UNIVERSITIES UK
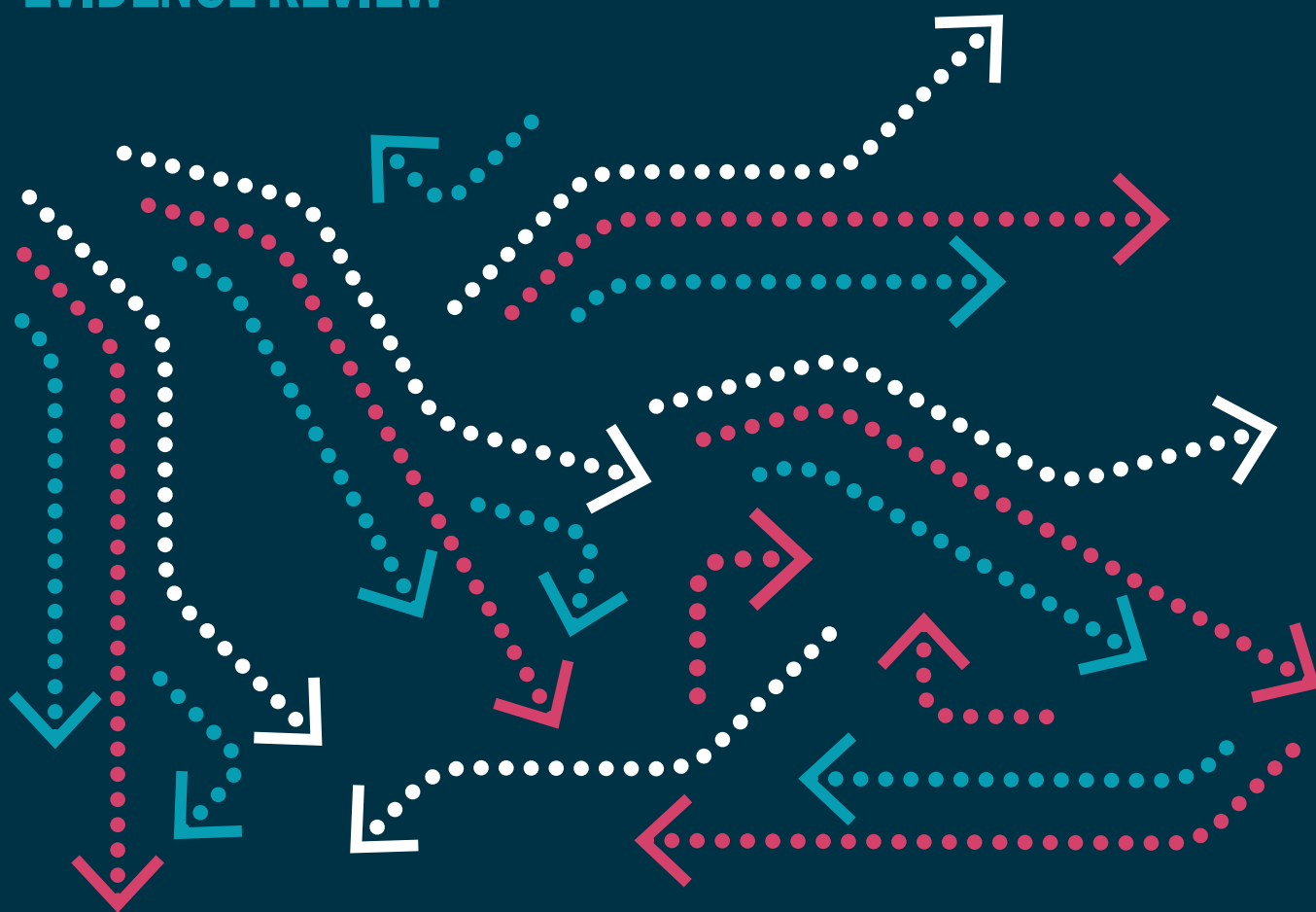# OPEN ACCESS AND MONOGRAPHS GROUP

OPEN ACCESS AND MONOGRAPHS

EVIDENCE REVIEW

Universities UK

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FOREWORD

Over the past few years, the UK has seen a shift in its policy approach towards open access (OA) and academic monographs. In December 2016, the four UK higher education funding bodies signalled their intention to move towards an OA policy for monographs submitted to the Research Excellence Framework (REF) after next.[1] UK Research and Innovation (UKRI) (which is made up of the seven research councils, Research England and Innovate UK) currently does not have an OA policy for monographs, but it is conducting an internal review of its OA policies and is expected to report in early 2020. Monographs are in scope of this review and will be considered as part of a future policy for OA outputs. Beyond the UK, Plan S (an OA initiative supported by cOAlition S, an international consortium of research funders) also aims for full and immediate OA to publications derived from publicly funded research, including monographs. In May 2019, cOAlition S indicated that guidance for long-form outputs will be issued by the end of 2021.

Given the ongoing debate around open access and in anticipation of future policy changes, the Universities UK Open Access Monographs Group has carried out two distinct but complementary strands of work. In autumn 2018, the group co-hosted two engagement events (one with the Arts and Humanities Alliance and the second with the Publishers Association) aimed at initiating a dialogue with learned societies, subject associations and publishers. In July 2018, the group also commissioned fullstopp GmbH to carry out a data-gathering and analysis of information on OA books.[2] This report is an overview of, and reflection upon, the various activities undertaken over the last 12 months. The collated comments and recommendations presented in this report are intended to inform policymakers' and funders' decisions on OA monographs. This report is also intended to inform academic researchers about OA for long-form publications: it is important that authors and readers of academic books have a clear understanding of OA (including the benefits and challenges of OA publication). As the voice of universities, UUK considers it crucial that the research community is both consulted on, and consequently engaged with, during the development of a policy for OA monographs. A future policy on OA books should recognise that monographs are complex, longitudinal pieces of work that represent years of scholarly work. The monograph as a mode of communicating excellent research is one that is particularly significant to authors in the arts, humanities and social sciences. Any policy on OA for monographs should not compromise this excellence.

Finally, UUK is indebted to the many people who have engaged willingly and constructively with the work of its OA Monographs Group. Thank you, Emma House and William Bowes (Publishers Association), Richard Fisher and Margot Finn (Royal Historical Society), Max Mosterd and Sven Fund (fullstopp GmbH), and Alex Hulkes and Allan Williams (UKRI). Thank you to Frances Pinter (School of Advanced Study, University of London) whose insight and feedback over the last 12 months have proved invaluable. We are also enormously grateful to Science Europe and to Knowledge Exchange for inviting members of the group to participate in activities pertaining to OA monographs over the last 12 months.

Susan Bruce, Amy Price, Lara Speicher and Nigel Vincent from the UUK OA Monographs Group helped us draft this report. Thank you for your contributions, comments and support. Thank you too, Michael Jubb and Rupert Gatti (also members of the group), who have provided incredibly useful feedback.[3] The group's work would not have been possible without the critical contribution of Helen Snaith who is 'lent' to us from UKRI. Helen coordinated our evidence-gathering, managed our consultants and drafted our reports. Thank you, Helen!

ROGER KAIN CBE FBA
Chair of the Universities UK Open Access Monographs Group

EXECUTIVE SUMMARY

Following Professor Adam Tickell's independent recommendations to the universities and science minister in early 2016, Universities UK established an Open Access Monographs Group (OAM Group) to monitor and evaluate progress towards OA monograph publishing. In July 2018, the UUK OAM Group published its first report, Open access and monographs, which provided an overview of significant developments and activities in this area. In March 2019, the group published a report summarising the discussions from two sector engagement events, held in autumn 2018. This third report brings together work carried out by the OAM Group over the last 12 months and reflects on the findings from fullstopp GmbH's data analysis of OA books, which can be read on the UUK website (Fund et al, 2019).

Headline findings

Authors have real and legitimate concerns over the implications of open access book publishing. Concerns around recruitment and promotion procedures, funding opportunities and the need to recognise the international landscape of academic book publishing were all raised throughout the engagement events and during fullstopp's interviews with sector representatives. Many academics feel they do not know enough about OA book publishing (and indeed, publishing more broadly) in order to make informed decisions. Uncertainties about OA books continue to persist throughout the scholarly community.

Authors and publishers are concerned about the implications of OA for trade books and crossover book (books that may have a broader public appeal than a standard academic monograph). Titles of this type represent a significant minority of scholarly works and initial analysis carried out by fullstopp shows that around 26% of books returned to panel C (social sciences) and panel D (arts and humanities) in the REF 2014 have an audience tag of 'general/trade' (as opposed to 'higher education' or 'academic/professional'). However, more granular analysis shows that half of these books (16% of books returned to panel C and panel D) tagged as 'general' were priced at over £40; this figure drops to 13% at £30, 9% at £20 and under, with just over 3% of titles returned to panel C and panel D priced at £10 and under.

Publishing academic research is an international activity. fullstopp's analysis found that over 90% of long-form publications returned to panel C and panel D in the REF2014 were published with presses based either in the UK (78%) or in the US (14%). Subjects aligned with modern languages and linguistics are most likely to publish with presses based outside the UK and the US. With regard to international collaborations, just under 7% of all long-form titles (including edited collections) submitted to the REF 2014 were co-authored with a researcher not based at a UK higher education institution (HEI).

There is a need for strong leadership from institutional senior management teams. Pro-vice-chancellors for research (or equivalent) and deans of arts, humanities and social sciences should actively engage with policy development and communicate key messages to researchers. Mentoring and peer-to-peer support within and across universities should also be encouraged.

The benchmark for OA books returned to the REF is low. Only 46 out of a total 12,701 titles submitted to panel C and panel D in the REF 2014 are available as open access (Fund et al, 2019).

70% of publisher sales take place in the first two years after publication, with 80% of sales taking place in the first three years (Fund et al, 2019). This information could inform decisions on embargo periods for a non-immediate open access model for books.

There is some funding in the system for OA books. fullstopp's study found that around 5% of HEI libraries' book acquisition budget is spent acquiring REF titles, with a further 15% spent acquiring 'deep backlist' titles (titles that were published more than 10 years ago). These costs equate to approximately £11.2m a year. However, we recognise that this deep backlist is also a source of revenue for book publishers; any repurposing of funds should be careful to consider the feasibility and sustainability of other stakeholders (for example, specialist publishers). It is reasonable to suggest that a demand for print copies will continue; certainly, it is not the intention of OA to replace physical copies of academic books. Moreover, funding for OA books will also require support from funding organisations (the degree of this support may vary on a case-by-case basis) and we should be clear that we do not expect institutions to bear the full load of this cost.

BACKGROUND

The principles of open access (OA) publishing aim to make research outputs freely available online as soon as possible, ensuring maximum visibility, discoverability and re-use. A number of reports have noted the benefits of open access (Collins, Milloy, 2016; O'Leary, Hawkins, 2019); research has also shown that institutions located in the global south are relatively high users of OA books (when compared with institutions located in the US, UK and Western Europe) (Pinter et al, 2017). A recent study carried out by Springer Nature (Pyne et al, 2019) suggests that ethical reasons (such as equality of access) and reaching a larger audience are often key motivations for authors choosing OA for books.

In the UK, the Wellcome Trust (Wellcome) is currently the only funder that mandates OA for monographs and book chapters published from its funded research activities. Its open access policy for books (which was introduced in October 2013) applies to all original scholarly monographs and articles (whether published in journals or in edited collections), that are authored or co-authored as part of their grant-funded research. It requires electronic copies of monographs and book chapters to be made available through PMC Bookshelf and Europe PMC within six months of publication. Wellcome provides funding for the payment of a publisher's OA book processing charge (BPC).

The REF, an exercise run by the UK's four higher education funding bodies, currently mandates OA for journal articles and conference proceedings. In December 2016, the funding bodies signalled their intention to extend the policy to include academic monographs returned to the REF after next (Hefce, 2016). UKRI's internal review of its OA policies also extends to monographs and book chapters, and of course, Plan S (an open-access initiative supported by cOAlition S, an international consortium of research funders) also aims for full and immediate OA to publications from publicly funded research, including monographs (although guidance for long-form outputs will not be issued until sometime in 2021 when the special circumstances that attend OA book publication have been taken into account). Creative writing outputs are not expected to be in the scope of a future UK policy for OA books.

It is already apparent that discipline-specific requirements (for instance, archaeologists' and art historians' need for third-party materials) must be respected by any OA policy of the future; that there remains some confusion about the different licences available; and that more restrictive licences (such as the use of the non-derivative (ND') licence) may be more appropriate for disciplines in the arts, humanities and social sciences. More recently, the Springer Nature study (Pyne et al, 2019) reports that, when asked, 83% of non-OA book authors and 73% of OA book authors either agreed or strongly agreed that their book should be available in print. It is perhaps crucial to note then, that the purpose of an OA model is not to wholly replace physical copies of a text, but to encourage the wider dissemination of knowledge, making research freely accessible in the public domain.

It is apparent from the engagement events, stakeholder surveys and research undertaken by fullstopp GmbH and the UUK OAM Group that a number of concerns, misunderstandings and genuine challenges remain around a fuller transition to OA for monographs. Uncertainties around peer-review processes, physical print versions, the role of publishers based outside the UK, and the inclusion of third-party materials in open-access versions persist and are consistently raised as some of the barriers to OA publishing. This report seeks to address some misconceptions, while also recognising

that challenges to OA publishing for books remain and pose legitimate concerns for authors. **ANNEXE B** of this publication sets out some of the misunderstandings around OA book publishing and provides a high-level overview of the relationship between author and publisher for non-OA and OA books (see **FIGURE B1**). While we recognise that Figure B1 does not map all publishing processes, and that some processes (such as peer review and contracting) may fall at different points in the writing and publishing process, we hope that it is useful to demystify some of the aspects around open-access publishing for academic authors.

We hope this report will be considered a valuable input not only to REF OA policy development and to the UK Research and Innovation (UKRI) OA review, but also to academic readers and writers, learned societies, publishers, libraries and university research leaders and managers and all others interested in developments in this area.

DEFINING THE MONOGRAPH

Throughout our discussions with academics, learned societies and publishers over the last 12 months, one of the most frequently asked questions is 'what is the academic monograph?' The term 'monograph' encompasses a broad range of long-form publications, typically published by scholars working in the arts, humanities and the social sciences. The monograph may refer to *inter alia*, scholarly translations, editions, commentaries, catalogues and edited collections, as well as the conventional single-authored monograph (Crossick, 2015; British Academy, 2018). It is, in its broadest sense, a book written about one (mono) topic. As a vehicle for the long-form argument, the monograph has shown its capacity to be adapted into a myriad of print and digital forms, from enhanced digital monographs to minigraphs (a book of around 50,000 words), to collaboratively edited open wiki-books.

The list of REF-eligible outputs under categories 'A' (authored book) and 'B' (edited book) is extensive and includes reference to the monograph, textbooks based on significant research by the authors, new editions of earlier publications, and literary translations that contain significant editorial work in the nature of research. Defining what we mean by the academic monograph has implications for what is in (and out) of the scope of a future OA policy for books in the UK.

Trade book and crossover books

Discussions with stakeholders have highlighted the significance of the trade book (a type of long-form output which has a broader public appeal and is expected to generate a larger volume of sales and is thus more likely to attract more significant royalties than other long-form publications) as a particular area that warrants careful consideration in an OA policy. Trade books rely on a business model in which publishers undertake significant investment, on the understanding that sales will be considerably higher than for a typical scholarly monograph. If such books had to be made open access, it might not be possible to undertake them at all, since the levels of investment might not be recouped via sales.

fullstopp's data analysis of long-form outputs submitted to panels C and D found that around 26% (2,811 titles) submitted to the REF were categorised as 'general/trade' by publishers. The highest number of trade books are published in English literature and language, history, and art and design. Bloomsbury, Penguin and Oxford University Press are listed as the three presses that published the highest number of trade books returned to the REF 2014 across panel C and panel D. fullstopp's analysis of the books categorised as 'general/trade' found that 16% of titles returned to panels C and D were priced at £40 and under; this figure drops to 13% at £30, 9% at £20, with just over 3% of titles returned to panels C and D priced at £10 and under.

Concerns around trade books and open-access requirements were raised through fullstopp's stakeholder surveys, with 75% of publishers in favour of a policy exemption for this type of output (Fund et al, 2019). If trade books are considered for a policy exemption, policymakers and funding organisations should be clear what measures are used to determine whether a book is 'trade'. Defining what is or isn't a trade book, and to what degree a book might reach a wider audience, is not an exact

science, and publishers and authors will need the flexibility to accommodate books within an OA policy that might have different degrees of trade appeal that can't always be precisely anticipated at the outset.

We recognise that it is difficult for publishers (and authors) to determine whether an academic monograph will be marketed as a trade book. As such, there may be some books that, although marketed for a primarily academic audience, may, once published, be of interest to a general audience, generating a higher number of individual unit sales than originally anticipated. The fact that some academic books 'crossover' to the trade book market and that this is something that takes place after publication is important to note as this has implications for any academic books that are not covered by a potential exemption for trade books.

RECOMMENDATIONS:

1. The trade book should be exempt from a future OA policy on monographs. OA policy should be clear about who or what decides the validity of a trade book, taking into account publishers' professional assessment, as well as other factors such as the retail price point and print runs.

2. Funders should consult with the community regarding the policy approach to academic books that are marketed towards a primarily scholarly audience, but cross over to the trade market and/or generate more individual unit sales than anticipated, after first publication.

AN INTERNATIONAL PUBLISHING LANDSCAPE

Recent developments in the international context — notably but not only the publication of Plan S — have sparked a new round of debates about OA in relation to books and book chapters. Plan S, developed by a group of national, mainly European research funding organisations called cOAlition S, aims to make full and immediate OA to research publications a reality. It states that:

> " *With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.*

This statement is supported by 10 principles. However, decisions on local implementation will be made by individual funding agencies. In the UK, both UKRI and Wellcome are signatories of Plan S. Plan S is explicit about including books within its remit, but defers issuing guidance on policy implementation until 2021. Although there has been widespread assent to the principles articulated in Plan S, numerous commentators have noted that it is an expression of a desirable goal rather than of precise steps to implement that goal. Nowhere is this more true than in the domain of monographs and other long-form publications.

International publishing

As part of policy development for OA books, thought must be given to the impact on individual researchers working in a diverse global market and with publishers overseas, not all of which will have OA offerings in line with developing UK policies.

Over 90% of long-form publications returned to panels C and D in the REF 2014 were published with presses based in either the UK (78%) or in the US (14%). Modern languages and linguistics is the most 'international' discipline, with 21% of long-form outputs published with a press not based in the UK or the US. Subjects aligned with anthropology and development studies are more likely to publish with an American press, with over 25% of long-form outputs published with a US publisher. Conversely, 92% of law titles are published with a press based in the UK (Fund et al, 2019).

The location of the press can give a good indication of where the majority of title sales are made. For example, around 80% of titles published by US university presses are sold in North America; in comparison, titles published with a large UK publisher make around 50% of sales in the UK, with 30% in Europe. Small- and medium-sized publishers in the UK generate most of their sales within their home country, with around half generated in the UK, and 30% made in North America (Fund et al, 2019). All presses publish (in the sense of sales and distribution) in more than one territory, and we note that some larger presses have publishing offices and operations in more than one country. In relation to the discussion of trade books and crossover titles (see above), the size of the US market influences the proportion of publishing and it is more able to sustain crossover titles.

When asked, 65% of academics (out of 462 survey responses) suggested that a policy exemption would be helpful for books published with a publishing house that is not based in the UK (Fund et al, 2019).

Languages

During fullstopp's analysis of the REF 2014 data, area studies and modern languages and linguistics stand out as two units of assessment (UoAs) that returned the highest proportion of outputs published in a language other than English (7% and 20% respectively). Publishing an output written in another language does not pose a challenge for publishing OA: there are a number of presses publishing OA books in a language other than English – Language Science Press, for example, has published books in English, French and German. The platform OpenEdition primarily hosts books in French, Spanish and Italian, with books written in Portuguese, French, German, English, Dutch and Italian freely available to view on the Directory of Open Access Books (DOAB). What does need to be considered are the presses that publish these books in a language other than English, and whether or not these presses have an OA programme (or have the resources to enable publications to be made OA). On DOAB, there is a diverse representation of publishers based in different countries, with Germany topping the list with 45 unique publishers listed, followed by the UK with 41, and the US (40) and France (39). DOAB also includes books published by presses based in Brazil (21), Austria (17), Italy (17), Switzerland (12), the Netherlands (10) and Australia (9), amongst others (Giménez-Toledo, 2019).

Co-authored outputs

Academic scholarship is an international endeavour. Researchers collaborate with authors outside the UK, write in languages other than English, and publish with presses from around the world (although predominantly with presses in the UK and the US). Perhaps now more than ever, these international links and collaborative partnerships need to be nurtured to ensure that the UK fosters a sustainable research environment that allows existing and new partnerships to flourish. Just over 25% of long-form outputs returned to panels C and D of the REF 2014 (monographs, edited collections and scholarly monographs) were authored by two or more scholars, with just under 7% (853) co-authored with a researcher not based in the UK. Of all long-form titles returned to the REF 2014 (outputs A, B and R), the highest number of titles were co-authored with scholars affiliated with a US institution (174 titles), with 59 titles co-authored with a scholar affiliated with an Australian university, and 32 titles co-authored with a scholar at a German university (Fund et al, 2019).

It is important to remember that other countries will have different OA policies and norms: any new policy in the UK should not inadvertently disincentivise international collaboration. UK researchers should be able to publish with world-leading publishers, in the same way as world-leading researchers must be incentivised to publish with UK-based publishers.

PEER REVIEW AND OA BOOK PUBLISHING

Peer review is a valued service performed by academics that underpins all scholarly publishing activity. The practice of peer review varies widely from publisher to publisher and country to country, regardless of whether a publisher provides open access, so there need not be a particular association between OA publishing and peer review. That said, there continues to be a perception among academics that OA publishing is less likely to feature rigorous peer review. Springer Nature's report (Pyne et al, 2019) also highlights authors' concerns that OA books are perceived to be of a lesser quality than non-OA titles. When surveyed, authors with 25 years' experience or more expressed higher levels of concerns.

Publishers generally recoup their investment in peer review and other publishing functions (such as acquisitions, manuscript editorial, design, production and marketing services) from the sales they make (Maron, Mulhern, Rossman and Schmelzinger, 2016).[4] There is not yet enough evidence to demonstrate what effect widespread OA for monographs over the long term willwould have on sales and what funding model would replace these sales if so. Some commentators have suggested that it is not clear whether all publishers who provide OA will have sufficient funds to enable them to continue to provide the high-quality peer review that authors and readers expect (British Academy, 2018).

Some scholars may also prefer their work to undergo a continuous peer-review process (ie, receive peer review comments from the wider community post-publication), but this approach is by no means a requirement of publishing an output (long form or otherwise) as open access.

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4   One study found that the largest cost item for university presses is staff time, specifically the time related to activities of acquisitions. Twenty university presses – all members of the Association of American University Presses – took part in the study (Maron eet al, 2016).

LICENCES

In the arts, humanities and the social sciences, it is the context in which words or phrases are used and the way in which arguments are constructed that are intrinsic to scholarly communication (British Academy, 2018). Some commentators argue that adoption of a 'no-derivatives' (ND) licence may, therefore, be more appropriate for outputs published in the arts, humanities and social sciences (AHSS) (ibid, 2018).[5]

It is clear from the OAM Group's engagement events and fullstopp's data analysis that academic researchers do not feel that they know enough about licensing arrangements. For example, when surveyed, 83% of academics (370 out of 462) felt they did not know enough about CC licences to make an informed decision about which licence they should publish an open access book under (Fund et al, 2019). As noted in the OAM Group's engagement report (UUK OAM Group, 2019), libraries and publishers can both play a role in bridging this knowledge gap by offering assistance and advice on appropriate licence arrangements.

fullstopp's analysis found that the use of more restrictive licences is more visible in disciplines aligned with AHSS, than for disciplines within science, technology, engineering and mathematics (STEM). fullstopp's analysis of the DOAB (of which 9,182 titles include information on licences) found that the inclusion of the ND licence applies across around 60% of all AHSS books. The most restrictive licence (CC BY-NC-ND) is used in politics and international studies (73%), anthropology and development studies (71%), communication, cultural and media studies (67%) and history (61%). Titles published under the least restrictive licence (CC BY) account for just over 13% of books available on DOAB. Subjects aligned with art and design hold the lowest share of the CC BY-NC-ND licence, perhaps surprisingly, given the likelihood of the inclusion of third-party materials (see 'Third-party rights' below).

We note the flexibility for licensing arrangements in the current REF policy (which applies to journal articles and conference proceedings) and which allows the inclusion of the more restrictive ND licence. Likewise, the Wellcome Trust's policy for OA monographs states that although CC BY is preferred, the inclusion of the non-commercial (NC) and ND types is acceptable.

> **RECOMMENDATIONS:**
>
> **1.** Future policy for OA books should permit the inclusion of the ND licence.
>
> **2.** Further consultation is needed with stakeholders to identify how the lack of understanding of creative commons (CC) licences can be best addressed, and where the source of advice would be best placed. Currently, scholarly communications departments and librarians provide advice on OA publishing and REF mandates, but more needs to be done and clarification is required on how this would be resourced.

THIRD-PARTY RIGHTS

The inclusion of illustrations in the form of maps, photographs, musical scores and other images is essential to many scholarly works. For example, archaeologists, art historians and those working in visual culture need to reproduce illustrations and other materials in their research outputs.

Technical issues of inclusion of illustrations in an academic monograph is not the problem; rather, it is acquiring clearance permissions for the re-use of third-party material that adds an extra layer of complexity to publication, potentially making it very expensive to publish books with significant quantities of third-party copyright material. Permission fees have traditionally been calculated on the basis of anticipated print runs; however, as Speicher (2017) suggests, the traditional means of calculating the fee this way doesn't apply for digital publishers, especially those who publish OA and

5   See Glossary for definitions of the various licence types.

mainly publish print on demand (PoD). Speicher suggests that it is 'almost impossible to predict the number of downloads that a book might attract, there is no print run in PoD publishing, and the book is available globally since it is published online' (ibid). For OA, there is a further issue: many image rights holders do not allow the reproduction of their material in books published under a creative commons licence, or if they do, they can sometimes charge more than they would for a print book because of the potential for unlimited global downloads of an OA book, as noted above.[6] Finally, we note that few image libraries have adapted a fee structure for OA use, since OA book publishing is still relatively uncommon.

According to fullstopp's data analysis, over 50% (6,792 titles) of books returned to the REF 2014 included illustrations (6,530), maps (1,321), plates (531), portraits (227), photographs (137), music scores (134) and plans (70). The study suggests that the following subjects (listed alphabetically) make significant use of third-party content, and therefore are likely to be sensitive to the issue of third-party rights for OA:

- anthropology and development studies

- architecture, built environment and planning

- archaeology

- area studies

- art and design: history, practice and theory

- classics

- geography, environmental studies

- history

- music, drama, dance and performing arts

Most publishers of scholarly books require authors to undertake the work of obtaining permissions for the use of third-party material and to pay any permission fees, although the publisher will usually undertake internal checks to ensure that those rights have been cleared and attributed correctly. Many scholarly publishers and authors already limit the number of images they use in a book because of the difficulty or cost of obtaining permissions. When clearing rights for OA use, publishers need to provide additional guidance to authors to ensure that the rights holder has a full understanding of the intended use in an OA book published under a CC licence, with unlimited use and sharing around the world, so that the correct rights are cleared.

When a work of art is no longer protected by copyright, it falls into the 'public domain' and it should be (although often is not) free to make, use and share copies of that work. Some progress is being made with regard to the free re-use of images. For example, The Rijksmuseum in Amsterdam, Birmingham Museum Trust, York Museum Trust and the National Gallery of Art in the US all have an OA policy that allows the free re-use of images that they consider to be in the public domain.

The EU has also recently introduced a new copyright directive (EU, 2019) which will allow users to copy, use and share online photographs of paintings, sculptures and works of art that are in the public domain, including for commercial purposes. Although the purpose of the EU directive is not specifically to ensure that art can be disseminated online, it:

> *provides for rules to adapt certain exceptions and limitations to copyright and related rights to digital and cross-border environments [...] as regards the dissemination of out-of-commerce works and other subject matter [...] with a view to ensuring wider access to content.*

EU, 2019:92

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6   However, it is possible to publish a CC-licensed work that includes third-party material that is published under a different (and more restrictive) licence (UUK, 2019).

> **RECOMMENDATIONS:**
>
> **1.** Given the already complex nature and expense of re-use clearance for illustrations and other third-party rights material in books, and the additional complexity and expense introduced by OA, an exception should be considered in any OA policy for books that require significant use of third-party rights materials. Any such exception would need to consider whether this would be defined on a per-title basis by the number of third-party images, for example, or whether it could be applied across the board to those disciplines that demonstrably make more use of third-party materials.
>
> **2.** Further legal advice needs to be sought for the benefit of all stakeholders to fully understand the legal technicalities of OA books containing material published under mixed licences. We understand that the workshops carried out as part of the UKRI OA review should illuminate these matters.
>
> **3.** The availability of freely available third-party sources should be promoted throughout the scholarly community.

SUBMISSIONS TO THE REF

The REF is the UK's system for assessing the quality of research in UK higher education institutions (HEIs). It is run by the UK's four higher education funding bodies and generally takes place every six to seven years. The next exercise will be conducted in 2021. HEIs participating in the REF submit a number of outputs to their discipline area (or unit of assessment – UoA), which are then assessed by a panel of subject experts. The number of outputs returned to the REF depends on the numbers of staff with significant responsibility for research. Further details about staff eligibility criteria are available at REF's website. REF results determine the amount of quality-related research funding an institution will receive over the next funding period (ie, until the next assessment takes place).

In April 2016, the higher education funding bodies introduced an OA policy for journal articles and conference proceedings submitted to the next REF. The REF policy states that to be considered OA, the output must allow anyone with internet access to search within the text, read it and download the text without charge, and it must be discoverable to anyone with an internet connection, and to search engines. To comply, the final peer-reviewed manuscript (or author-accepted manuscript, sometimes referred to as an AAM) of all articles and conference proceedings must be deposited in an institutional or subject repository within three months of acceptance. Embargo periods (to a maximum of 12 months for REF panels A and B, and 24 months for REF panels C and D) are permissible.

The four UK higher education funding bodies have signalled their intent to extend the OA requirements of the REF to include monographs in the exercise after REF 2021. In the context of the analysis of REF 2014 data, it is important to note that guidance for staff outputs has changed for the next exercise. Unlike the previous exercise, REF 2021 stipulates that all staff with significant responsibility for research should be returned. Eligible staff must return a minimum of one (and a maximum of five) research outputs, at an average number of outputs of 2.5 per full-time equivalent (FTE) of a submitting unit. The change in the number of staff returned to the REF could alter the number of outputs (and proportions of outputs) across different categories. Results will be analysed post-REF 2021 submission for disciplinary variances.

fullstopp's analysis of long-form outputs submitted to panels C and D during the last REF exercise found that 10,227 individual titles were submitted as output A (authored book), 2,117 as output B (edited collection) and 257 as output R (scholarly editions). Subjects aligned with the arts and humanities are more likely to submit a long-form publication (in particular, a single-authored monograph) to the REF. Scholarly editions and edited collections are also predominantly returned from disciplines aligned with the arts and humanities.

Whilst fullstopp's analysis found that panel D returned the highest number of books, a significant number of long-form publications were also submitted from law, politics and international studies (UoA 21) and social work and social policy (UoA 22). There was also a higher than average[7] number of long-form publications submitted to mathematics (UoA 10) and computer science (UoA 11). Forty-six single-authored books were submitted from UoA 10, with a further 32 from UoA 11 (plus three edited collections). Scholars from these academic communities outside the arts, humanities and social sciences are advised to ensure that their specific needs are represented in future consultations (for example, the UKRI OA review) on an OA policy for books. Funders and policymakers should also consider discipline-specific requirements as part of a future policy.

We note that the outputs submitted to the REF only represent a proportion of the total of scholarly research produced during an assessment period. Institutions tend to make their most significant and important eligible journal articles (ie, the outputs that are most likely to be submitted to the REF 2021 exercise) available open access (Research England, 2018), and it remains to be seen whether the same will hold for academic monographs (although informal discussions with sector representatives suggest that this will not be the case). During OA policy development for the REF after next, the four UK higher education funding bodies (consulting with HEIs) should consider:

- At what stage is an output 'confirmed' for REF submission and who makes this decision? Will a REF OA policy allow books to be made OA retrospectively, or will institutions be expected to apply a policy to all scholarly research 'just in case'?

- How can institutions encourage best practice for OA monographs, maximising research dissemination (as far as is possible and appropriate) when it is not clear if an output will be submitted to the REF?

Across panels C and D in the REF 2014, 75% of titles (returned as A, B or R) were published with 20 publishers, meaning the role of the publishers outside of the top 20 is significant. The overall average proportion across all subject areas in panel D for publishers with a single book submitted is 60%. The importance of these publishers should not be overlooked: discipline-specific presses (for example, in linguistics, archaeology and anthropology) both support and promote important but niche areas of research. These presses, as noted in the UUK OAM Group's engagement report (UUK OAM Group, 2019) play an important role in the publishing ecosystem. fullstopp's data shows that in art and design: history, practice and theory, a majority of submissions (52%) are published by a non-top 20 publisher. Similarly, modern languages and linguistics includes a high volume of smaller specialist publishers.

University presses (UPs) – in particular Oxford University Press (OUP) and Cambridge University Press (CUP) – made a significant contribution to REF submissions; of those outputs where a publisher could be identified (some 11,248 titles across panels C and D), 35% were published by a university press – 19% with CUP or OUP, with the remaining 16% with other UPs (UK and international).

RECOMMENDATIONS:

1. A future OA policy for books should consider how current exemptions for journals may apply to long-form publications. Policy development should also consider the level of appropriateness of any current exemptions, and whether the long journey from research, writing, editing and publishing academic monographs requires flexibility in terms of these exemptions.

2. A future OA policy should recognise the needs of small specialist publishers.

3. A future OA policy should demonstrate ways in which compliance can be assessed.

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7   When compared to outputs returned across UoAs aligned with main panels A and B.

LONG-FORM PUBLICATIONS LINKED TO FUNDED RESEARCH ACTIVITIES

fullstopp's analysis shows that from 2008 to 2013 (the last REF period), over 1,500 long-form titles (around 80% of titles with information available) were linked to research projects funded by the Arts and Humanities Research Council (AHRC) (846 titles) or the Economic and Social Research Council (ESRC) (669 titles), highlighting the significant role these two research councils play in enabling scholars to carry out longitudinal academic research. Around half of long-form publications (420 titles) linked to research activities funded by the AHRC were returned to the REF 2014, with just over 30% of titles (217) linked to ESRC research projects submitted to the same exercise. A total of 649 titles linked to projects funded by one of the seven research councils were submitted to the REF 2014. English literature and language and history returned the highest number of titles linked to research funded from either the AHRC or the ESRC, although anthropology and development titles formed the highest percentage of outputs linked to a research grant (around 10%) (Fund et al, 2019).

Further analysis was carried out by UKRI to ascertain the number of recorded outputs published from 2008 to 2018 (ie, beyond the last REF assessment period) that were linked to a grant from one of the seven research councils. The numbers of these outputs appear in **Table 1**.

Across the seven research councils, ESRC and AHRC grant-holders publish a majority of long-form outputs linked to activity funded by the research councils, and Engineering and Physical Sciences Research Council (EPSRC) grant-holders publish the highest volume of book chapters. There are, however, a significant number of limitations when using Researchfish data. Data quality and completeness are variable, depending in part on whether the data was entered manually or uploaded, and when this was done. There are also significant numbers of blank or clearly wrong entries of year or type, and many publisher names are recorded inconsistently (eg, 20 different versions of 'Elsevier') or are simply wrong. Furthermore, the categories 'book' and 'monograph' appear as two separate outputs, and it is not clear what the differences between these two outputs are.

TABLE 1: Long-form publications linked to a grant from one of the seven research councils (2008–18)					
	Monograph	Book	Edited book	Scholarly edition	Book chapter
AHRC	63	1,912	496	30	4,970
BBSRC	2	80	7	0	1,118
EPSRC	41	698	71	1	7,050
ESRC	92	1,562	230	13	5,396
MRC	13	157	12	0	1,028
NERC	5	179	16	1	1,564
STFC	1	32	1	0	444
Total	**217**	**4,620**	**833**	**45**	**21,570**

Source: Researchfish, 2019. Key: BBSRC – Biotechnology and Biological Sciences Research Council; MRC – Medical Research Council; NERC – Natural Environment Research Council; STFC – Science and Technology Facilities Council

During fullstopp's interviews with stakeholders, participants stressed the importance of funding from the AHRC and the ESRC. It was also noted that grants from the research councils are very competitive and that subjects aligned with the arts, humanities and social sciences typically receive considerably less than their science, technology, engineering, mathematics and medicine (STEMM) counterparts. As noted in a 2018 report published by Research England, where funding is required for immediate access, a significant proportion comes from the dedicated RCUK block grant (which has been confirmed until March 2020) and from the Charity Open Access Fund (COAF) (Research England, 2018).

RECOMMENDATIONS:

1. Further analysis should be carried out to understand the potential costs of making publications linked to research grants open access. For example, further analysis of the publishing houses that publish titles linked to AHRC and ESRC grants may give an approximation of potential costs.

2. The difference between the terms 'book' and 'monograph' needs to be specified on the Researchfish website, or replaced with a single term covering both items, to enable future analysis to be more accurate.

CONSIDERING POLICY EXEMPTIONS

The Wellcome Trust is currently the only funding organisation in the UK that mandates open access for monographs linked to its grants. However, this mandate does not apply to all long-form publications written by a recipient of a Wellcome grant. The policy does not apply to textbooks, 'trade' books, general reference works or works of fiction, or to collections edited (but not authored) by Wellcome grant-holders.

With regards to a future REF OA policy, the four UK higher education funding bodies have noted that there will be legitimate reasons why some academic monographs cannot be made OA; for example, there may be a lack of OA publishing options for some monographs, or there may be challenges created by dependence on the inclusion of copyrighted third-party material in the monograph. Exceptions for the current REF 2021 OA policy (which applies only to journals and conference proceedings) include:

- deposit requirements (eg, individual was not employed by a UK HEI at the point of acceptance)

- access exemption (eg, output depends on third-party content for which OA rights could not be granted; the output requires an embargo period that exceeds the stated maximum, and the chosen journal was the most appropriate publication outlet)

- technical (eg, at acceptance, the individual was at a different UK HEI that failed to comply)

- other (to include an explanation)

RECOMMENDATION:

1. Funders should consider how current policy exemptions for OA policies can inform thinking around potential exemptions for books and book chapters.

FUNDING

Analysis carried out by the UUK OAM Group shows that fees for OA vary considerably from publisher to publisher. In its report published in July 2018, the group identified a number of business models that are in turn funded through a number of routes. For example, Ubiquity Press, CUP and Edinburgh University Press charge a fee for publishing OA (a book processing charge, or BPC). Scholar-led initiatives such as Open Book Publishers (OPB) and Mayfly Press do not charge author fees – instead, they use a mixed funding model from grants, print income and internal funds from the author's institutions (although this is not a requirement). UCL Press receives funding from its university and generates income from print sales, and offers free OA for UCL-affiliated authors (with options for fee waivers for non-affiliated researchers). In the US, there are consortia models such as Lever Press and Towards an Open Monograph Ecosystem (TOME). A recent report from Knowledge Exchange highlights the need for diverse and sustainable OA policies, noting that '*sparse access to BPCs creates new inequalities, limiting publishing options*'. The report suggests that publishing options that are 'less competitive and less selective' are needed for a move to OA (Adema, 2019:31).

There are, then, a range of business models that make OA for books possible. However, the very definition (or lack thereof) of the monograph makes it difficult, to firstly provide a definitive cost for an OA book, and secondly to suggest an appropriate funding mechanism to deliver OA for books. Disciplinary differences, specific research practices and variations in the content of an academic monograph mean that the cost of publishing a book under an immediate OA model (assuming an author- or institution-pays model) will vary (Maron et al, 2016). Publisher BPCs, therefore, are based on average costs.

Moreover, business models for OA books may also need to take account of whether immediate OA is financially feasible in terms of what can be a high cost at a single transaction point. Martin Eve and colleagues (2017) suggest that it would cost somewhere in the region of £19.2m to make books submitted to the REF freely available. However, they assume an immediate OA model which may be accompanied by a fee (estimated at around £7,500 per book). This is a significant figure for funders and institutions to consider in any policy development for OA books. However, there is a difference between the cost of making a book OA and the price, and we encourage transparency of services associated with OA publishing fees. In a discussion of funding for OA books, we believe that the following questions should be addressed:

- Are eligible outputs required to be OA immediately upon publication, or would a delayed publication period be permissible? A significant proportion of publishers have OA options for outputs that are available after a pre-defined embargo period. This might result in lower costs for making a book open access after a delay.

- What version of a book should any OA policy require to be made accessible? For example, this could be the pre-submission manuscript, the author's accepted manuscript (AMM), or the version of record (VoR). We recognise that book publishers have more editorial investment than is the case for journals, and this may need to be considered as part of policy development.

We recognise that further work needs to be done in this area in order to fully understand funding mechanisms for OA books. Funding costs should also consider staffing costs for professional services staff who may be responsible for depositing and checking compliance. Certainly, there are lessons to be learned from the move to OA for scholarly articles, where immediate OA has been accompanied by a rise in article processing charges (APCs). This model is putting an increasing strain on internal library budgets, and alternative methods such as consortia models and mixed-model funding should be explored to provide long-term sustainability. A range of business models for OA books should be promoted by stakeholders (such as publishers, libraries, funders and policymakers) and we encourage AHSS scholars to take a leadership role in the development of new models.

Finally, there is also an opportunity to develop an infrastructure for OA book publishing. The report from Adema (2019) recommends that funders should fund '*infrastructures and platforms for OA monographs to provide the necessary services for monographs academics need*', stressing the need for interoperability between systems (2019:31). The need for appropriate infrastructure has also been supported by sector representatives during engagements over the past 12 months.[8] Certainly, there are new developments in this space and in the UK, Research England has funded Community-led Open Publication Infrastructure for Monographs (COPIM), an international project led by Coventry University.[9] COPIM aims to transform OA book publishing by shifting away from a model of commercial operations to a more cooperative, knowledge-sharing approach. Its work will involve improving and innovating infrastructures for OA book publishers (including business models, preservation structures and governance procedures), and enabling more productive collaborations between librarians, publishers, researchers and others involved in the OA landscape.

RECOMMENDATIONS:

1. Further research is needed into alternative sources of funding if sales income is no longer reliable or sufficient under a wholesale transition to OA. This research could build on the Ithaka study *The Costs of Publishing Monographs: Towards a Transparent Methodology* (Maron et al, 2016).

2. Funders should clearly communicate when a policy for OA books will be implemented, giving due notice to the sector to enable all stakeholders to prepare appropriately.

3. Immediate open access for all monographs may not be feasible. We recommend consideration of a mixed-model policy that offers various routes to compliance (including one offering a suitable period for delayed open access).

4. A central international site (similar to SHERPA services for journals) should be established to capture funder and publisher policies in one place.

DISCOVERABILITY OF OPEN ACCESS MONOGRAPHS

The discoverability of OA monographs was raised as a concern repeatedly in our engagement events and in survey interviews. In the years since the last REF, a number of new OA platforms have been launched and new OA discoverability and dissemination services have emerged (UUK OAM Group, 2018). These provide ever greater visibility for OA books, as usage reports from OA monograph publishers and platforms demonstrate (Pinter et al, 2017; Emery, et al, 2017). With average print sales of scholarly books reported to be in the hundreds (Jubb, 2017) while OA platforms report downloads and views typically in the thousands per title each year, the concerns expressed about the discoverability of OA books do not seem to be borne out by the evidence available. Yet, there is an issue with regards to the discoverability of the content of OA monographs and we recognise that further work needs to be carried out in this area.

Gathering evidence for the benefits and wide usage of OA books is, however, crucial in order to demonstrate to funders, authors and institutions the impact and reach of their outputs. Developments in this emerging area are ongoing. For example, the HIRMEOS project, led by the Europe-wide OPERAS coalition (open scholarly communication, the European research area for social sciences and humanities), has delivered shared technical infrastructure to help publishers collate and display usage statistics in a standardised way. A recent study funded by the Andrew W. Mellon Foundation by the Book Industry Study Group in the USA, with academics and publishers from the Universities of Texas and Michigan, proposes ways that the community can work together to develop infrastructure, standardise and protect data-collection services, and share and analyse that data in order to better understand the full potential of OA book usage (O'Leary and Hawkins, 2019).

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8   For example, at the Jisc community event on open access and monographs (July 2019).
9   The partners involved in the COPIM prokect are Birkbeck, University of London, Lancaster University and Trinity College, Cambridge; the ScholarLed consortium of established open access presses (Open Book Publishers, punctum books, Open Humanities Press, Mattering Press, and Meson Press); University of California, Santa Barbara (UCSB) Library and Loughborough University Library; DOAB, Jisc, and the international membership organisation The Digital Preservation Coalition (DPC).

> **RECOMMENDATIONS:**
>
> **1.** Policymakers and funders should consider how they can best make use of this growing body of usage data to demonstrate the value of their OA policies. Policymakers and funders should also draw on this growing body of evidence as part of their advocacy programmes, to promote the benefits of OA to authors and institutions.
>
> **2.** Gathering usage data is an emerging field, and support is required to fully develop the infrastructure needed to support publishers and institutions as OA monograph publishing increases.
>
> **3.** There are challenges to be addressed in collecting, collating and analysing usage data; these challenges should be addressed sensitively, and metrics used responsibly. The UK's Forum for Responsible Research Metrics may be best placed to advise on the responsible use of metrics in this area.

ACADEMIC CAREERS

During the OAM Group's engagement activities (UUK OAM Group, 2019), sector representatives stressed that the challenges of OA publishing (both perceived and real) are inherently bound up with very real cultural barriers that exist across the academy. Specifically, the precarious nature of the academic career, particularly for early career researchers (ECRs) means that academics are often employed on zero-hours or short-term contracts, and frequently have to manage more than one job (academic or other) simultaneously.[10] With little or no job security at the end of these contracts, ECRs often find themselves moving from one institution to the next. This lack of stability means that they may lose out from the benefits that being based at one institution offers (for example, funding, or support from professional services staff and from experienced academics).

In addition, many researchers who have moved out of the academy continue with scholarly research. Non-affiliated, independent scholars may wish to re-enter the academy after a time, and this needs to be considered. There are broader concerns around transparency processes regarding university recruitment and promotion procedures wherein the publisher is frequently used as a proxy for research quality. Pressures around recruitment (particularly for ECRs, but applicable across all stages of the academic career) may result in a risk-averse approach to publishing OA. Recruitment and promotional pressures are not directly related to OA publications as such, but they do cause anxieties around potential misconceptions of digital scholarship (which is different to open access), particularly if appointment panels are unfamiliar with this type of assessment. Importantly, recruitment and promotion panels should ensure that it is the content that is being assessed, not the publication venue.

There will undoubtedly be a number of outputs submitted to the next REF that were published when the author did not have HEI affiliation. However, these outputs will still be eligible for submission, as they qualify for a policy exemption. Specifically, outputs are not required to meet policy criteria if the 'staff member to whom the output is attributed was not employed on a Category A eligible contract by a UK HEI at the time of submission for publication' (Research England, 2019). This exemption recognises the challenges researchers may encounter with regard to fixed-term academic contracts or precarious employment arrangements (challenges that may affect a higher proportion of ECRs than other academics) and allows researchers to continue to comply with an OA policy. This exemption should continue to apply for a future REF OA policy.

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10 Responses to the academic surveys carried out as part of fullstopp's study (Fund et al, 2019) also noted concerns for the implications for ECRs of an OA policy.

LIBRARIES

Throughout the move to OA for scholarly articles, the work of professional staff in library services has been critical in all aspects of monitoring, compliance and resource management. Indeed, increases in open access to research is a result of considerable effort on the part of library staff, and we note that despite much progress on system interoperability, a significant amount of work still falls on library services. These are among the 'hidden' or indirect costs of OA: costs that are difficult to quantify, but that underpin OA activities.

fullstopp's report uses library book acquisition data from a sample set of 13 institutions as a proxy for book budget spend. Its analysis reveals that while approximately 50% of the annual library book acquisition budget is spent purchasing 'frontlist' titles (those published since 2016), around 15% is spent on acquiring 'deep backlist' books (titles first published more than 10 years ago). Assuming a £56m book budget across HEI libraries for the financial year 2017–18,[12] this means that around £8.4m a year is spent acquiring deep backlist titles. If these deep backlist titles were OA (which would need some investment),[13] then there may some potential to repurpose some of a HEI's library book acquisition budget. However, we recognise that revenue from this deep backlist also pays for services offered by book publishers: any redistribution of funds has not only to be feasible, but should also be mindful of the sustainability of other stakeholders (for example, specialist publishers). Furthermore (and as already noted in this report), authors' preference for print copies means that at least some of these acquisition costs will remain. This contrast to journals, where consumption is all digital (and thus current expenditure can be assumed to be repurposed in the future).

fullstopp's study also analyses purchasing data relating to titles submitted to the last REF. They estimate that about 5% (around £2.8m) of a library's total individual order budget for print and ebooks, is spent purchasing REF titles. Again, there is potential to repurpose some of this funding if eligible books are available open access, although the caveats around the sustainability of other stakeholders and preference for print copies remain. These figures are purely indicative, but may be used to consider future funding approaches for OA books. As noted above, there will always be a need for print purchases, and we consider that it should not be the intention of an OA policy to replace physical copies. Moreover, there are a number of caveats to bear in mind when analysing library book acquisition data. First, library acquisition data is only a proxy for book budget spend. Second, the data tells us little about the shift to e-book collections by publishers and aggregators. Finally, the data used in fullstopp's analysis applies only to the UK, which is only a minority part of the market for books.[14, 15]

11 For an example, see https://www.mla.org/About-Us/Governance/Committees/Committee-Listings/Professional-Issues/Committee-on-Information-Technology/Guidelines-for-Evaluating-Work-in-Digital-Humanities-and-Digital-Media

12 The 2012–13 expenditure report from the Society of College, National and University Libraries (SCONUL) estimated the total annual library book acquisition budget to be around £62.2m. In line with a 10% decrease (see Figure 3.9.1 in Fund et al, 2019), the estimated total annual library book acquisition budget is around £56m for financial year 2017-2018.

13 Some deep backlist titles may not currently be available in a digital form, so would need to be first digitised before they could be made OA.

14 With thanks to Michael Jubb for these useful comments.

15 A detailed study of the book acquisition patterns across US academic libraries was published in January 2019 (Daniel et al, 2019).

These numbers could be analysed further in order to estimate the number of books that could be made immediate OA, should these costs contribute to BPCs only. In reality, the situation is not as simple as this comment implies as institutional budgets take on costs such as systems maintenance, staffing, ensuring policy compliance via monitoring activities, as well as training and communication of OA requirements to academics. Librarians have a fundamental role to play in open access and we believe they should be encouraged and supported to continue such activities. The group's engagement with stakeholders supports this position: attendees from last year's UUK engagement events recommended establishing additional library services to support open access for academic books, and to demystify some of the aspects of publishing OA (UUK OAM Group 2019).

> **RECOMMENDATIONS:**
>
> **1.** HEI libraries (working individually or collaboratively) might consider the establishment of a central hub where researchers can obtain accurate and up-to-date information on OA and books.
>
> **2.** Appropriate sector organisations should work with HEI libraries to develop training and information materials for librarians and academics.

NEXT STEPS

In January 2015, the former Higher Education Funding Council for England (Hefce) published the landmark report Open access and monographs, written by Professor Geoffrey Crossick. Since then, there have been several reports published on the subject of OA books, as well as significant changes (or an indication of significant changes) in the policy landscape through the UKRI OA review and Plan S. The DOAB now hosts 16,821 academic peer-reviewed books and chapters from 317 publishers; six new university presses have been established (Adema, Stone, 2017) and debates around the future of OA books are being discussed across key stakeholder groups (for example, the British Academy, the Royal History Society, and the AHA).

And yet, some complex questions around publishing monographs OA still remain. For example:

- How can policymakers, institutions and publishers work together to ensure fair and transparent costings for OA books? As noted in the section on 'Funding' above, the costs of OA journals have risen over the last few years, placing increased pressure on library acquisition budgets. Would a similar dedicated fund for books have the same impact?

- What are the implications of OA for individual book chapters? This is a notable omission from this report, and further work needs to be carried out in this area to understand further disciplinary differences and potential cost implications (in terms of both resourcing and immediate OA options). The British Academy is currently carrying out an analysis of book chapters returned to the REF and book chapters linked to a UKRI grant. The results of this study should inform the future UKRI and REF OA policies.

- How scalable is an OA model that makes available a version that is not the same as the final published version? For example, OpenEdition (an OA platform for scholarly books and journals) operates under a 'freemium' model whereby a basic service is available for free online, but a premium is charged for advanced features and functionality (UUK, OAM Group 2018). Depositing an AAM or similar version might also be an option. While recognising that some monographs may not be appropriate for this kind of model (for example, ones that may require a significant number of redactions of third-party materials), depositing the AAM in an institutional or subject repository does enable discovery.

We suggest that these areas are explored in more detail over the next 12 months in order to inform OA policy development and implementation. We recognise that work on scalable business models for OA is needed. Wellcome, in partnership with UKRI and the Association of Learned & Professional Society Publishers (ALPSP), have engaged Information Power to explore a range of potential strategies and business models through which learned societies can transition to open access for journals. Although the UKRI and ALPSP study is focusing on OA for journals, there may be some lessons learnt for OA books.

UKRI open access review

The formal consultation period for the UKRI OA review will take place during autumn 2019, with the policy announcement scheduled for spring 2020. We hope that this UUK report will be used to inform consultation questions on open access and monographs. Specifically, we suggest the following topics are included in the consultation document :

- the appropriate version of a book to deposit in an institutional or subject repository

- approaches to delayed open access

- policy implementation date, and implications of the policy for current grant-holders

- infrastructure requirements

- an equality assessment that considers how a UKRI OA policy might affect individuals or groups with protected characteristics.

Developing an OA policy for the REF after next

Following on from the UKRI OA review, the four UK higher education funding bodies will carry out a consultation for the REF OA policy for the exercise after next, which is expected to take place in 2027 or 2028). This REF-specific consultation will take place in 2020. The consultation – and the policy – will build on the findings of the UKRI OA consultation. We believe that the REF OA policy should seek congruence with the UKRI OA policy, as far as possible, while also recognising that books submitted to the REF are greater in number than those linked to UKRI research grants. Additional flexibility for monographs returned to the REF after next may be required.

We hope that this report will be used to inform the REF consultation questions on OA and monographs. We suggest that the following topics might be included in the consultation document:

- the appropriate version of a book to deposit in an institutional or subject repository

- approaches to delayed open access

- policy implementation date, and the stage of the book publishing process that an OA policy will apply (eg, new contracts only, or to book contracts currently under way)

- policy exemptions

- whether UoAs should be required to submit a proportion of eligible outputs OA, or all eligible outputs (excluding exemptions)

- REF-specific questions regarding monitoring, compliance and audit requirements

- REF-specific questions to better understand resource requirements

- an equality assessment that considers how a UKRI OA policy might affect individuals or groups with protected characteristics

Plan S

Recent guidance on the implementation on Plan S was published on 31 May 2019. While cOAlition S's current activities are firmly focused on OA for scholarly articles, its latest guidance document notes that the coalition of research funders will issue a statement on Plan S principles as these apply to monographs and book chapters by the end of 2021. Related implementation guidance will be also be issued at this time. We hope that work carried out by the UUK group will be considered during the development of the Plan S monograph policy.

REFLECTIONS FROM THE UUK OPEN ACCESS MONOGRAPHS GROUP

Reflecting on our activities over the last 12 months, we consider it reasonable to suggest that the UK in particular is at a pivotal stage in OA publishing for books. There has been a marked increase of engagement and debate in this space, and we welcome future engagement with the community. However, the future of OA book publishing and its role within UK policy also 'pivots' on decisions that will be made over the next few years. To that end, we suggest that the following reflections are strongly considered by all stakeholders as we move forward.

The language around open access scholarly communications should be carefully considered when addressing AHSS disciplines. The term 'open science' is broadly used to define open research across all academic disciplines (and is used especially in European policy discussions). However, the term does not neatly apply to AHSS disciplines; indeed, many scholars of the arts, humanities and social sciences would not perceive their work as fitting into a science remit. Therefore, we suggest the phrase 'open science' is replaced with a more inclusive term - for example, 'open scholarship' or 'open research'.

The terms 'green' and 'gold' (and 'diamond' and 'bronze') were inherited from the world of journal articles but do not transfer easily to the realm of long-form publication, not least because of the heterogeneity of the AHSS publishing industry and the diversity of types of academic book. If we are to move towards an OA approach that encourages new and innovative business models for OA outputs, and recognises that there is no 'one-size-fits-all' approach, we recommend that UK policymakers and funding organisations should move away from such limiting terminology. Rather, we can identify routes to OA book publishing: this might include immediate, delayed, or retrospective OA (while recognising that approaches such as retrospective OA require further development from publishers).

Maintaining (and encouraging) publishing diversity is intrinsic to a sustainable model for OA monographs. Certainly, this is one area in which AHSS scholars in particular are making a mark, with flourishing scholar-led presses evident in the UK. That is not to say, however, that innovative and experimental models are the only way to achieve OA: rather, a diverse publishing ecology that includes commercial publishers and new university presses, as well as scholar-led initiatives, serves to enable a range of business models.

The cost (and price) of an OA monograph vary from publisher to publisher (and indeed, from monograph to monograph). We encourage publishers to be transparent about the services associated with OA publishing fees. This transparency should enable authors to make informed decisions about whom they publish with. This information should also be used to inform the shape of appropriate funding mechanisms, and to ensure value for money.

Finally, although we are able to learn from the OA experience of journals, we should also recognise that the academic book occupies a very distinct space in scholarly research. Approaches, terminology and business models that work for scholarly articles may not be feasible or desirable for academic books. We consider this a space whereby AHSS scholars and publishers can use their expertise, taking a lead in OA book publishing processes.

CONSOLIDATED LIST OF RECOMMENDATIONS

Policy

1. Immediate open access for all monographs may not be feasible. We recommend consideration of a mixed-model policy that offers various routes to compliance (including one which offers a suitable period for delayed open access).

2. Funders should consider how current policy exemptions for OA policies can inform thinking around potential exemptions for books and book chapters.

3. The trade book should be exempt from a future OA policy on monographs. OA policy should be clear about who or what decides the validity of a trade book, taking into account publishers' professional assessment, as well as other factors such as the retail price point and print runs.

4. Funders should consult with the community regarding the policy approach to academic books that are marketed towards a primarily scholarly audience, but cross over to the trade market and/or generate more individual unit sales than anticipated, after first publication.

5. Books written in a language other than English should remain in scope of an OA policy for books. That said, funders may wish to consider an exception to any mandate in cases where a publisher does not offer OA (for instance, in countries without any OA policy), and where a delayed access option is not available.

6. Future policy for OA books should permit the inclusion of the ND licence.

7. Given the already complex nature and expense of re-use clearance for illustrations and other third-party rights material in books, and the additional complexity and expense introduced by OA, an exception should be considered in any OA policy for books that require significant use of third-party rights materials. Any such exception would need to consider whether this would be defined on a per-title basis by the number of third-party images, for example, or whether it could be applied across the board to those disciplines that demonstrably make greater use of third-party materials.

8. A future OA policy should demonstrate ways in which compliance can be assessed.

9. A future OA policy should recognise the needs of small and specialist publishers.

Publishers

1. Authors (and funders and institutions) need reassurance that OA will not lead to lower quality publishing. We consider that there is a need for consciousness-raising to assure authors that OA books are peer reviewed in the same way as print books. Projects such as the High Integration of Research Monographs in the European Open Science Infrastructure (HIRMEOS) Open Book Peer Review Certification service (a response to the increasing need for transparency and a better understanding of book peer-review processes) may be able to play a role in providing these assurances.

Funders

1. Funders should clearly communicate when a policy for OA books will be implemented, giving due notice to the sector to enable all stakeholders to prepare appropriately.

2. A future OA policy for books should consider how current exemptions for journals may apply to long-form publications. Policy development should also consider the level of appropriateness of any current exemptions, and whether the long journey from research, writing, editing and publishing academic monographs requires flexibility in terms of these exemptions.

3. Further analysis should be carried out to understand the potential costs of making publications linked to research grants open access. For example, further analysis of the publishing houses that publish titles linked to AHRC and ESRC grants may give an approximation of potential costs.

4. Further legal advice needs to be sought for the benefit of all stakeholders to fully understand the legal technicalities of OA books containing material published under mixed licences. We understand that the workshops carried out as part of the UKRI OA review should illuminate these matters.

5. The difference between the terms 'book' and 'monograph' needs to be specified on the Researchfish website, or replaced with a single term covering both items, to enable future analysis to be more accurate.

6. Further research is needed into alternative sources of funding if sales income is no longer reliable or sufficient under a wholesale transition to OA. This research could build on the Ithaka study *The Costs of Publishing Monographs: Towards a Transparent Methodology* (Maron et al, 2016).

Libraries

1. HEI libraries (working individually or collaboratively) might consider the establishment of a central hub where researchers can obtain accurate and up-to-date information on OA and books.

2. Appropriate sector organisations should work with HEI libraries to develop training and information materials for librarians and academics.

3. A central international site (similar to SHERPA services for journals) should be established to capture funder and publisher policies in one place.

Universities

1. Pro-vice-chancellors for research (or equivalent) and deans of AHSS faculties should take a leadership role in providing assurances that career prospects will not be affected negatively by choosing to publish books OA.

2. Universities and publishers should work together to develop guidance on assessing digital scholarship. This guidance should be used to educate and inform academic recruitment and promotion panellists.

3. Universities should demonstrate their commitment to developing and promoting best practice in the assessment of scholarly research by adopting and applying the principles enshrined in the San Francisco Declaration on Research Assessment (DORA), or equivalent.

Scholarly community

1. Further consultation is needed with stakeholders to identify how the lack of understanding of creative commons (CC) licences can be best addressed, and where the source of advice would be best placed. Currently, scholarly communications departments and librarians provide advice on OA publishing and REF mandates, but more needs to be done and clarification is required on how this would be resourced.

2. The availability of freely available third-party sources should be promoted throughout the scholarly community.

3. Gathering usage data is an emerging field, and support is required to fully develop the infrastructure needed to support publishers and institutions as OA monograph publishing increases.

4. There are challenges to be addressed in collecting, collating and analysing usage data; these challenges should be addressed sensitively, and metrics used responsibly. The UK's Forum for Responsible Research Metrics may be best placed to advise on the responsible use of metrics in this area.

5. Policymakers and funders should consider how they can best make use of this growing body of usage data to demonstrate the value of their OA policies. Policymakers and funders should also draw on this growing body of evidence as part of their advocacy programmes, to promote the benefits of OA to authors and institutions.

GLOSSARY

AAM — **Author-accepted manuscript**

The author's final, accepted manuscript is the one that has been agreed with the editor at that point. The accepted manuscript is not the same as the copy-edited, typeset or published book, referred to as the version of record.

AHA — **Arts and Humanities Alliance**

ALPSP — **Association of Learned & Professional Society Publishers**

An international membership trade body which supports and represents not-for-profit organisations and institutions that publish scholarly and professional content.

APC — **Article processing charge**

A single payment made to the publisher of a journal article to make an output OA.

BA — **British Academy**

The UK's national body for the humanities and social sciences.

backlist — A list of older books available from a publisher, as opposed to more recently published titles (also known as the frontlist).

BPC — **Book processing charge**

A single payment made to the publisher to make an output OA.

DOAB — **Directory of Open Access Books**

DOI — **Digital object identifier**

ECR — **Early career researcher.**

The seven research councils define an ECR as an individual who is within eight years of the award of their PhD or equivalent professional training, or an individual who is within six years of their first academic appointment. These durations exclude any period of career break, eg for caring or health reasons. For the purposes of the REF, ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their career as independent researchers on or after 1 August 2016.

flip — To turn a closed title open access.

Jisc — A UK higher and further education and skills sectors' not-for-profit organisation for digital services and solutions.

Licensing — See **ANNEXE C**

Nielsen — Leading provider of book-related data services.

PA — **The Publishers Association**

PoD — **Print on demand.**

A business model in which titles are not printed until an order has been received.

RCUK — **Research Councils UK**

REF   **Research Excellence Framework**

Researchfish   A research impact assessment platform used by funders, research institutions and researchers to track funding, awards and research outcomes.

SHERPA   Services provided by Jisc that checks if compliance with funder OA policies can be achieved with a specific journal. Jisc currently offers four SHERPA services: SHERPA FACT, SHERPA RoMEO, SHERPA Juliet, and SHERPA REF.

UKRI   **UK Research and Innovation**

VoR   **Version of record**

The copy-edited, typeset and published academic output.

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ANNEXE A: MEMBERS OF THE UNIVERSITIES UK OPEN ACCESS MONOGRAPHS GROUP

JANNEKE ADEMA, Research Fellow Digital Media, Coventry University

CHRIS BANKS, Assistant Provost, Director of Library Services, Imperial College, London

DIEGO BAPTISTA, Open Research Coordinator, The Wellcome Trust

PROFESSOR SUSAN BRUCE, Professor of English, Keele University and Co-Chair of the Arts and Humanities Alliance (AHA) (representing the AHA)

PROFESSOR MARTIN EVE, Professor of Literature, Technology and Publishing, Birkbeck, University of London; CEO, Open Library of Humanities (OLH) (representing OLH)

EELCO FERWERDA, Director, OAPEN

RUPERT GATTI, Director of Studies in Economics, Fellow of Trinity College, University of Cambridge; Co-founder, Open Book Publishers (OPB) (representing OPB)

MICHAEL JUBB, Director, Jubb Consulting

PROFESSOR ROGER KAIN FBA, Professor of Humanities, School of Advanced Study, University of London; Vice-President, Research and Higher Education Policy, British Academy (Chair)

MAJA MARICEVIC, Head of Higher Education, British Library

ALLISON MCCAIG, REF Project Manager, University of Lancaster (representing the Association for Research Managers and Administrators (ARMA))

RICHARD PARSONS, Director and University Librarian, University of Dundee (representing the Society of College, National and University Libraries (SCONUL))

DAVID PROSSER, Director, Research Libraries UK (RLUK)

ROS PYNE, Director of Open Access Books, Springer Nature

NICOLA RAMSEY, Head of Editorial (Books), Edinburgh University Press

ANDY REDMAN, Editorial Director, Open Access, Oxford University Press

PROFESSOR RICK RYLANCE, Dean and Chief Executive, School of Advanced Study, University of London

LARA SPEICHER, Head of Publishing, University College London Press

HELEN SNAITH, Senior Policy Advisor, Research England

GRAHAM STONE, Senior Research Manager, Jisc

PROFESSOR ROEY SWEET, Professor of Urban History, University of Leicester; Director of Partnerships and Engagements, Arts and Humanities Research Council (AHRC) (representing the AHRC)*

PROFESSOR NIGEL VINCENT FBA, Professor Emeritus of General and Romance Linguistics, University of Manchester (representing the British Academy)

For further information about the UUK OAM Group please see: https://www.universitiesuk.ac.uk/policy-and-analysis/research-policy/open-science/Pages/open-access-monographs.aspx

*until May 2019

ANNEXE B: OVERVIEW OF THE DIFFERENT ROLES OF, AND THE RELATIONSHIP BETWEEN, ACADEMIC AUTHOR AND PUBLISHER

FIGURE B1 (see page 31) provides a high-level overview of the different roles of, and the relationship between, academic author and publisher during the research, writing, editing and publishing process. The publishing (and writing) process remains almost the same for both print and OA publication.

A number of qualifications should be noted in regards to **FIGURE B1**:

- Some publishers may choose to have the book proposal and a sample chapter peer reviewed; many others may have all chapters reviewed.

- Publishers may issue contracts at different stages of the writing process. For example, a contract may be agreed once a book proposal and one chapter have been peer reviewed. In other instances, a contract may only be signed once the full manuscript has been submitted and proof-read.

- Authors may submit a 'camera-ready' copy to the publisher, which shifts typesetting duties onto the author.

We hope that, on consideration of the above qualifications, that **FIGURE B1** is a useful tool to help demystify some of the aspects of OA book publishing to authors who are unfamiliar with OA processes. Furthermore, we suggest that **FIGURE B1** be used as a springboard for further discussions for publishers, libraries, funders and academic authors.

FIGURE B1: Overview of the different roles of, and the relationship between, academic author and the publisher

PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4
Project scoping and acquisition	Research and writing	Preparing the final manuscript	Publication and distribution

Author

PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4
Scope research project Make informal enquiries Identify appropriate publisher Submit book proposal for sample chapter	Research and writing Obtain rights and permissions clearances, where required	Respond to copyediting queries Approve proofs	Book talks Advertising and promotion Social media sharing

Publisher

PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4
Receive book proposal Initiate dialgoue with author Distribute sample for peer review Receive peer review feedback Decision to publish Assess market potential	Work with author to ensure they remain on track Obtain rights and permissions clearances, where required	Copyediting Typesetting Peer review (II) Agree terms and sign contract (if not done in Period 1) Organise proofs Design cover Prepare sales and marketing plans	Dissemination to vendors Submit review copies Advertising and promotion Social media sharing

OA

PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4
Discuss routes to open access and cost of OA publication	Obtain rights and permissions clearances, for OA publication	Payment for OA version	Track data usage

Outcome

PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4
Proposal accepted Agree terms and sign contract	Author submits final manuscript	Final version ready for publication	

ANNEXE C: REF 2014 UNITS OF ASSESSMENT AND TYPES OF LONG-FORM OUTPUT

Panel C (Social Sciences)

16   Architecture, built environment and planning

17   Geography, environmental studies and archaeology

18   Economics and econometrics

19   Business and management studies

20   Law

21   Politics and international studies

22   Social work and social policy

23   Sociology

24   Anthropology and development studies

25   Education

26   Sport and exercise sciences, leisure and tourism

Panel D (Arts and humanities)

27   Area studies

28   Modern languages and linguistics

29   English language and literature

30   History

31   Classics

32   Philosophy

33   Theology and religious studies

34   Art and design: history, practice and theory

35   Music, drama, dance and performing arts

36   Communication, cultural and media studies, library and information management

Types of output

A   Authored book

B   Edited book

R   Scholarly edition

ANNEXE D: TYPES OF CREATIVE COMMONS LICENCES

Licence designation	Licence name	What does this mean for you as an author?
	CC BY	The most liberal of the creative commons licences apart from CC0 public domain dedication (see below). This licence allows others distribute, remix, tweak and build upon your work – even commercially – provided they credit you for the original creation and clearly indicate that changes were made to your work.
	CC BY-SA Attribution-ShareAlike	Similar to CC BY; however, others must license new creations under identical terms. Therefore, all new works based on your work will carry the same licence, so any derivatives will also allow commercial use. This is the licence used by Wikipedia.
	CC BY-ND Attribution-NoDerivatives	This licence allows for redistribution, commercial and non-commercial, provided it is passed along unchanged and in whole, with credit to the author.
	CC BY-NC Attribution-NonCommercial	Similar to CC BY; however, others must not remix, tweak or build upon the original work for commercial purposes. Although new works must also acknowledge the author and be non-commercial, they do not have to license their derivative works on the same terms.
	CC BY-NC-SA Attribution-NonCommercial-ShareAlike	This licence lets others remix, tweak and build upon the authors work non-commercially, provided they credit the author and license their new creations under the identical terms.
	CC BY-NC-ND Attribution-NonCommercial-NoDerivatives	This is the most restrictive of the six licences, only allowing others to download works and share them with others as long as they credit the author, but they cannot change them in any way or use them commercially.

Source: Collins et al (2013)

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