

OPEN  
ACCESS

BOOKS  
GUIDELINE

# VU OPEN ACCESS BOOKS GUIDELINE

VU Policy: Scientific publications by VU authors are to: be **registered** in the university Current Research Information System (Pure), made **immediately open access** under an **open licence**, and **deposited** in the university repository, **whenever possible**.

For assistance or questions, please reach out to the VU library open access helpdesk at [openaccess@vu.nl](mailto:openaccess@vu.nl)

## DIAMOND

Immediate open access publishing without payment of a fee.

- Recommended route by VU
- Often scholar-led, not for profit
- Plan-S and funder compliant

Examples: Community funded publishers, University Presses, Open education textbook publishing

## GOLD

Immediate open access publishing under payment of a fee.

- Book Processing charge between €7.000 and €15.000
- Look into funding options (NWO, VU Publishing Fund, VU Grants Office)
- Plan-S and funder compliant

Examples: traditional BPC-model publishing, Subscribe to Open initiatives

## GREEN

Open access version uploaded in repository after possible embargo period.

- Guidelines differ per publisher
- Chapters in edited volumes can be made OA under the *You Share, We Take Care* project
- Not always Plan-S and funder compliant

Examples: Publishing manuscripts in the VU institutional repository (Pure)

## LICENSING & COPYRIGHT

Creative Commons licences allow the author to retain copyright and decide the manner in which the work can be shared. The VU recommends a CC-BY licence.

If the publisher demands the transfer of copyright, the application of the *Rights Retention Strategy* upon submission, can help you comply with funder demands.

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# INTRODUCTION

VU authors publish around 250 books (monographs, edited volumes and reports) per year, of which about a third is registered as being “open access available”. Yet, when looking at the rates for monographs in particular, we see that of the roughly 100 monographs published by VU-authors each year, only about 10% is published in open access. Many authors still have concerns about publishing books open access: they are worried about finding funding to publish open access with big commercial publishers, doubtful of the quality, prestige, and marketing capabilities of fully open access presses, and unsure of how funder requirements and open licences will affect the copyright protection of their work. This guideline aims to speak to these concerns and inform VU book authors why and how open access book publishing should be achieved.

## Why open access?

Although the open access publishing of books is not yet as established as open access peer-reviewed articles, the advantages are quite similar:

- Open access work is more easily found and disseminated. Publishing your book open access increases the visibility of your scholarly research and promotes the reuse and impact of your findings. This leads to greater recognition of your work.
- Open access allows for greater inclusion and participation. When academic research is openly available, it has the potential to reach those who would otherwise not be able to access the content (f.e. due to paywalls) and it allows them to participate in the scholarly discourse.
- Making your work openly available allows for greater transparency in how research is conducted, which in its turn leads to greater accountability and trust in scientific methods and results.
- Open access advances innovation. By allowing others to more easily cite and reuse your research, you are promoting collaborative research. This will accelerate research, stimulate scholar-led publishing and lead to new initiatives and quicker discoveries.

## Open access books and VU policy

In its Open Access Policy, the VU has expressed the wish of 100% open access output. Scientific publications by VU authors are to be registered in the university Current Research Information System (Pure), made immediately open access under an open licence, and deposited in the university repository, **whenever possible**.

In the case of publishing books/monographs these principles can be difficult to follow. This guideline therefore provides support in finding the best ways to make your work open access: it gives an overview of the possible routes to take when making your work openly available. It offers information on the different types of open access available for books, includes some funding and publishing resources to consider and provides advice on what to look out for when it comes to licences and copyright.

For any further assistance or questions, please reach out to the VU library open access helpdesk at [openaccess@vu.nl](mailto:openaccess@vu.nl)

# DIAMOND OPEN ACCESS

## What is Diamond open access?

'Diamond' open access refers to a scholarly publication model in which publishers and platforms do not charge fees to either authors or readers to publish work open access. The VU regards this model of publishing as highly recommendable, with the most impact for open science. Diamond open access publishers are often scholar-led, not-for-profit and dedicated to making high-quality academic research freely available. This does not mean that any work put up on the internet is diamond open access publishing by default. To be called diamond open access, the publisher or platform adheres to the standards of open access publishing and provides peer review, typesetting and the distribution of the book. This standard is guaranteed by multiple organisations such as the [DOAB](#) and [OAPEN](#). In all cases this would concern a digital publication, although most diamond open access publishers also provide a print-on-demand service.

Both publishing and accessing books within a diamond open access model is free, which makes it by definition impossible for individual authors to fund and publish specific books as diamond open access publications. Contributing to diamond open access publishing is done by contributing to the publisher or platform, which is generally funded by stakeholders such as libraries, universities, funds and governments.

## Publishing your book diamond open access

There are different ways of getting published in diamond open access.

### By submission

The most common way to publish diamond open access is to submit your manuscript at a diamond open access publisher, such as Knowledge Unlatched and Open Book Publishers. After acceptance by the publisher the book will be peer reviewed, typeset and published under a creative commons licence. The publisher will also index and submit the book to repositories for maximum impact.

Knowledge Unlatched: <https://knowledgeunlatched.org/>

## Call for books

Some diamond access publishers actively seek submissions to publish for running projects. In addition to welcoming and considering any topic of academic interest, Open Book Publishers specifically requests scientific books on various topics to publish thematic series.

Open Book Publishers: <https://www.openbookpublishers.com>

## Discipline specific publishers

Discipline specific publishers, such as Language Science Press for linguistics, provide diamond open access publishing for scientific monographs within their domain of science.

Language Science Press: <https://langsci-press.org/index>

## Publishing through another university

Some universities, such as the Rijksuniversiteit Groningen and the University of Edinburgh, have started their own diamond open access university presses. These platforms mostly are specifically to publish publications from their affiliated researchers. Although the VU does not provide this service, there are possibilities in publishing the monograph when collaborating with researchers from other universities.

Edinburgh Diamond: <https://www.ed.ac.uk/information-services/research-support/edinburgh-diamond>

## Publishing textbooks - Open Education Resources

The open access publication of textbooks is considered as support for (open) education, which slightly diverges from the routes of open access publishing. The reasoning behind this is due to the needed revisions (i.c.: updating the content) and implementation of renewed external materials, such as multimedia within open textbooks used in education. The VU offers help in the creation of open textbooks and in publishing through (among others) the platform edusources.

Contact [Educational Support](#) of the University library for more information.

# GOLD OPEN ACCESS

## What is gold open access?

The gold open access route refers to a business model by publishers where work is made immediate open access under the payment of a fee by the author to make their work open access. This fee is called the Book Processing Charge (BPC) and varies between €7.000 and €15.000. Sometimes these charges are depending upon the amount of words/figures or the complexity of the work<sup>1</sup>, but the BPC can also be a set price.

The publisher makes the final published version of the book (called the Version of Record or VoR) openly available on their platform under an open *Creative Commons* (cc) licence (see chapter on licensing and copyright). Publishers usually offer multiple cc licences to choose from. Which licence suits your work best may be dependent on funder requirements or whether the work contains sensitive information.

## Funding

The BPC-model requires authors to have access to quite substantial funds. Sometimes BPC's can be covered by a funder or by your institution. As of now, there is no central book fund or arrangements between the VU and publishers that can help to fully or partially cover the BPC's that publishers might charge. When trying to publish your book gold open access it is therefore important to be aware of what funding options there are.

### NWO Boekenfonds

The Dutch Research Council (NWO) is one of the biggest funders in the Netherlands. They have set up an Open Access Book Publication Fund to assist authors in the payment of their BPC's, up to €10.000. Please note that assistance through this fund can only be requested by project leaders or co-applicants of awarded NWO research projects, and some types of books (f.e. textbooks) are excluded<sup>2</sup>.

For more information, visit: <https://www.nwo.nl/en/calls/open-access-books>

<sup>1</sup> See f.e. Cambridge Gold Open Access pricing: <https://www.cambridge.org/core/services/open-access-policies/open-access-books/gold-open-access-books>

<sup>2</sup> For more criteria of the fund, see: <https://www.nwo.nl/en/calls/open-access-books>



## VU Publication fund

The Van Coeverden Adriani Stichting (VCAS) has a yearly publication fund of €15.000 in total, which is assigned for publications that relate to the identity of the VU. The fund awards amounts between €500,- and €1500,- to applications that have a clear connection to the VU. This can be used to partially cover the costs of open access book publishing. Please note that the fund requires you to have another source of funding, since the fund does not fully cover a BPC.

For more information, visit: <https://vu.nl/nl/over-de-vu/meer-over/publicatiefonds>

## Project funding

Besides these two specific funds, more general research funding organisations exist who award funding on a project basis. Besides NWO<sup>3</sup>, funding can be sought at big research funders like ZonMw<sup>4</sup> or Horizon Europe<sup>5</sup>, but there might be more specialised funders in your research field. The VU offers help in navigating which funding organisations are available to you through the [VU Grants Office](#).

Many funders demand Plan-S compliancy, meaning there are some set guidelines to follow concerning open access publishing. For books specifically, many cOAlition-S funders have developed more lenient policies. These policies usually accept embargoes reaching from 0 to 12 months, and place restrictions on which cc-licences authors can choose. When publishing a book stemmed from a fund, make sure to check the conditions set by your funder.

For more information, visit: <https://www.coalition-s.org/coalition-s-statement-on-open-access-for-academic-books/>

## Subscribe to Open initiatives

Some publishers have launched pilots to test an alternative to the BPC-model. In this subscribe-to-open model, no fee has to be paid by the author themselves. Instead, libraries subscribe to specific titles or collections of closed access books. When enough libraries have subscribed (and the target of the publisher is met), the book is then 'flipped' to open access. Examples of these pilots/initiatives include MIT Press (Direct 2 Open<sup>6</sup>), Cambridge University Press (Flip it Open<sup>7</sup>), and Walter de Gruyter (Purchase to Open<sup>8</sup>). Although these kinds of initiatives relieve the authors of paying high charges, there is no certainty in advance that the book will be made open access. The subscribe-to-open model is therefore not suited for authors whose work is derived from funding by funders who have adopted plan-s principles.

<sup>3</sup> <https://www.nwo.nl/en/find-funding>

<sup>4</sup> <https://www.zonmw.nl/nl/subsidies/hoewerkt-subsidie-aanvragen/>

<sup>5</sup> <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/horizon>

<sup>6</sup> <https://direct.mit.edu/books/pages/direct-to-open>

<sup>7</sup> <https://www.cambridge.org/core/services/open-research/open-access/oa-book-pilot-flip-it-open>

<sup>8</sup> <https://cloud.newsletter.degruyter.com/openpilot>

# GREEN OPEN ACCESS

## What is green open access?

Green Open Access is when the work of an author has been published in closed access with a publisher, but a version (usually the Author Accepted Manuscript or AAM) is made open access available through a repository or the author's own website. The VU uses the VU Research Portal (Pure) to make academic publications openly available and findable. Publishers usually demand that a publication must be kept under embargo for a set amount of time, before it can be made open access through the green route. However, these embargoes can be bypassed under special circumstances, f.e. the *You Share, We Take Care* project.

## You Share, We Take Care

In the Netherlands, article 25fa of the Copyright Act (also called the Taverne Amendment) allows researchers to share short scientific works, regardless of any restrictive publishers' guidelines. If these works originated from VU-authors, they can be made open access in the VU Research Portal after an embargo of (just) 6 months. Unfortunately, only short scientific work can participate under this article, meaning only book chapters from edited volumes (not monographs) can be made open access through this route.

## Self-Archiving

Publishers themselves also have certain guidelines on how and when books or book chapters can be made open access through a(n institutional) repository. Embargoes and restrictions on the amount of the work that can be shared are usually imposed. Publishers also differ in the allowance of open (cc) licences, and which version of the work may be made available.

## Self-archiving guidelines per publisher





PUBLISHER	VERSION	PERMITTED LICENCE	WHAT PART?	EMBARGO (MONTHS)	CONDITIONS	SOURCE
Amsterdam University Press	AAM	CC BY-NC	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> Whole	0	- Include credit statement - Include ISBN	[ 1 ]
Bloomsbury	AAM or VOR	All rights reserved to publisher	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> 1 chapter	6	- Include credit statement - Bloomsbury website - Only non-commercial repositories - Notify Bloomsbury through form - Does not apply to reference works (MRWs)	[ 2 ]
Cambridge University Press	AAM or VOR	All rights reserved to publisher (exception: pre-print like f.e. thesis)	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> 1 chapter	6	- Include credit statement - Only applies to monographs (i.e. not textbooks/reference works)	[ 3 ]
De Gruyter	VoR	Unclear	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> None	12	- Include credit statement - Only non-commercial, institutional repositories	[ 4 ]
Elsevier	Permission must be requested	Permission must be requested	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> 1 chapter	Permission must be requested	Permission must be requested	[ 5 ]
Emerald	AAM	CC BY-NC	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> None	None	- Include credit statement - Include DOI - Include licensing statement - Only non-commercial repositories	[ 6 ]
Oxford University Press	AAM	All rights reserved to publisher	<b>Edited volume:</b> 1 chapter ————— <b>Monograph:</b> chapter or up to 10%	12 (Science + Medical) or 24 (Academic, Trade, Reference)	- Does not cover all subjects (check with Oxford) - Include credit statement	[ 7 ]
SAGE	AAM	Unclear	<b>Edited volume:</b> 1 chapter ————— <b>Monograph:</b> None	24	- Only reference handbooks (not: academic books, professional books, textbooks) - Only institutional or funding body repositories	[ 8 ]
Taylor & Francis / Routledge	AAM	No open licence	<b>Edited volume:</b> 1 chapter ————— <b>Monograph:</b> 1 chapter	12 (STEM) or 18 (Humanities + Social Sciences)	- Include credit statement	[ 9 ]
Springer Nature	AAM	All rights reserved to publisher	<b>Edited volume:</b> Own chapter ————— <b>Monograph:</b> Up to 10%	24	- Only non-commercial repositories - Does not cover MRWs	[ 10 ]
Wiley	Permission must be requested	Permission must be requested	<b>Edited volume:</b> Unclear ————— <b>Monograph:</b> Unclear	Permission must be requested	Permission must be requested	[ 11 ]

# LICENSING AND COPYRIGHT

## Copyright and licensing in publishing

Copyright is the exclusive right to copy, distribute, adapt and display a publication. The conditions under which a publication can be used and shared is stated in the accompanying licence. In traditional closed publishing, authors give up their copyright to the publisher, after which the publication is shared under the publisher's own licence. This restricts users to access and interact with the publication unless a fee has been paid to the owner of the copyright, the publisher.

With open access publishing, the author will per definition retain the copyright of the publication. Open access publications are commonly published under a Creative Commons (CC) licence, in which the author chooses how to distribute the copyright of the publication. The VU recommends the most open licence, CC BY, for the biggest impact, but more options are available:

LICENCE	SYMBOL	WHAT DOES THIS MEAN TO THE AUTHOR
<a href="#">CC BY</a>		This licence allows others to copy and redistribute the manuscript in any medium or format. It also allows others to remix, transform, and build upon the manuscript for any purpose, even commercially. The author <u>must be credited</u> as the original creator of the manuscript and changes to the manuscript must be clearly indicated.
<a href="#">CC BY-SA</a> (share-alike)		Similar to CC BY, but others must share (the remix, transform and build upon work of) the manuscript under the same open licence. The author <u>must be credited</u> as the original creator of the manuscript and changes to the manuscript must be clearly indicated.
<a href="#">CC BY-ND</a> (non-derivative)		This licence allows others to copy and redistribute the manuscript <u>unchanged and whole</u> in any medium or format, even commercially. Please note that non-derivative is very restrictive and also prohibits, for example, datamining and the extraction of the table of contents for indexing. This may impact the distribution of your publication. The author <u>must be credited</u> as the original creator of the manuscript.
<a href="#">CC BY-NC</a> (non-commercial)		Similar to CC-BY, but others <u>cannot</u> redistribute or remix, transform and build upon the manuscript for commercial purposes. The author <u>must be credited</u> as the original creator of the manuscript and changes to the manuscript must be clearly indicated.

Other options such as CC BY-ND-NC and CC0 might be applicable in rare cases. Please contact the open access specialists at the library at [openaccess@vu.nl](mailto:openaccess@vu.nl)

When signing an agreement with the publisher to publish the manuscript open access, the agreement should contain the following specifics:

- The author retains the copyright and all rights granted by the (author)-chosen licence, including publication rights to the publisher.
- As the work will be made freely available, the publisher cannot claim exclusive publication rights. However, the publisher may ask for first publication rights.

## Rights Retention Strategy

Most big funders back the European open science initiative Coalition-S, which makes “open access publication” a condition on which the fund is granted. This can create a conflict when signing an agreement with a traditional closed publisher. To fulfil the conditions of making your publication open access anyway, Coalition-S developed the Rights Retention Strategy (RRS).

The Rights Retention Strategy is a route that allows authors to retain all rights to deposit their Author Accepted Manuscript (AAM), the version of your manuscript provided to the publisher, and publish this in a suitable repository without embargo. The publisher will get full copyrights over the typeset, polished and audience-ready version, which is called the Version of Records (VoR).

This strategy of self-archiving guarantees compliance with the requirement of open access publishing by the funder. Although publishers might object, publishing your AAM is wholly within your rights and backed by the VU. You can state your rights retention by the following these steps:

- Notify your publishers that the AAM of your submission was licenced with CC-BY 4.0 and will be published open access in an open access repository immediately after publication of the final version. You can use the following template:

“This research was funded in whole or in part by the **[Funder name] [Grant number]**. For the purpose of open access, the author has applied a CC-BY public copyright licence to any Author Accepted Manuscript (AAM) version arising from this submission”.

- Following the publication date of your book, deposit your AAM in an open access compliant repository.

Check the diagram on the next page for more information.

# HELPING RESEARCHERS RETAIN THEIR RIGHTS AND SHARE THEIR WORK OPEN ACCESS

## Plan S & Rights Retention

#RetainYourRights  
[www.coalition-s.org/rights-retention-strategy](http://www.coalition-s.org/rights-retention-strategy)

## cOAlition S

Hosted by the  
European Science Foundation  
[info@coalition-s.org](mailto:info@coalition-s.org)  
[www.coalition-s.org](http://www.coalition-s.org)



## FUNDER AGREEMENT

At least the AAMs of all peer reviewed publications are published with a CC BY licence and no embargo

## OWNED BY THE AUTHOR

Upon submission, the author informs the publisher that the AAM arising from this submission is licensed CC BY in accordance with the grant's Open Access conditions

Acceptance following peer review

Author Accepted Manuscript (AAM)  
Upon publication, the author immediately deposits the AAM in an Open Access repository (zero embargo, CC BY licence)

## MANAGED BY THE PUBLISHER

Licence to publish  
Version of Record (VoR)

# SOURCE ACKNOWLEDGEMENTS

The VU Open Access Books Guideline is informed by the OABooks toolkit, distributed under a CC BY 4.0 licence by OAPEN Foundation at <https://www.oabooks-toolkit.org/>

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# QUESTIONS?

Do you have any questions concerning open access book publishing?  
Please, contact: [openaccess@vu.nl](mailto:openaccess@vu.nl)



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