

SCOSS FUNDING APPLICATION FORM, 2019

Please note that questions marked with “*” are weighted more highly in the evaluation than others.

Date: 3 December 2019

1. General

1.1. Service name Include full name, acronym and URL:

As explained in the Introduction (Annex 1), we will describe two services:

- Directory of Open Access Books, DOAB, <http://doabooks.org>
- Open Access Publishing in European Networks, OAPEN, <http://www.oapen.org/home>

Including the Introduction, we provide the following information as Annexes:

- Annex 1: Introduction to the joint application of DOAB/OAPEN
- Annex 2: Letters of Support
- Annex 3: Description of the infrastructure (current)
- Annex 4: User data: web statistics
- Annex 5: User data: OAPEN downloads
- Annex 6 A: Financial report 2017
- Annex 6 B: Financial report 2018
- Annex 7: DOAB/OAPEN Budget
- Annex 8 A: OAPEN Annual report 2017
- Annex 8 B: Report from the OAPEN Board
- Annex 9: Articles of Incorporation of DOAB Foundation

1.2. Name of organisation operating the service. Incl. acronym and URL:

- DOAB Foundation, in Dutch: Stichting DOAB (Directory of Open Access Books), <http://www.doabooks.org/>
- OAPEN Foundation, in Dutch: Stichting OAPEN (Open Access Publishing in European Networks), <http://www.oapen.org/home>

1.3. Short description of the service. What does it do and who does it serve? Please also included the country of the geographical home of the service.

DOAB: The primary aims of DOAB are to increase discoverability of peer reviewed open access books and provide an authoritative list of open access book publishers. Academic publishers are invited to provide metadata of their open access books to DOAB.

Metadata are to be harvestable in order to maximize dissemination, visibility and

impact. Aggregators can integrate the records in their commercial services and libraries can integrate the directory into their online catalogues, helping scholars and students to discover the books. The directory is open to all publishers who publish academic, peer reviewed books in open access and should contain as many books as possible, provided that these publications are in open access and meet academic standards (e.g. peer review procedures). The geographical home of DOAB is in the Netherlands.

OAPEN: The OAPEN Library contains freely accessible academic books. OAPEN works with publishers and research funders to build a quality controlled collection of open access books, and provides services for publishers, libraries and research funders in the areas of deposit, quality assurance, metadata enhancement, dissemination, and digital preservation. The geographical home of OAPEN is in the Netherlands.

As mentioned in the Introduction (Annex 1), DOAB and OAPEN are closely connected. Strategically, DOAB and OAPEN share common goals, to support the transition to OA books and increase trust in OA book publishing through independent quality assurance. Operationally, DOAB and OAPEN work more efficiently through a shared back office and technical infrastructure.

Both OAPEN and DOAB provide essential services regarding the necessary infrastructure. There is a high degree of synergy between the services, especially around aggregating metadata and around quality assurance. On an operational level both services have been and will be making use of a shared back office. However, as mentioned in the Introduction (Annex 1), DOAB and OAPEN are established as separate services with their own mission, governance model, and sustainability plan, ensuring open and independent development. Both DOAB and OAPEN have profited and will continue to profit from their respective strategically independent and operationally connected developments.

1.4. Year of establishment.

DOAB service: 2012 - DOAB Foundation: March 2019
OAPEN service: 2010 - OAPEN Foundation: 2011

1.5. Intentions for funding. In brief, describe your need for funding *

Both OAPEN and DOAB have not yet achieved financial sustainability. OAPEN has received funding from a number of academic institutions in the Netherlands to continue its services in 2019, and is currently conducting a project with support from Stichting PICA, to redesign its sustainability plan. The project will be finalized by the end of May 2019.

DOAB is currently funded through support from OAPEN and OpenEdition (see Annex 1).

Additional funding through support from SCOSS will enable both infrastructures to strengthen and broaden their services, to engage with a wider range of stakeholders and increase their customer and supporter base, and to establish a viable financial

future, while reducing short term financial risks.
 In short, SCOSS funding will impact the progress of Open Access / Open Science worldwide by supporting the transition to OA books and increase trust in OA book publishing through independent quality assurance.

2. Value of the service to the Open Access or Open Science Community

2.1. How does this service fit into the Open Science landscape? Describe the service's general value to the Open Science / Open Access Community. How can you demonstrate your value as opposed to competing services?

DOAB provides a quality controlled list of OA, academic book publishers, together with the metadata of their OA publications, with links to the books and chapters. DOAB serves as a trusted source for OA book publishers and peer reviewed OA books. All metadata are freely available for re-use under a CC0 license, and all listed books are freely available under an open license, without any barriers. DOAB is a free service, and the largest resource for peer reviewed OA books. At present, there is no other comparable index for open access books, and this is invaluable for the Open Access/Open Science community at large. In a similar vein as the Directory of Open Access Journals (DOAJ), which serves as the go-to checklist for quality assessment of open access journals, DOAB provides an easy-to-use method for users - in particular libraries - to determine whether monographs are indeed legitimate and of sufficient quality, which is indispensable within the current publishing ecosystem.

OAPEN provides a hosting and dissemination platform for peer reviewed OA books. OAPEN works with publishers and funders to host their publications and provides a range of related services, in particular, quality assurance, metadata enhancement (DOI, ORCID, FundRef), digital preservation (with Portico), annotation (with Hypothesis), entity extraction and disambiguation (with INRIA-Nerd), and COUNTER reporting (with IRUS-UK). Other services are being added through the HIRMEOS project (www.hirmeos.eu): a metrics service (with Ubiquity/Open Book Publishers), and a peer review certification service (with DOAB). OAPEN was the first international infrastructure exclusively dedicated to open access monographs, and its mission is to promote and develop OA models for monographs and other long form publications. Through its services and various projects, it has supported the transition to OA books, which is of particular importance for many disciplines in the humanities and social sciences. Finally, OAPEN took the initiative to establish, operate and fund DOAB.

2.2. Describe the service's general value to the Open Science / Open Access Community and how it fulfills an international need. Also describe how far the infrastructure fits into a key area of importance to serve a broad Open Access and Open Science need as opposed to a specific disciplinary need *

DOAB provides a trusted resource for finding OA book publishers and for the

discovery of OA books. All information is openly and freely available to all stakeholders, and used by both publishers and research libraries, and their suppliers. As such, it is a central service to integrate OA books into the wider ecosystem of academic book publishing and distribution.

OAPEN provides a unique combination of services to support OA to books: it hosts OA books for most of the main OA book publishers; it provides a repository for the deposit of OA books and chapters from researchers for funders with OA mandates for books; it actively disseminates the collection by providing feeds in multiple formats to libraries and their intermediaries to increase reach, usage and impact; it provides quality assurance to ensure that the collection retains its academic focus and relevance for the academic community; it provides guidance for authors seeking OA to their publication. Although there are by now a number of other hosting platforms including OA books, none provide a comparable deposit service.

Both DOAB and OAPEN are used worldwide.

Both services are founded on a central value, which is to provide quality assurance to the stakeholders in scholarly communication:

Both OAPEN and DOAB only accept publishers that comply with certain requirements. These requirements were first established in consultation with stakeholders (during the development of OAPEN and DOAB), and in cooperation with OASPA (Ferwerda helped OASPA to extend its membership to include OA book publishers, he is also a member of the OASPA Board and of the OASPA membership committee).

OAPEN reviews publishers that want to become a member as part of the agreement with publishers. DOAB has an online application process for publishers that want to be listed. In both cases, publishers need to provide information about their OA book publishing program, and make certain information available on their website. If a publisher was reviewed for OAPEN membership, this information will be used for DOAB, and vice versa.

A central requirement concerns the peer review process. Publishers need to provide a description of their peer review process for OA books and OAPEN or DOAB will check whether this description is clear and the process meets academic standards. DOAB has described the requirement regarding peer review as follows: 'Academic books in DOAB shall be subjected to independent and external peer review prior to publication'. The description of the peer review process needs to be available on the publishers website, and DOAB/OAPEN will make the description available as well. In addition, it is made part of the agreement of OAPEN with publishers.

Furthermore, DOAB requires all OA books to be published under an open license (such as a Creative Commons license), and checks if non-CC licenses can be considered as open licenses. As OAPEN provides a deposit service which allows researchers to deposit their author accepted manuscript, open licenses are not a requirement for OAPEN, although they are recommended.

Finally, both OAPEN and DOAB review the publishers website and check whether the website meets good practice guidelines concerning transparency. These guidelines were developed in a project with Jisc:

<http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books>

[%20information%20Feb%202016.pdf](#)

2.3. Describe the benefits of your service for specific stakeholder groups. Also explain any user engagement activities. Include key endorsements for any of the following: *

2.3.1 Funders

DOAB helps funders to identify trustworthy OA publishing outlets and helps to increase usage, reach and impact of their research output in the form of OA monographs and chapters.

OAPEN provides its deposit service to funders. Depending on the workflow, OAPEN harvests or aggregates OA books and chapters that are the result of research grants, and enables researchers to deposit their publication in the OAPEN Library. Working directly with both publishers and funders enables OAPEN to provide added value to both stakeholder groups. Examples of added value:

- metadata enhancement, to link OA publications to research grants;
- the list of compliant publishers, which contains OA book publishers that are willing to comply with funder requirements and provide clear information about their OA policies <http://oapen.org/content/deposit-publishers-list-compliant-book-publishers>;
- an ongoing effort in collaboration with ERC, to engage with publishers to aggregate publications resulting from funded research and make these freely available through the OAPEN Library (Green OA).

For endorsements, see Letters of Support from NWO, FWF, SNF, ERC, Wellcome (Annex 2A).

“As an active member of cOAlition S, the FWF would very much welcome the support by SCOSS because, among other things, it helps to ensure that book publications can also meet Plan S requirements” - *Falk Reckling, FWF, der Wissenschaftsfonds*

“NWO is one of the research funding councils that has signed up to Plan S. Together with the other members of coalition S we have the strong ambition to accelerate the transition to open access. Although we acknowledge that this transition will take more time for books, we think it is imperative to continue working on that. DOAB/OAPEN can and will play an important role in that.” - *Prof. Stan Gielen, President Executive Board NWO - Netherlands Organisation for Scientific Research.*

2.3.2 Research institutions

DOAB helps Research institutions to identify trustworthy OA publishing outlets and to increase usage, reach and impact of their research output in the form of OA monographs and chapters.

OAPEN provides its deposit service to Research institutions and their libraries. This includes aggregating and hosting OA books that are connected to the institution, and usage reporting.

For endorsements, see Letters of Support from Australian National University, Coventry University, Max Weber Stiftung, University of Torino, KU Research (Annex 2B)

“In addition to providing vital services supporting the continued development of Open Science, OAPEN and DOAB have long been active collaborators in continued research on and about OA books. For KU Research this has been invaluable to the continued development of new knowledge about Open Science and the Humanities; as well as to the growth of an Open Science ethos among communities that use and publish books.” - *Prof. Cameron Neylon, Curtin University & KU Research*

“OAPEN and DOAB, in the short time since they have been set up, have become established brand names in the realm of open access books. They provide an essential role in raising awareness of HSS books, aggregating open access book content, and providing additional credibility to publishers and their publications.” - *Prof. Gary Hall, Executive Director Centre for Postdigital Cultures, Coventry University*

2.3.3 Libraries

DOAB provides a trusted resource for the discovery of peer reviewed OA books, these can be ingested in their discovery layer and library catalogue.

OAPEN provides a similar service, and provides added value through connected services: in particular hosting and digital preservation, usage reporting.

For endorsements, see Letters of Support from the Royal Library of the Netherlands, Stockholm University Library, Utrecht University Library, Radboud University Library, Leuven University Library (Annex 2C).

“The particular focus on innovation for supporting library workflows and aggregation of metadata about open access books between international stakeholders, including smaller university presses like our own Stockholm University Press makes DOAB/OPEN even more attractive to our activities.” - *Wilhelm Widmark, Director Stockholm University Library*

2.3.4 Researchers / Authors

DOAB helps Researchers / Authors to identify trustworthy OA publishing outlets and to increase usage, reach and impact of their publications in the form of OA monographs and chapters. DOAB helps researchers to discover OA monographs and edited collections.

OAPEN provides a deposit service for authors to deposit their monograph, and provides guidance on how to publish OA and comply with funder mandates.

For an endorsement, please see the Letter of Support from Prof. dr. Jean-Claude Guedon (Annex 2D).

“From my perspective, DOAB/OAPEN is a highly valued organization and the services provided by DOAB/OAPEN for open access books in the areas of quality control, hosting, deposit, discovery, and dissemination are all first rate and essential - *Prof. dr. Jean-Claude Guedon.*

2.3.5 Research managers

DOAB and OAPEN increase usage, reach and impact of OA books.

OAPEN provides reports on usage and is preparing to provide an (Alt)metrics service to provide more insight into usage and impact (as part of the HIRMEOS project).

2.3.6 Repositories

OA books in the OAPEN Library are available for aggregation by institutional repositories. OAPEN harvests OA book collections from a number of partners.

If OAPEN is selected for SCOSS funding, we will explore developing a service to provide OA books to Institutions that would like to collect publications that are connected to their research output.

2.3.7 Publishers

Both DOAB and OAPEN have developed into quality brands that publishers who are actively pursuing OA models for their books want to engage with, by being listed (DOAB) or by becoming a member (OAPEN). Both services have a role in supporting book publishers for their PR and dissemination, and both work with all types of publishers: large and small, commercial, independent, non-profit, university based and scholar led.

Publishers make use of OAPEN for a wide range of services that can be characterised as post-publication services. This includes quality assurance, hosting, dissemination, preservation, adding identifiers, and usage reporting.

For endorsements, see Letters of Support from a selection of OA publishers: UCL Press, Open Book Publishers, Ubiquity Press, Coimbra University Press, University of Michigan Press (Annex 2E).

“I cannot imagine a future for OA book publishing success without DOAB/OAPEN.” - *Charles Watkinson - Director of University of Michigan*

Press (UMP).

“The services provided by both DOAB and OAPEN are hugely important to ensuring that a truly diverse open access publishing ecosystem can be sustained and community managed – mitigating against the risk that the provision of necessary technical infrastructures will be dominated by a small number of commercially oriented publishers.”- *Dr. Rupert Gatti - Co-founder and Director of Open Book Publishers*

2.3.8 Other

Both DOAB and OAPEN are central OA services for monographs and integrated into existing third party services to enable discovery and access to scholarly publications.

For endorsements, see Letters of Support from OCLC, OpenAIRE, Jisc, OPERAS (Annex 2F).

“The particular focus on the SSH community is of key importance to us, and we use DOAB/ OAPEN not only as an authoritative for SSH books, but also as an organization which brings quality practices in the domain.” - *Prof. Yannis Ioannidis OpenAIRE Head*

2.4 How will SCOSS funding institutions be able to contribute feedback to the ongoing development and delivery of your infrastructure/service?

We are preparing a Stakeholder committee for institutions that are engaged with OA books, including DOAB and OAPEN members. SCOSS funding institutions will be invited to join. The Stakeholder committee meets once a year. Members receive an Annual report. See also section 8.

3. Technical details

3.1. Technical relevance. Describe the hardware and software infrastructure, e.g. machines, location, redundancy, backup/failover arrangements, comments on robustness, load management, sustainability. Database(s) used, software, security. Open source access *

As described briefly in the Introduction (Annex 1), DOAB and OAPEN services will be redeveloped and integrated in a single open source platform, based on D-Space. The project is conducted within the framework of the OPERAS-P Project and will be carried out from September 2019 - July 2020. The DOAB/OAPEN platform will be hosted by the French National Infrastructure Huma-Num (CNRS, Aix-Marseille University, Lyon University). We provide the technical description of Huma-Num hosting capacity. (The current situation is described in Annex 3):

Huma-Num provides a technological infrastructure on international scale, based on a large network of partners. Technically, the infrastructure itself is hosted in a big data centre built by and for physicists (CCIN2P3, <https://cc.in2p3.fr/en/>). A long-term preservation facility from another data centre (CINES – Centre Informatique National de l'Enseignement Supérieur, <https://www.cines.fr/en/long-term-preservation/>) is also utilised.

Hardware and software infrastructure

The CC-IN2P3, which hosts Huma-Num's infrastructure, designs and operates an array of services, especially a mass storage system and mass data resources. The CC-IN2P3 has two computer rooms (each with a surface area of 850m²) with several thousand servers and libraries enabling the storage of nearly 340 petabytes of data on magnetic tapes.

(<https://cc.in2p3.fr/en/qui-sommes-nous/le-cc-in2p3>). CC-IN2P3 is a member of EGI and PRACE European infrastructures.

Huma-Num Hardware

Firewall: Palo Alto 4020

Machines: 24 servers Dell R620/630 for general purpose

Distributed file system (Active-Circle for Cold Data) : 2 servers R730 + 4 Bays MD1400

File servers (NetApp for Hot Data): 2 NetApps

Software

Huma-Num provides access to several services (see <https://www.huma-num.fr/services-et-outils/traiter>).

DOAB/OAPEN platform will be set up as a Dspace 6.x instance with all dependencies : Apache Maven 2.2.x or 3.x, Apache Ant 1.8.4+, Apache Tomcat 7, Oracle JDK 7, PostgreSQL.

Redundancy & Security

Concerning the hosting, the IN2P3 data centre is « tiers trois », which means that all the equipment is redundant (two separate power supplies, two generators, two cooling units). All access to the building are controlled. The infrastructure is protected by a last generation Palo Alto Firewall.

BackUp

A first level of backup is done for warm data by a mesh of distributed storage all over France (currently 9 nodes), powered by Active Circle software

(<https://www.oodrive.fr/>) using different storage technologies encapsulated. Thus, backup and versioning can be made on any node.

Furthermore, the CCIN2P3 data center where Huma-Num's infrastructure is hosted provides a backup on tapes for cold data.

Load Management

HaProxy software for critical services (e.g. ISIDORE service, <https://isidore.science>)

Supervision

All services are supervised by Shinken software (<http://www.shinken-monitoring.org/>). Nowadays, around 5000 services are monitored.

Network

CC-IN2P3 is connected on RENATER : <https://www.renater.fr/fr/reseau> academic backbone with a 20Gb/s dedicated line. RENATER is member of GEANT European academic network infrastructure.

Others

Huma-Num hosts around 500 websites and around 300 Virtual Machines.

3.2. Provide user data that demonstrates impact and significance. E.g. Web usage statistics by geographic region (and country where possible), incl. extent of usage, visitors, sessions, usages via API/harvesting, geographical distribution in the previous year *

Annex 4 provides monthly figures for visitors of the OAPEN Library website in the period April 2018 - March 2019. During that period **1,856,527** visitors were counted. Note: the web statistics of the OAPEN website do not measure countries of origin. For international usage, we use COUNTER reports from IRUS-UK (see below).

Annex 4 also contains a separate worksheet with usage statistics for DOAB in the period 1 April 2018 - 1 April 2019. During that period **206,808** visitors were counted from **212** countries. Please note these statistics do not include the usage of DOAB records through discovery services and library catalogues, only visits of the DOAB website.

Annex 5 provides a COUNTER compliant report of downloads from the OAPEN Library in the period April 2018 - March 2019. During that period **2,128,608** downloads were counted, from **233** countries.

Since OAPEN started working with IRUS-UK (September 2013), the OAPEN Library served around 8 million downloads. The COUNTER Code of Practice enables content providers to produce consistent, comparable and credible usage data for their online content.

3.3. Provide information on your customer service, i.e. on your ability to perform, respond to issues of concern, etc. What process is in place and what is the average response time for what kinds of questions?

Customer service for the new DOAB/OAPEN infrastructure:

DOAB/OAPEN will provide front-line support directly. This includes support for content ingestion and metadata enhancement and correction. We provide both general and technical support. For maintenance and support of the D-Space infrastructure, we will work with our partner Atmire.

Second and third level support is provided according to a Service Level agreement: Standard support is provided for issues raised by DOAB/OAPEN and for issues that

are detected through an automated monitoring system. The standard response time is 48 hours during business days. Resolving standard issues are dealt with after analysis and at the request of DOAB/OAPEN. Critical issues are dealt with with a response time of 6 hours. Resolving critical issues are initiated automatically.

Current customer service OAPEN:

OAPEN provides front-line support within its own organisation. Front-line support regards content ingestion and metadata enhancement and correction.

The OAPEN team has direct access to the website and database of the OAPEN Library. Urgent issues are dealt with immediately, changes in the data are updated daily and appear to end-users the following day.

Second level support regards support with information and metadata provision from partners. OAPEN provides support through its Technical coordinator. OAPEN supports semi-automated content ingestion in various formats directly, but relies on our partner DPC (University of Amsterdam) for automated content ingestion (harvesting of content). Third level support is provided by our partner (DPC) according to a Service Level Agreement.

Current customer service DOAB:

OAPEN has direct access to the system to approve new applicants, assign rights and edit information. We deal with customer questions directly, but we currently rely on Sempertool to provide customer support for other issues. Urgent issues are dealt with in the same day.

Second and third level support is provided by Sempertool according to a Service Level Agreement, and response is usually the same day.

4. Costs

4.1. Total annual operational costs of the previous 2 years. *

Please provide a financial report for the previous year preferably approved by an accountant.

See Annex 6A and B. Annex 6A contains the last full year of reporting (2016 and 2017), Annex 6B contains 2017 and 2018 up to the third quarter, containing the most recent figures that have been approved by an accountant.

This should include a detailed breakdown of income and expenses, including itemised staff costs, including roles and functions, IT expenses and miscellaneous costs, ie. travel & meetings.

See also Annex 7: DOAB/OAPEN budget (7C, third worksheet), containing the budget realisation over the previous three years (2016-2018).

The KE study refers to a landscape study on OA and monographs, commissioned by Knowledge Exchange (2017-2018), conducted by Ferwerda, Pinter, and Stern.

The project costs refer mostly to the time spent to conduct the study, and expenses.

EU project costs refer to two EU projects which took place in the last few years: OPERAS-D (Jan 2017-June 2018) and HIRMEOS (Jan 2017- June 2019). Both projects were initiated by OPERAS, of which OAPEN is a member. The project costs refer to time spent on these projects, expenses, and in the case of HIRMEOS, costs for subcontracting development work.

Personnel breakdown (2018): functions, FTE, gross personnel costs:

- Director (0,8 FTE): €98,264
- Technical coordinator (0,2 FTE): €19,501
- Product manager (0,6 FTE): €40,158

Please also include the number of FTE.

Total FTE in 2018: 1.6

This data will be made public.

4.2. Total organisational costs for the 2 years of requested funding. *

Please provide an organisational budget for the 2 years requested for funding.

See budget Annex 7 (7A, first worksheet).

The budget for OAPEN libraries includes income from the existing library membership programme and future income from libraries, in the Netherlands in particular.

The budget for Partners relates to income from other sources (currently from Knowledge Unlatched, for hosting the KU collection).

The budget in Annex 7A does not include incidental income and costs from ongoing and planned projects, with the exception of projects related to the Work plan in case of SCOSS funding (see section 6). OAPEN will participate in new OPERAS projects funded by the EC and starting in 2019: OPERAS-P (with DOAB) and TRIPLE. DOAB is also involved in COPIM, a project funded by Research England (through the RED fund), which will start in 2019 as well.

Operating costs (including SCOSS related projects)

- 2020: €367,500
- 2021: €377,500

This should include a detailed breakdown of income and expenses, including itemised staff costs, including roles and functions, IT expenses and miscellaneous costs, ie. travel & meetings.

Personnel breakdown: functions, FTE, gross personnel costs:

- Director (0,8 FTE): €98,264
- Technical coordinator (0,3 FTE): €30,000
- Product manager (0,6 FTE): €40,158

- Community manager (1 FTE): €70,000

This should also include any amounts of secured funding and/or further expected funding from other sources in each year.

As detailed in the budget (annex 7A) additional funding is expected from 2020 onwards (partly secured). This additional funding is expected to come from existing funding sources based on ongoing efforts of DOAB/OAPEN.

Please also include the planned number of FTE.

Planned: 2.7 FTE

This data will be made public.

4.3. Total funding requested. Please indicate your figures in Euros for year1 and year2. *

You may request up to 2 times your annual operational costs + 1 annual operational costs (for the bank), or a percentage of that (in total 3 years)

Please indicate the total of funding requested by SCOSS in Euros.

Total requested funding: €505,000

- Year 1: €160,000
- Year 2: €170,000
- Additional year: €175,000

This total includes the one-time fee for SCOSS of €25,000.

4.4. Indicate the % of the total budget requested *

Total funding requested / Operating costs in 2020 (excluding project costs): **100%**

5. Sustainability measures

5.1. Describe your funding model, i.e. how you source your funds. Provide information on your funding sources, including key revenue streams, and the total % of external funding that currently covers your total expenses

DOAB has two funding sources: sponsorships and memberships.

In 2019 income from sponsorships will be €11,000; from memberships €4,000; in total €15,000.

DOAB income does not cover total operating costs. In particular, annual platform costs (hosting, maintenance and support) are €24,000, which means we cover only 63% of direct out of pocket costs from regular income (excluding all other operating costs, which we estimate at €15,000-€20,000).

However, the DOAB membership model has not been actively promoted, thus so far memberships come from spontaneous requests. We are preparing active promotion in 2019, following the establishment of DOAB Foundation and the redesign of the Sustainability plan.

OAPEN has four regular funding sources: Funders, Partners, Publishers, and Libraries.

In 2019, our income from each are:

- Funders: €87,500
- Partners: €20,000
- Publishers: €10,000
- Libraries: €25,000

We have been working with the main funders with OA mandates for books: FWF, Wellcome, ERC, and SNF.

Currently, we have one Partner, Knowledge Unlatched.

The Library membership programme was introduced in 2018, in collaboration with Knowledge Unlatched. Income from Libraries in 2019 comes primarily through this partnership.

Based on regular funding sources in 2019, our external funding covers 70% of our total expenses. However, in 2019, we have received a subsidy of €60,000 from a number of academic institutions in the Netherlands, to help sustain our activities and develop a sustainable model for our activities (see Annex 8B: Report from the OAPEN Board)

5.2. Describe any previous business model history if different and provide a short analysis of what your challenges have been in raising funds.

OAPEN Foundation was established in 2011 with 3 years subsidy from Academic institutions in the Netherlands, amounting to €240,000 annually. The objective was to transition to a service-based business model. The business model was based on services for two target groups: the Deposit service for research funders and Hosting & dissemination for publishers.

Income from services grew steadily, but not sufficiently to cover total expenses. Subsidy from Dutch institutions was renewed for two years in 2014, for an annual total of €55,000, and additional income was generated through projects.

The deposit service was considered the most unique service of OAPEN at the time, which was validated by a number of partnerships with research funders. However, the development of OA models for books has been slower than anticipated, which is at least partly due to a lack of funding opportunities and the slow increase of OA mandates for books. As a consequence, OAPEN struggled to achieve financial sustainability.

In 2017 the board of OAPEN concluded that a redesign of the business model was necessary in order to sustain the function of OAPEN and its inherent value to the open science community. In 2018 OAPEN secured additional financial support from Dutch institutions to continue its operation through 2019, and was granted funding from PICA Foundation, for a project directed at evaluating and redesigning its business model. This project will be finalised by the end of May 2019. Furthermore, in 2018, OAPEN introduced its Library membership program, in cooperation with Knowledge Unlatched.

In general, the main challenge for OAPEN as a small, fast developing global organization with limited funds is engaging with stakeholders, prospects and existing customers. OAPEN has never been in a position to dedicate focussed efforts on acquisition.

See also Annex 8B, a Report from the OAPEN Board (dated 27 September 2018), for further detail. This report was added to the OAPEN Annual Report 2017 (Annex 8A).

5.3. How will the service credit or promote the SCOSS programme? *

SCOSS and Sparc Europe logos will be included in all communication documents from DOAB/OAPEN (footer in web pages, leaflets and newsletter, Powerpoint presentations). On both websites, a web page will be dedicated to present and explain the SCOSS program.

SCOSS funding will enable appointment of a Community manager, and promoting the SCOSS program will be an important part of the task of the Community manager.

5.4. How will the service drive and support its own SCOSS fund-raising campaign? *

DOAB/OAPEN will appoint a Community manager to coordinate the SCOSS fundraising campaign. Thanks to its integration in a solid network of partners, DOAB/OAPEN will be able to engage with a large number of prospects at European and international level:

- DOAB Founders: OAPEN Foundation and OpenEdition are already actively involved in library engagement internationally. OAPEN will be able to leverage its Library Membership programs (14 libraries for OAPEN, 7 libraries for DOAB since 2018) and OpenEdition its Freemium program (169 libraries) to achieve its SCOSS fund-raising program.
- As a core platform of OPERAS European infrastructure, DOAB/OAPEN will be able to rely on the OPERAS network, already consisting of 40 members across 15 countries, and the communication capacity of the

- infrastructure (1 FTE Communication Officer, 0.5 FTE fundraising officer)
- As a Franco-Dutch joint entity, DOAB Foundation is included in the French National Plan for Open Science : <http://www.enseignementsup-recherche.gouv.fr/cid132529/le-plan-national-pour-la-science-ouverte-les-resultats-de-la-recherche-scientifique-ouverts-a-tous-sans-entree-sans-delai-sans-paiement.html> and will be eligible to access the national funding scheme attached to the plan.
 - Similarly, DOAB/OAPEN is engaging with the National Platform for Open Science in the Netherlands.

A dedicated task force will be set up, led by the Board of DOAB Foundation, composed of: DOAB/OAPEN community manager, OpenEdition Freemium manager, OPERAS communication officer and OPERAS fundraising officer to design and implement a Communication Plan from start to end of the SCOSS fundraising program.

5.5. How do you intend to become more sustainable after the SCOSS campaign is over? *

OAPEN intends to invest the additional funding resulting from the SCOSS campaign into improving its reach and the quality of its services.

Community manager:

Based on almost 10 years of experience OAPEN has learned that in securing funding for its services the most effort by far goes into reaching potential customers and supporters. Therefore OAPEN will employ a Community manager as soon as funding permits, to further grow its community and thereby its user and customer base. Once contracted with OAPEN, customer retention is very high.

Service development:

The ongoing project to redesign the Sustainability plan, funded by PICA Foundation, will result in a number of key areas for improvement and development of new services. These will be implemented in the form of actionable projects.

Platform development:

DOAB/OAPEN is preparing to redevelop its platforms, integrating the DOAB and OAPEN services into one, open source system, as part of the OPERAS-P project. This effort will enable alignment of the system with continuous technological developments, thereby ensuring that the platform remains up-to-date.

See section 6 for details.

5.6. Describe how the service addresses the *Principles for Open Scholarly Infrastructures*: <http://cameronneylon.net/blog/principles-for-open-scholarly-infrastructures>

DOAB/OAPEN strongly support the Principles for Open Scholarly Infrastructures:

Governance

DOAB/OAPEN provide their service to the global community and work with partners worldwide, across all disciplines, although the focus on OA monographs implies that domains with a preference for research output in long-form publications are more highly represented. Stakeholders are represented in DOAB/OAPEN boards, and a Stakeholder committee will be established to ensure input from the community (see section 8). DOAB/OAPEN are open to all types of organisations, as is evidenced by the wide variety of publishers and stakeholders. Both DOAB and OAPEN are independent, non-profit, legal entities under Dutch law ('stichting'), governed by bylaws, with provisions for winding down operations.

Sustainability

DOAB/OAPEN is in the process of redesigning its Sustainability plan, in accordance with these Principles. DOAB and OAPEN aim to sustain their operations through sustainable revenue sources, reducing the risks of dependency of grant funding. We aim to create an annual surplus for our operations, and with the support from SCOSS, we aim to create a contingency fund for 12 months. Our sustainability plan is based on services, not on data provision. All data are made freely available to the community.

Insurance

DOAB/OAPEN is preparing to redevelop its infrastructure into an open source system. All data is made openly available under a CC0 license, and provided daily for full re-use in various open formats (csv, xml).

Implementation

There are no clear guidelines on how these principles are to be implemented, but we wish to emphasize that OAPEN has demonstrated it takes these principles seriously, by taking the decision to separate DOAB from OAPEN Foundation, forming a separate non-profit legal entity, and by sharing the governance of this new Foundation with a trusted partner, OpenEdition, with a long standing commitment to and expertise in open access and open science public infrastructure.

5.7. Describe how the service addresses the *Good Practice Principles for Scholarly Communication Services*: <https://sparcopen.org/our-work/good-practice-principles-for-scholarly-communication-services>

Good governance

Please see DOAB/OAPEN governance in section 8: Both OAPEN and DOAB have strategic governance through their membership of OPERAS and the establishment of a Stakeholder committee. Operational governance is ensured through direct representation of stakeholders in OAPEN/DOAB Boards.

Open Standards

Both OAPEN and DOAB promote open standards and make use of open standards where available; DOAB/OAPEN is planning to be redeveloped on the widely used Open Source platform D-space; we use open API's and have developed various API's for interoperability, and adopted a set of common identifiers (DOI, ORCID,

FundRef) within the HIRMEOS project; we use OAI-PMH for data exchange; all our data are available under CC0 license, all publications in DOAB use an open license and we recommend Creative Commons licenses.

Fair data collection

OAPEN has joined CO-OPERAS, which is the OPERAS implementation network aiming to implement the principles of GoFAIR (<https://www.go-fair.org/>).

Transparent pricing and contracts

OAPEN and DOAB promote transparency and require transparency from our members. We require publicly available peer review policies and licensing policies for OA books and make these available on our websites. OAPEN has partnered with Jisc to develop a set of recommendations on information that OA publishers should make available on their websites:

<http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books%20information%20Feb%202016.pdf>.

DOAB has recently created a standard agreement for members, and we are making this available on the DOAB website, together with our pricing list.

We will do the same for OAPEN (for publishers and libraries).

Easy migration

All user-generated content is made openly available in various formats under a CC0 license, available for re-use by everyone for any purpose.

Succession planning

Both DOAB and OAPEN are independent, non-profit, legal entities under Dutch law ('stichting'), governed by bylaws, with provisions for winding down operations.

Open content

Metadata: OAPEN and DOAB metadata are available under a CC0 license, as stated above;

Content: all OAPEN hosted publications are free for downloading; almost all publications have an open license, which allows re-use with certain limitations; the vast majority of the publications is available under Creative Commons licenses (however, for OA monographs, there is currently no standardisation on CC-BY licenses);

Usage data: OAPEN currently provides usage reports to its members, in collaboration with IRUS-UK. We will make Usage data publicly available with the implementation of the Metrics service in June (within HIRMEOS).

6. Foresight

Outline your work plan for the coming 2 years for which funding is requested. Please indicate in detail what activities you have planned to substantiate the funding requested. Please indicate how far funding will cover maintenance costs, and how far it will fund improving and innovating the current service. *

OAPEN is working on a redesign of its Sustainability plan for which it was granted funding from the Dutch PICA foundation. The project will result in actionable projects, based on analyses of the current opportunities for OAPEN and DOAB, with special attention for funders and libraries. The project consists of six work packages and will be ready by the end of May 2019. The work packages are: discovery & dissemination; services for publishers; a premium service model for institutions; the deposit service for funders; open access publishing services; and collaborative funding models.

The SCOSS campaign is part of the collaborative funding models work package, and therefore integrated into the overall redesign of the Sustainability plan. SCOSS funding will support 4 activities:

1. Community management (€140,000 in 2 years)

OAPEN will employ a Community manager, to further grow its community and thereby its user and customer base. The Community manager will:

- coordinate the SCOSS fundraising campaign;
- set and implement communication campaigns to push the narrative in relevant communities and build an information hub function;
- develop communication packages for relevant stakeholders;
- organize and participate in events to build community and boost awareness;
- provide updates on new services and features to the community;
- build sustaining relationships with customers and other stakeholders;
- source and empower ambassadors in the community;
- produce and disseminate evidence, good case practices and impact reports regarding the services of OAPEN;
- promote the SCOSS program.

2. Improving and innovating services (€70,000 in 2 years)

The sustainability plan will identify a number of key areas for improving and innovating services, which will be implemented through actionable projects. Below are some of the preliminary results:

- Promotion of OA collection: Developing a feature to highlight

partner collections, ‘Collection view’ (part of ongoing project ERC-OAPEN-2017); promotion around various domains and communities; an alerting service for recent and upcoming OA books, based on a new, more granular classification system (implementation of Thema, which will also enable user driven selections); a service to link OA books to book reviews (following the HIRMEOS project, in collaboration with HIRMEOS partners).

- Services for authors: Improvement of author driven self-archiving; introduction of publication level metrics (part of the Metrics service within HIRMEOS).
- Metadata services: Metadata mapping and additional formats for structured metadata (Marc21); customized metadata feeds for library acquisition and collection management.
- Reporting services: Reporting services for partners (funders and institutions), based on the Metrics service that is currently being developed within HIRMEOS), including implementation of institutional identifiers.

3. Improving operations (€40,000 in two years)

- The capacity for customer support will be increased by rearranging tasks (community management will be separated from content ingestion and customer support; technical support will be increased by extending the employment contract of the Technical coordinator).
- Focus on the Work plan will be strengthened by further outsourcing of administrative tasks (in particular invoicing and contract management)

4. Building a financial reserve (€70,000 in two years and €160,000 third year).

Currently, OAPEN Foundation has no capital reserve, which means OAPEN is highly vulnerable for financial setbacks, including delayed growth of its customer base. SCOSS funding will contribute to a reserve of 1 year of expenses.

5. Streamlining the function of OAPEN and DOAB, implementing a shared platform (saving €24,000 annually)

- OAPEN and DOAB already have a shared back office, and will increase synergy by sharing their technical infrastructure by mid 2020 (as part of a separate project to redevelop both platforms within OPERAS-P).
- In terms of branding and services, there is further potential to streamline the function of OAPEN and DOAB. As DOAB will focus more on discovery and quality assurance (in particular by providing a certification service for peer review of OA books, which is being

prepared and will be introduced towards the end of 2019 and into 2020), there is less need for OAPEN to duplicate this effort.

- Looking ahead (beyond the scope of the workplan), DOAB can become a channel to reach potential customers for OAPEN services (hosting, deposit, usage reporting, etc.).

7. Best alternative to a negotiated agreement (BATNA)

Describe scenarios if funding is not successful, i.e. what the service plans are, e.g. reduce operations, close operations, other.

Annex 7B contains the DOAB/OAPEN budget for 2019-2021 without SCOSS funding.

We expect Operating income to grow in the next two years. The main growth is expected to come from the following sources: collaboration with a new funder and a new partner; support from a number of libraries in the Netherlands; an annual subsidy from a private foundation.

Without SCOSS funding, DOAB/OAPEN will not be able to invest in Community management, and prospects for substantial growth among institutions will be substantially reduced. In addition, we will not be able to conduct actionable projects, following the redesign of the Sustainability plan (as foreseen in the Work plan under section 6), unless we find other sources of funding. Furthermore, OAPEN will remain highly vulnerable for financial setbacks.

However, we will be able to pursue our plans as set out in the Introduction (Annex 1), in particular: to further develop and introduce the Certification service provided by DOAB; and to redevelop the two platforms into one, open source infrastructure. In addition, DOAB/OAPEN will be able to slightly strengthen the organisation (extending employment of Technical coordinator, outsourcing some administrative tasks and some content ingestion tasks).

8. Governance

8.1. Describe your organisational governance structure. Please describe the organisational governance structure and process – membership and representation, meeting cycle, reporting relationships, decision-making structure, as well any possible role SCOSS might have in your governance. How does your governance structure reflect your user base?

The newly established DOAB Foundation consists of a Board of Directors (BoD)

and a Supervisory Board (SB). The BoD acts as legal representative of the Foundation. The Supervisory Board appoints the Board of Directors, and approves the Annual budget and Financial report. The SB consists of 5 people: two representatives of the OAPEN Board, two representatives of OpenEdition (from CNRS and Aix-Marseille University), and one independent member appointed by the other members of the SB. The SB meets at least once a year, or as often as the SB deems necessary. The first meeting is planned in June.

DOAB Foundation will also install a Scientific committee (SC). Members of the SC are appointed by the BoD after prior approval by the SB. The SC acts as an independent Advisory board on Scientific issues, including admission criteria for publishers and their publications. The SC oversees the operation of the Certification service, in accordance with the Governance structure of the Certification service, developed within HIRMEOS.

DOAB will be integrated into the overall governance model of OPERAS, the European research infrastructure for open scholarly communication in social sciences and humanities, thereby ensuring that the service aligns with the needs of the academic community. In addition, DOAB/OAPEN will establish a Stakeholder committee, consisting representatives of institutions that are engaged with OA books. See Annex 9 for an English version of the statutes of DOAB Foundation.

OAPEN Foundation consists of a Board of Directors (BoD) and a Council of Participants (CoP). The BoD acts as legal representative of the Foundation and appoints a Director to manage daily operations. The CoP appoints the BoD, and in addition, the BoD can appoint one independent member. The CoP consists of representatives of the founders of OAPEN Foundation, but the BoD can invite representatives of other institutions that are committed to provide financial support. The CoP meets once a year, and the BoD meets several times a year (6 meetings on average).

OAPEN is a core member of OPERAS and part of its overall governance model, thereby ensuring that the service aligns with the needs of the academic community. In addition, DOAB/OAPEN will establish a Stakeholder committee, consisting representatives of institutions that are engaged with OA books.

8.2. How do you expect to adapt your current governance structure in the coming period if successfully recommended by SCOSS? What possible roles would SCOSS contributors have? *

We are preparing to establish a Stakeholder committee, that will convene once a year. SCOSS funding institutions will have the same role and position in the governance structure as OAPEN and DOAB members. Members (including SCOSS funding institutions) can nominate a representative to join the Stakeholder committee. They can also be invited by the OAPEN Board to join the OAPEN Council of Participants, which appoints members of the OAPEN Board. The OAPEN Board is also represented in the DOAB Supervisory Board. All DOAB and OAPEN members receive an annual report, and regular newsletters. SCOSS funding institutions also receive a report for SCOSS, with an extensive description of

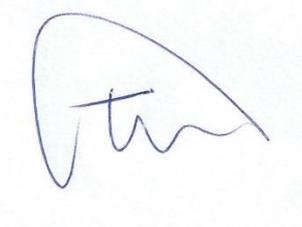
ongoing activities related to SCOSS funding.

Name (authorised signatory of the service): Eelco Ferwerda

Position: Director

Signed

Dated: 3 December 2019

A handwritten signature in blue ink, appearing to read 'Eelco', is written over a light blue grid background.