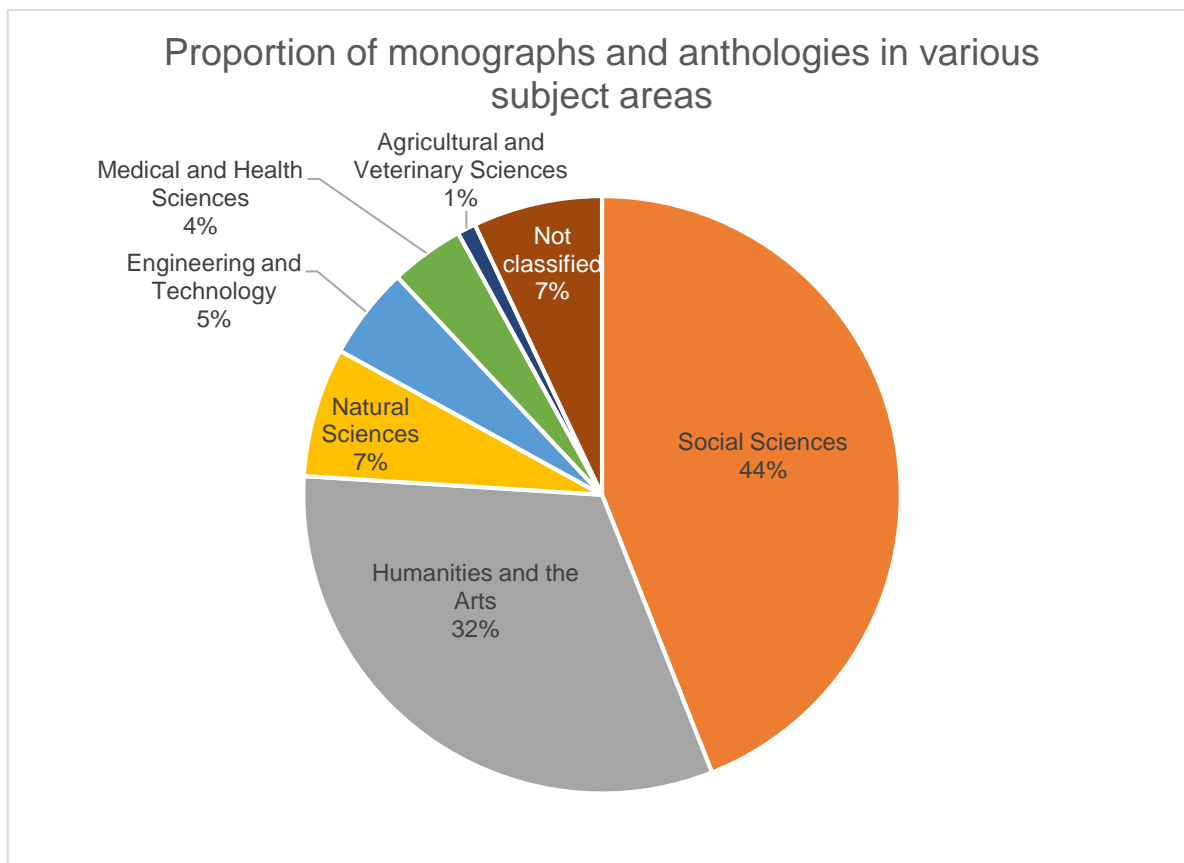


Figure 1a. Proportion of books and anthologies in various subject areas. Data from Swepub, 2010-2016. Total number of books and anthologies = 10,517. Note that in the category of books, textbooks and popular science books are included along with monographs.

5.2 Peer review and evaluation

One of the main reasons why a comparison between open access publishing of books in Sweden and in other countries is not easy to make is the lack of a national standard regarding formal peer review for Swedish monographs. In the international publishing system, peer review is almost a standardised procedure³⁵ and although there are currently publication channels in Sweden that include peer review of books published at Swedish higher education institutions, the vast majority of Swedish monographs are published without regular peer review. It should be emphasised, however, that this does not mean that scholarly books published in Sweden have not undergone peer review. Rather, a more informal review system has been established that includes various forms of peer review, for example through higher seminars at the higher education institutions in parallel with the review work of publishers, readers, and the editorial board.

Statistics on monographs in the humanities and social sciences published in DiVA and ranked according to the Norwegian list's three different quality levels 0-2 (Figure 2a and b) show that the largest proportion of book titles in the humanities (65 percent) are mainly nationally distributed and published through publication channels lacking a formal review process (Figure 2a). The corresponding number in social sciences is

³⁵ Björkman, J., 2015 and Ferwerda, E., Pinter F., & Stern, N., 2017

lower. Here, the proportion of book titles in the Norwegian list's level 0 publication channels is 45 percent (Figure 2b). Just over 10 percent of the titles in both the humanities and social sciences were published in publication channels of the highest international class with respect to the review process (level 2). These are mainly international publishers where English is the dominant language. It should be noted that only eight of these books are published with open access full text in DiVA and only five of these are marked with a CC-BY license.

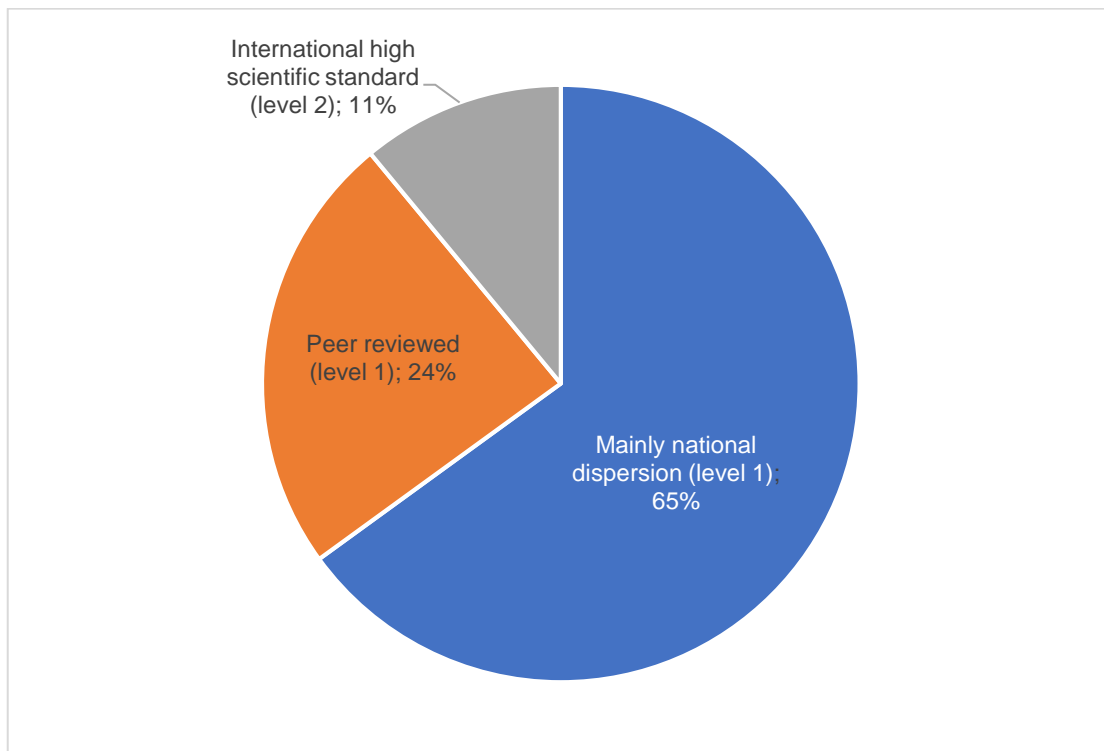


Figure 2a. Percentage of monographs in the humanities according to the Norwegian list's levels (0-2) of the scientific and review process. Data is from DiVA and covers the period January 2010 to September 2018. Total number of titles = 1,334.

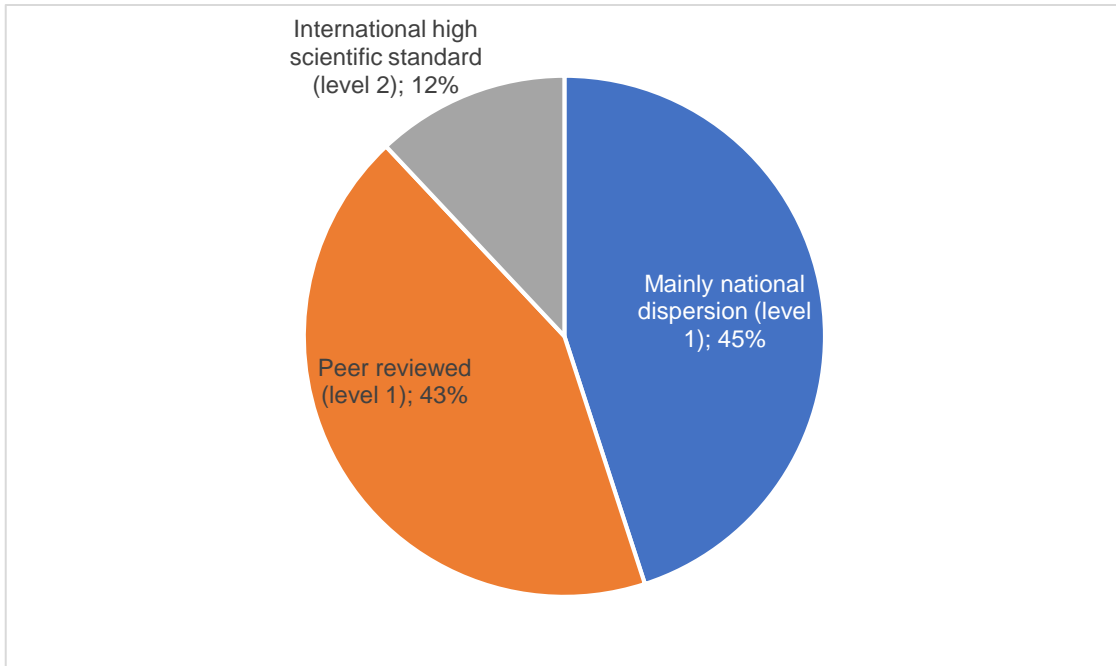


Figure 2b. Percentage of monographs in social sciences according to the Norwegian list's levels (0-2) of the scientific and review process. Data is from DiVA and covers the period January 2010 to September 2018. Total number of titles = 3,005.

Even if, as stated above, there are differences between the conditions for publishing books in Sweden and in other countries, international book publishing is of great importance to researchers affiliated with higher education institutions in Sweden. Of the monographs published in one of the Norwegian list's publication channels on level 1 or 2 (Figure 2a and b), publishing was divided among a total of about 200 different publishers within the humanities and social sciences. Of these, about 145 were international publishers and 55 were mainly Swedish with the exception of a few Nordic publishers. Of the monographs that were published in the Norwegian list's level 0 channels, the titles were published by around 300 different publishers. The wide spread of publishers is about the same in the humanities as in social sciences.

In the humanities and social sciences, monographs (including dissertations) have traditionally held an important position in the higher education institutions' third stream activities meaning collaboration with the surrounding society.³⁶ While international articles are considered as targeting specialists, the monograph and, to some extent, the anthology could target both researchers and the interested public.³⁷ Publication of monographs has thus partly been incorporated into the commercial Swedish publishing industry, which complicates open access publishing. Today, however, many observers point out that commercial publishers' interest in research has diminished.³⁸ The fact that Swedish researchers in the humanities and social sciences publish their monographs through a number of different publication channels is confirmed by publishing statistics from DiVA.

³⁶ Björkman, J., 2015

³⁷ Francke, H., 2017

³⁸ See for example Blomqvist, G., 2013

5.3 Swedish publishing of open access books

Statistics from Swepub regarding published open access books show a slightly rising trend during the years 2010-2016.

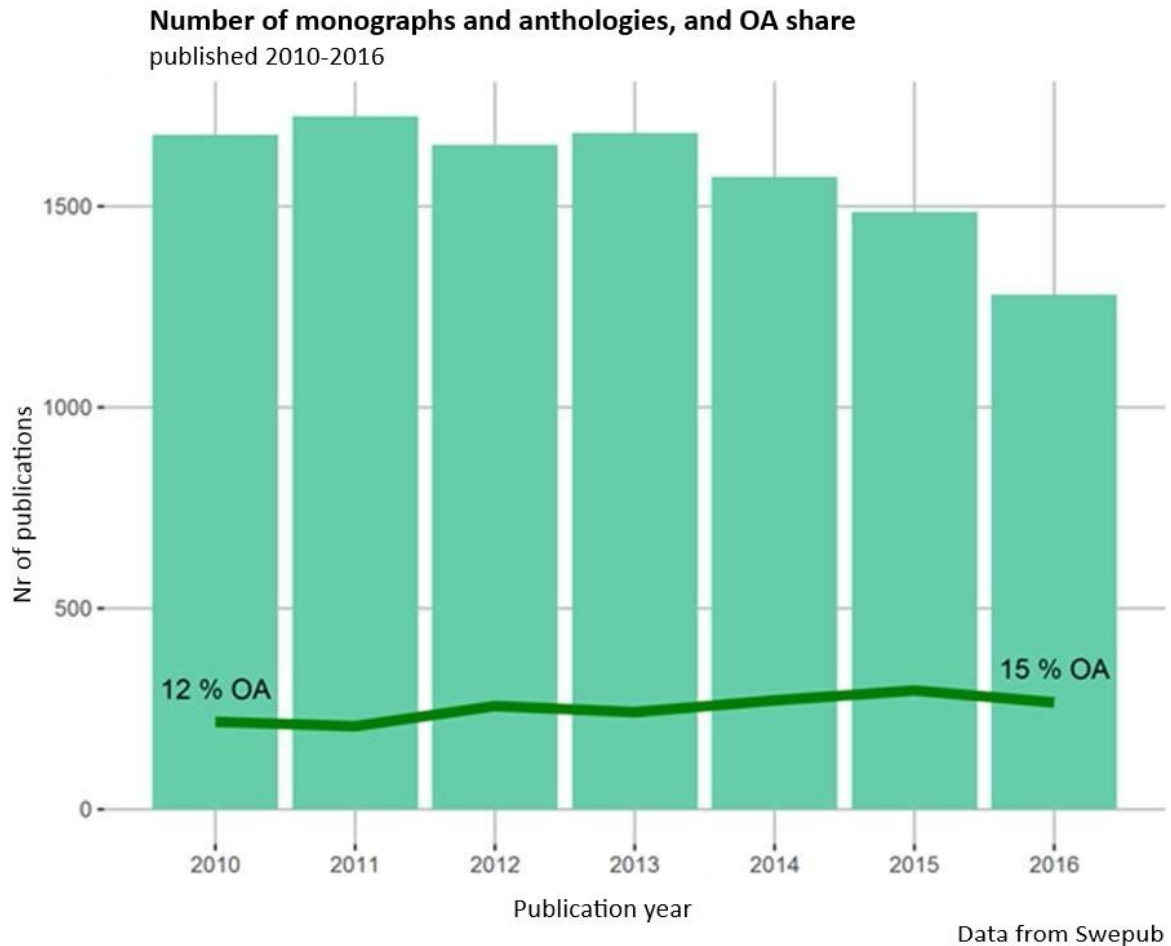


Figure 3. The percentage of books and anthologies in various subject areas and the percentage of these published with open access. Data is from Swepub and covers the period 2010-2016.

5.3.1 Open access with Swedish publishers

The questionnaire responses show that Swedish publishers are somewhat unsure of what consequences the transition to open access may have. Several of the responding publishers describe the transition as a threat to their business and express concern about reduced sales. Several publishers also cite financial support as the greatest need before transitioning to open access books. After that, they describe the need for technical competence, followed by the need for legal competence and increased knowledge about open access. Furthermore, there is a need for platforms for electronic distribution and educational initiatives for authors and researchers and publishers. There is also some degree of consensus among publishers that the main financial responsibility should primarily be the responsibility of higher education institutions and, secondarily, research funders.

The survey responses also revealed a positive attitude towards open access book publishing. For example, they mention the possibility of printing smaller editions,

which means reduced storage costs. Also, increased visibility is highlighted as an opportunity for the publisher in that research results can be disseminated to more readers or customers.

One important factor in the transition to open access publishing of scholarly books is the possibility for researchers in the humanities and social sciences to continue to publish with commercial publishers who accept that monographs and anthologies are published with open access in parallel with the print book. There are also a number of Swedish publishers that already offer opportunities for researchers to publish books with open access. Arkiv, Ellerströms, Glänta, Iustus, Makadam, Nordic Academic Press, Ordfront, and TankeKraft are examples of publishers who, on at least one occasion in the past five years, have published monographs with open access, in parallel with a print version of the book.

5.4 Funding of monograph publishing

Swedish publishers normally require cost recovery when publishing scholarly books in print format.³⁹ The researcher often applies for a printing grant from their higher education institution or for a research funder to fund printing. It is not uncommon for the production cost of a book to be SEK 100,000. International publishers also occasionally want researchers to secure funding themselves. Researcher Katarina Bernhardsson has shown that the Swedish publishing model, which means that funding is provided in the form of printing grants (production grants) and the commercial potential for publishers is small, could lead to a smoother transition to open access monographs in Sweden than on the international market.⁴⁰

Some Swedish publishers only publish scholarly books, while other publishers that publish scholarly books also have a more diversified publishing output. Results from the survey show that the funding models generally seem to differ between the different publishers. In most cases, book production is funded with printing grants from a research funder and through special printing grants from funds and foundations. Only a few of the responding publishers state that production is funded by sales revenue.

When a book is published in print form and published with open access at the same time, it may be unclear which items are included in the final cost. According to the questionnaire responses received, the publishers do not consider there to be any particular costs associated with open access publishing. On the other hand, some view reduced sales revenues as a risk with open access, as the sales opportunities for a print version of a book that is also published with open access are perceived as significantly worse.

For those research areas where publishing in monograph and anthology form is of great importance, the transition to open access books may involve high publishing costs. Through so-called BPCs (Book Processing Charges), publishers charge for open access publishing of books. In the UK, publishing costs for open access books can range from

³⁹ Bernhardsson, K., 2011

⁴⁰ Bernhardsson, K., 2015

GBP 3,500 to GBP 15,000 per monograph, depending on the publisher.⁴¹ While publishing costs for open access books occur on the international market to a large extent, they are not common in the Swedish book market. A researcher is also often permitted to deposit their book in PDF format in an open access repository, so-called parallel publishing, without the publishers requiring extra costs for this. Currently, none of the Swedish research funders demand books to be published with open access. However, in some cases, researchers have the opportunity to apply for funding for open access book publishing. Some of the research funders also make financial contributions to new publishing models for open access books, such as the Open Library of Humanities and Kriterium.

5.5 Infrastructure for open access to monographs

Several of the Swedish higher education institutions have established a form of infrastructure for open access publishing of monographs. Such infrastructures include the higher education institutions' publication series and publishing activities, as well as platforms for publishing scholarly books, such as Kriterium.

One important channel for making visible and disseminating open access scholarly books produced at Swedish higher education institutions and public authorities is the publication databases at the institutions. These repositories often have a high number of visits and downloads. For example, in recent years, the approximately 325,000 open access full texts⁴² in the DiVA portal have, combined, been downloaded more than 40 million times per year. The most visited publications have between a couple of thousand to 60,000 downloads and sometimes even more.⁴³

Many higher education institutions have established publication series for open access books. In the following, some examples are given.

- *Studia Historica Lundensia* at the Department of History in Lund. The department's doctoral students previously mainly published their dissertations with commercial publishers using printing grants. For a couple of years now, however, it has been common practice to publish dissertations with the publication series with financial support from the faculty. The publication series also includes anthologies and monographs that are not dissertations. All books in the publication series are also available as print-on-demand (PoD) books, sold via Lund University's bookshop, and are also available open access via the publication series' database and website. At Lund University, work is also underway to transfer selected publication series to the Open Monograph Press, which is an open-source software platform for editorial review and open access publishing.
- At Uppsala University, the publication of the University's dissertations, monographs, and anthologies has been coordinated within the 70 or so different publication series called *Acta Universitatis Upsaliensis* ever since the 1960s. In 2015, they took a new

⁴¹ Universities UK Open Access Coordination Group, 2018

⁴² The number of downloads applies to all publications in DiVa as it is not possible to separate monographs from the rest.

⁴³ Wikipedia. About DiVA,

approach to Acta publishing and it was decided to expand and coordinate the activities under a common platform, called Uppsala University Publications (UUP). The purpose of UUP is above all increased visibility and marketing of the University's publications, hopefully increasing the impact of the author's research. The library also has a well-established workflow supported by graphic design, book production, and digital publishing. In addition to titles being made visible via UUP's website, it is also possible to buy a print copy via the University's online shop. There is no requirement or decision that says all monographs and anthologies published in the University's publication series must be available open access in DiVA. However, in most cases, it is made available upon request from the author, the series editor, or both.

- *Kriterium* is a national collaborative initiative to establish an infrastructure for books in the humanities and social sciences. The collaboration includes higher education institutions and publishers, and financial support has been received from the Swedish Research Council, *Riksbankens Jubileumsfond* (RJ), and the National Library of Sweden. *Kriterium* is both a platform for peer review and an open access publication channel. The purpose of *Kriterium* is to strengthen the status of monographs in Sweden. This is done by offering a quality label for Swedish research results according to the same review procedure used in other countries and by publishing the books with open access. *Kriterium* is not in itself a publisher. This means that publishing is always done in cooperation with a publisher or a publication series. The finished book is published both in print and online, made available through open access (and in other e-formats if desired) on *Kriterium*'s website. *Kriterium* follows the Open Access Scholarly Publishers Associations' (OASPA) quality requirements for open access publishing and also requires that all books are published with one of the Creative Commons licenses. All of *Kriterium*'s books are also distributed via international platforms for peer-reviewed books, such as Open Access Publishing in European Networks (OAPEN) and the Directory of Open Access Books (DOAB). *Kriterium* is also included in the Norwegian list. The cost of book production via *Kriterium* is approximately SEK 15,000. This amount covers fees for reviewers and a scientific officer as well as the operation of the digital platform for peer review.

In addition to the abovementioned examples, several higher education institutions have in recent years established their own publishing houses with partly different profiles. For example, LU Press at Lund University aims to disseminate selected research to a larger international audience and is based on a collaboration with Manchester University Press. Books from LU Press are immediately published with open access. Another example is Stockholm University Press (SUP), which publishes peer-reviewed books with open access. SUP also publishes books by authors from other higher education institutions. SUP charges a publication cost to fund the production costs related to the book. No profit is paid to the publisher or the library.

Usually, the university and college libraries operate and coordinate the higher education institution's publishing activities. This same applies to the management of and

responsibility for the publication databases where the researchers' publications are registered. The libraries have a collection of experts in issues related to publishing and open access, as well as responsibility for informing and supporting researchers in publishing matters. There is a need for coordination between already established and new initiatives for open access publishing of books at Swedish higher education institutions. Such national coordination could strengthen publishing of open access books. International studies also emphasise the need for centralised support for and development of open access infrastructures.⁴⁴

6 Conclusions and recommendations

The study has shown the current national needs for facilitating the transition to an open access publishing landscape for books. A number of favourable conditions are already in place. These include dissertations that are already widely published open access, Acta and publication series at universities that advocate open access publishing, and commercial publishers that, with a relatively large publication of books in the humanities, provide opportunities for open access publishing.

That being said, there are also infrastructural challenges that require sound national coordination. It should also be noted that the financial aspects pose a challenge. In a system with print publishing, the researcher applies for a printing grant to fund the publication. Such a grant could be used to purchase services provided by commercial publishers. In many cases, parallel publishing in repositories can be an alternative to making books open access.

The study shows that Swedish researchers who publish books do so in both a national and international market. In addition, there are many higher education institution publishers or infrastructures that offer open access book publishing. With respect to the publishing of open access books by prestigious international publishers, publication costs are often high and may be difficult to cover fully using grants from higher education institutions or funders. Here, there are currently no financial conditions in place to facilitate the transition to open access. The study also wishes to underscore that international developments should be continuously monitored and analysed in order to stabilise the national transition to an open access publishing landscape for scholarly books.

The publishing landscape for scholarly books is complex and multifaceted. The study has revealed that there are challenges in comprehensively mapping the publishing landscape for monographs. It has also become clear that it is currently difficult to assess the conditions for the higher education institutions' infrastructure to handle monograph publishing. A transition to an open access publishing landscape for monographs should also consider that monographs need to maintain a significant and pluralistic position as a publication channel for scientific findings. To facilitate the transition to open access to monographs, and support Swedish researchers in this process, the study has formulated

⁴⁴ Ferwerda, E., Pinter F., & Stern, N., 2017

three recommendations. All recommendations may also include the publishing of monographs in other fields of science than the humanities and social sciences, as well as other types of academic books.

Recommendation 1: That higher education institutions and research funders include scholarly books in their guidelines for open access to publications.

The study has shown that there are currently few higher education institutions and research funders that include scholarly books in their open access policies. At the same time, the study has shown that there is a need for support to researchers when publishing open access books. To facilitate the implementation of these guidelines, financial and technical support is also needed for the researchers who publish their books with open access.

Recommendation 2: That higher education institutions and funders set aside resources for financial support for the publishing of open access scholarly books.

To support researchers' publishing of open access scholarly books with national and international publishers, Swedish higher education institutions and research funders need to set aside resources (for example in the form of funds) or convert existing printing grants. The study has shown that there is also a need to be able to publish both a print version and a digital open access version of the book.

Recommendation 3: That higher education institutions and funders provide continued and increased financial support for existing and new central infrastructure services for open access and coordination of infrastructure.

The study has shown that there is a great need for channels and models that enable the publishing of open access scholarly books. To rely on commercial publishers to create models for open access publication of books is not enough. There is thus a need for research funders' and higher education institutions' continued support for established and new publication channels and publishing models for open access books. In addition, there is cause for higher education institutions to systematise and coordinate their publishing in order to strengthen or establish open access publication channels for books. In connection with this, there is also a need for strengthening and further develop infrastructures and standards for peer review of scholarly books.

Other proposals: In addition to the above recommendations, the study proposes that a national study is conducted with the aim of investigating what a possible financial support for publishers' transition to open access publishing, as requested according to the completed survey, might look like and on what conditions such support could be distributed.

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Appendices

Group participants

Lars Burman & Aina Svensson, Uppsala University

Tommy Dahlén, Forte

Isak Hammar, Lund University

Eva-Maria Häusner, National Library of Sweden (Secretary)



Kungliga biblioteket

Besöksadress: Humlegården

Box 5039, 102 41 Stockholm

Telefon: 010-709 30 00

E-post: info@kb.se

www.kb.se