UUK OA Monographs

Thursday 2 November 2017 1.30pm – 3.30pm

UUK, Woburn House, Tavistock Square, London

In attendance

Allison McCaig (AM)		ARMA
Alison Jones	(AJ)	OUP
Caren Milloy	(CM)	Jisc
Carrie Calder	(CC)	Springer Nature
Gary Grubb	(GG)	AHRC
Graham Stone	(GS)	Jisc
Hannah Hope	(HH	Wellcome
Helen Snaith	(HS)	HEFCE
Janneke Adema	(JA)	Coventry University
Lara Speicher	(LS)	UCL
Rick Rylance	(RR)	SAS
Rupert Gatti	(RG)	Open Book Publishers (OBP)
Shearer West	(SW)	University of Nottingham
Susan Bruce	(SB)	AHA

1. **Introduction and apologies**

   1.1 The Chair welcomed members to the third meeting of the UUK OA monographs group. Apologies were noted from Chris Banks, Roger Kain, Ros Pyne, Nicola Ramsey, Martin Eve, Richard Parson, David Prosser and Maja Maricevic. Carrie Calder will be representing Springer Nature. Caren Milloy (Jisc) is also in attendance.

2. **Minutes and matters arising**

   2.1 The minutes (Annex A) from the last meeting held on Thursday 29 June 2017 were approved.

   2.2 The Chair noted changes to the group's membership:
   a. Kitty Inglis retired from SCONUL in September 2017. Richard Parsons (Dundee University) will represent SCONUL in future meetings
   b. Roger Kain retired from SAS in September 2017. Professor Rick Rylance will now sit on the group as a representative of SAS. The Chair welcomed Professor Rylance to the group.
   c. The Chair recommended that Roger Kain remain part of the monograph group, given his expertise in the area.

3. **Actions arising from the previous meeting**

   3.1 Synthesis report (Annex B)   LS

3.1.1 At the meeting of Thursday 29 June the OA monograph group agreed that it would be useful to have a document summarising the key reports on OA monograph activity. The report will be shared with external stakeholders, and will inform pilot activity.

3.1.2 This work was taken forward by LS, with data input from HS. A number of people from the OA group have also provided abstracts for the literature review. This is a working document and additional information (specifically on OA downloads) will be added in the coming weeks. The synthesis report includes data on OA monographs, an overview of large initiatives on open access books, and a literature review providing a summary of key OA monograph reports. Recommendations drawn from this evidence are also included in the report.

3.1.3. The Chair thanked everyone who had contributed to the synthesis report and invited members to provide comments and feedback on draft document.

3.1.4 Members noted that a recommendation to have a standard platform for open access books (e.g. DOAB, OAPEN) may be problematic. For example, there are often costs associated with these platforms (such as yearly fees) which may impact upon smaller presses.

3.1.5. It was noted that the Knowledge Exchange 'Landscape study on OA and monographs'[1] focuses on calculations made about books that are published in the UK. There is also value in focusing on UK authors, rather than UK publishers. For example, an analysis of American University Presses may give a broader sense of where authors are coming from.

3.1.6 It was noted that the Knowledge Exchange expert group will continue their work on monographs. Members of this group are hoping to work towards a smaller summary document that brings out the key themes of the main Knowledge Exchange report. Workshops and further engagement activities will be carried out with a view to bring together authors, publishers, and funders.

3.1.7 The group noted that there needs to be further clarification over the set of recommendations that are laid out in the synthesis report. Specifically, it should be clear whether or not these are recommendations drawn from the evidence presented (for example, from data and from the literature review) or if these are particular recommendations for the UUK OA Monograph group. Some recommendations should be reworded to provide clarity, and ownership of the recommendations should be clear. HS and LS confirmed that recommendations were drawn from the reports put forward in the synthesis document. These will be captured more succinctly at the end of the report. The synthesis document should also summarise how the report will be used to inform future activity.

3.1.8 It was also noted that figures on Panel D outputs from REF should be clarified, specifically regarding the number of monograph outputs.

3.1.8 The Chair noted that there will be three outputs from the UUK OA monograph group:

* Synthesis report (drafted; completed by the end of 2017)

* Symposiums and engagement activities in 2018.

* Pilot activity (long-term with a variety of work packages)

ACTION: Continue to refine the synthesis report. Provide clarifications around data and recommendations.

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[1] http://www.knowledge-exchange.info/event/open-access-monographs

3.2. Pilot activity (Annex C1 and C2)   (JA, GS)

3.2.1 At the meeting of Thursday 29 June the OA monograph group agreed that activity should be scoped to: further engage with the sector around the transition to OA monographs; promote and encourage innovative forms of OA in the UK; address some of the key challenges for OA monographs, such as funding.

3.2.2 It was noted that the scoping activity may not necessarily be categorised as a 'pilot' and is more aligned with advocacy work. For ease of reference, the activity will be referred to as the 'pilot' in the minutes of this paper. Any changes to this will be noted in future minutes.

3.2.3 Ideas for OA activity has been scoped out (via email) since the last meeting. The Chair gave her thanks to everyone who contributed to the scoping document and for comments and feedback provided.

3.2.4 In response to the original scoping document JA has drawn up a paper outlining issues and observations, with an outline of potential responses the key challenges. The Chair invited members of the group to:

> * Raise any additional observations about the proposed activity
>
> * Respond to the issue-mapping document.

3.2.5 In its current form the pilot focuses on traditional approaches to funding, with a standard conception of an academic book. The OA monograph group have an opportunity to take a broader view of where things are going, and be truly innovative with our future activity. We should ensure that we take a view of the bigger picture of open access and facilitate something that the entire sector can move towards.

3.2.6 It was suggested that 'phased pilots' may be integrated into the project. For the potential of OA to be developed we need to look at developing appropriate infrastructure that facilitates alternative routes as well as legacy publishing routes. How, as a country, do we support new and innovative ways of publishing monographs? The group may also wish to consider providing support for initiatives that are addressing OA. Pilot activity should provide scope for such initiatives to be developed, and to allow academics to take the lead.

3.2.7 For one, library subject collections (for example, at the British Library) could be utilised. A collection of long-form open access academic books could be put together to create an OA collection. This approach embeds the potential for open access and enables small initiatives to meet the collection criteria. Inputs that contribute to a collection will also be naturally REF-able. This could also provide a solution to archiving OA content, as long as the links within academic books are archived as well.

3.2.8 Future activities should take a multi-stranded approach that provides funding for both traditional and innovative funding routes. There is an opportunity here to support and maintain existing modes of publishing. A more traditional form of funding will inform the pilot's earlier work streams, with smaller grants for innovative publishing routes available after this work stream. Funding should be available for more experimental forms of publishing, something that is not always explored under the REF framework. A competitive element to both forms of funding will be considered by the pilot development sub-group.

3.2.9 Any activity undertaken by the monograph group must engage with institutions, libraries and publishers. The UUK OA monograph group recognises that both authors and publishers have different perspectives on OA: some are driven by open access, others less so. The group should consider how to reach these stakeholders and to ensure how different cohorts are involved in future activities.

3.2.10 Activity undertaken by the group must be sustainable in the long-term. A full business case should also ensure that there is a rationale for the study. It should also address implications for funding in the post-pilot period. There needs to be a clear vision about where this is going, and how to make funding streams available in the long-term. A full business case should also link in with the UKRI open research strategy.

3.2.11. Institutional workloads (specifically research librarians) should also be considered when developing this activity. To manage resources at an institutional level it was suggested that a call for proposals could be circulated to HEIs. Universities would then be expected to provide a clear outline of how processes will be managed internally. This approach could also be opened up to research centres, and to publishers.

3.2.12 In order to ensure a fair spread of universities and publishers involved in future activity, institutional proposals could also be divided into 'lots' (e.g. research intensive universities, specific disciplines). Proposals would be assessed by an independent panel and a sample set of institutions (depending on the volume of EOIs received) would be selected to participate in the pilot activity.

3.2.13 The group agreed that funding will be available to all UOAs submitting to Panel C and Panel D, and that no discipline exemptions will be made.

3.2.14 The first meeting of the pilot sub-group will take place on Thursday 16 November. Its members are: Janneke Adema, Graham Stone, Nigel Vincent, Rupert Gatti, Ros Pyne, David Prosser, and Helen Snaith. The scoping document will be refined over the coming months, with a view to share progress at the next UUK OA Monograph meeting (date TBC).

> ACTION: Continue to develop a business case for monograph pilot activity

3.3 Sector Engagement (verbal update)   SB

3.3.1 At the meeting of Thursday 29 June, the UUK OA monograph group discussed proposals for a series of symposiums to take place in 2018. The symposiums will engage with key stakeholders in the sector. At the last meeting the group suggested that these events would be more useful if they were targeted at specific groups in academia, e.g. DASSH, the professoriate, and ECRs. Engagement activity should also include subject associations and learned societies.

3.3.2 SB noted that it is important to start engagement activity early next year. Subject associations should be approached in the first instance, before addressing members of DASSH, the professoriate, and ECRs. An event for subject associations could be held in early 2018. The British Academy should be able to host the event, and the synthesis report (see item 3.1) will be circulated to attendees. It was suggested that authors from legacy publishers could attend to talk about experiences of publishing monographs OA.

3.3.3 Engagement activity should ensure that we are not duplicating efforts on work that has already been carried out in this area. GS and HS noted that previous work has already been carried out. Relevant documents will be circulated to the group. Recurring themes should be added to the synthesis report.

3.3.4 The Arts and Humanities Alliance (AHA) are holding their annual meeting in January 2018. The synthesis report will be circulated at this event.

3.3.5 The Association for Research Managers and Administrators (ARMA) should also be involved in engagement activity. Their 2018 annual conference will take place in Edinburgh from Monday 4 – Thursday 7 June.

3.3.6 It was also suggested that the UUK OA monograph group provide resources (for example, pamphlets) for event attendees to take away.

> ACTION: Organise a series of symposiums for 2018, focusing on engagement with subject associations in the first instance.
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> ACTION: Source papers from previous engagement activities. Collate key concerns in synthesis report.

4. REF 2021: Research environment indicators for OA monographs (Annex D)   HS

4.1 The Forum for Responsible Research Metrics have established a working group to discuss, and make recommendations on, the use of metrics/indicators in the assessment of REF2021 environment. The working group, chaired by Professor Roger Kain, is seeking advice from the UUK monographs group, on the use of indicators in the 'Open Research' section of the REF2021 environment template. Specifically, this could look at how an institutional of UOA environment is supporting the move to OA monographs.

4.2 Members of the UUK OA Monograph group agreed that institutions do not have robust measurements that can accurately assess institutional or UOA-level support of open access monographs. Evidence submitted to the REF2021 should be auditable and it is too early to define quantitative evidence.

4.3 It was also noted that evidence-gathering for metrics/ indicators related to OA monographs may be burdensome to institutions.

4.4 Therefore, the UUK OA Monograph group have recommended that no metrics or indicators pertaining to open access monographs be included in the 'Open Research' section of the REF2021 Environment template. Institutional progress such as establishing a new University Press may be referred to in the supporting narrative of the 'Open Research' section.

5. Actions to take forward to the next meeting

5.1 Continue to add data to the synthesis report [end December 2017]. Submit to the OACG as a formal output of the OA monograph group.

5.2 Develop a full business case for pilot activity

5.3 Continue to develop engagement activity: circulate synthesis report to AHA in January 2018; organise symposium for subject associations in early 2018.

5.4 Circulate documents from previous engagement activity carried out in the sector. Assess what questions should be asked in 2018 to avoid duplication of efforts.

6. AOB

6.1 The Chair thanked members of the group for their contributions to the synthesis report, pilot activity, and plans for sector engagement. Due to an increasing number of commitments, SW will no longer be able to act as Chair for the UUK Monograph group. A succession plan is being implemented, and work will continue until the next meeting. The group thanked SW for providing such a strong steer over the last 12 months.

The next meeting will be scheduled when a new Chair is in place.