UUK OA Coordination Group

Open Access: Monographs Working Group
Terms of Reference

Executive Summary

This document sets out the proposed terms of reference for an OA Monographs Working Group, following a recommendation in Professor Tickell's independent Advice to the Minister for Universities and Science, Jo Johnson MP, and the Minister's endorsement in February 2016.

1. Introduction and background

1.1. Open Access (OA) is becoming increasingly established as an option for monograph authors, but OA has not yet got to a point where it has become widely adopted across the community as a whole. There is clear potential for greater adoption of OA monograph publishing, but – as recent HEFCE and Jisc reports have noted – significant obstacles remain.[1] Many academic monographs are still published only in print, and where online or OA publishing opportunities are available and authors are aware of them, they typically feel unable or unwilling to pursue them. Sustainable and scalable business models remain undeveloped. And legal issues around author rights, intellectual property and copyright remain contentious and unresolved. Technical barriers to the publishing, distribution and usability of online, OA books deter some publishers from establishing OA programmes. And funder and institutional OA policies and mandates to drive adoption of OA are rare.[2]

1.2. In recent years, significant efforts have been made to bottom out these issues in greater detail, and most of these areas are now well understood by publishers, policymakers and some academics. Real progress is being made to overcome many of the obstacles to OA for monographs but a clear and wide-ranging roadmap for addressing the issues has not yet been developed at an appropriate level to foster widespread cultural change among academics, learned and professional societies and monograph publishers.

1.3. This WG will work consultatively and collaboratively on a number of these areas to develop and advance a roadmap for achieving greater adoption of OA for monographs. The WG will have a distinctly practical focus, drawing on existing evidence to support its work and seeking to engage with difficult issues pragmatically.

2. Proposed objectives

2.1. It is proposed that the OA Monographs working group will be tasked to:

1. **Monitor and evaluate progress** towards OA book publishing (as a contribution to main group's annual report on OA).
   - o The WG will produce a report, annually on:
     - Volume and proportion of books being made available as OA
     - Development of new and existing options and opportunities for OA book publishing
     - How existing and new OA book publishing options meet measures of 'openness' (in terms of reusability etc.)
     - The performance of OA monographs – dissemination, circulation, citation, usage (e.g. in teaching), effect on sales of print copies etc.

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[1] Jisc-OAPEN report / HEFCE Crossick report 2015
[2] In the UK, the most prominent example is the Wellcome Trust policy on open access for books.

2. **Promote and accelerate cultural change** towards OA publishing within academia and among traditional publishers.
    o Undertake communication and engagement across all relevant stakeholders, especially via WG members, but also via learned and professional society publishers
    o Uncover case studies of successful OA practice among monograph authors
    o Locate and explore examples of how OA monographs have had a positive impact on readers, including in HE teaching
    o Produce practical tools and resources to support cultural change, including good practice guidelines and practical workarounds

3. **Advise on technical barriers** to OA publishing and make recommendations for further work and investment.
    o Advise on where (new) services could be developed to support efficiency within the OA publishing and supply workflow
    o Develop a common vocabulary for talking about open access monographs
    o Develop new common and open standards to support open access monographs throughout the whole supply chain
    o Investigate potential issues associated with the scalability of OA monographs, beyond the relatively small numbers to date.

4. **Promote innovation and diversity** in business models for OA book publishing, including potentially via encouraging support for existing pilots
    o Testing of green OA models, where possible
    o Engagement with publishers to encourage experimentation
    o Support testbeds for business models, pilots and smaller projects, where possible
    o Exploring library business models and transition costs / processes

5. **Advise on how best to overcome perceived and actual policy and legal barriers** to OA, including to funders, third-party rights holders, academic communities and publishers. This includes considerations relating to the use of 3rd party rights (including the use of images in OA monographs)

6. **Review annually whether the working group is still required** and, if not, then by unanimous agreement of members recommend to the Universities-UK OA Coordination Group that it be disbanded.

2.2 These objectives will be regularly refined and updated by the WG and in discussion with the Coordination Group.

3. Overlapping work

3.1. There are a number of projects elsewhere that have relevance to the objectives of the WG. The activities of the WG should be informed by the work of those projects and should monitor their progress, and share intelligence and resources with them where appropriate. But this WG will not have any formal governance role over these other projects, except where explicitly agreed.

- The AHRC-funded **Academic Book of the Future** project is looking at a number of issues around open access (https://academicbookfuture.org)
- The Jisc **Benchmarking New University Presses** (NUPs) project is looking at library-led initiatives and academic led presses
- The Jisc **National Monograph Strategy** has two strands exploring the development of publication platform technologies to support OA monographs and the development of a national book knowledge base
- **Investigating open access monograph services**. This Jisc project aims to develop best practice to support the development of services to enable the efficient dissemination, discovery and use of open access monographs. The project has focussed on three key areas: metadata, publisher information and green OA. Quick guides have been developed on 'publisher information on open access monographs' and 'metadata for open access monographs'. https://www.jisc-collections.ac.uk/Investigating-OA-Monograph-Services/
- **Shared print and storage study**: A new HEFCE/UKRR/RLUK/BL/Jisc/SCONUL project, investigating options for strategic management of UK book collections
- A **landscape study on OA monographs** by the Knowledge Exchange countries (Jisc lead)
- **OAPEN:** a Europe-wide programme to build a collection of OA book titles and promote OA book publishing across Europe – and the OAPEN-UK project, led by Jisc (now complete)

4. Proposed membership composition

4.1. The WG will bring together a wide group of stakeholders from a range of organisations including Jisc, Wellcome Trust, HEFCE, ARMA, the British Library, the AHRC, and the British Academy, learned societies, publishers (both new and established presses, and presses from commercial, new/old university-based, and mission-oriented backgrounds), librarians, expert organisations, and from academia.

4.2. Approximate size: 15-20 people.

5. Proposed operation

5.1. The group will meet physically twice a year, and conduct much of its business between meetings, using appropriate communication tools.

5.2. Members will be expected to participate actively in group business including meetings and, to ensure continuity, substitutes will not be allowed.

5.3. The WG will be chaired by Professor Shearer West, Deputy Vice-Chancellor and Professor of Art History at the University of Sheffield. Secretarial support will be provided by Helen Snaith, research policy advisor at HEFCE. Minutes and outputs will be shared openly on the web.

5.4. The working group does not have specific resourcing requirements beyond hosting meetings, however should a need for additional resources arise, a case can be made to the UUK OA Coordination Group for consideration.

Universities UK OA Monograph group

Membership

First name	Last name	Organisation
Alison	Jones	Oxford University Press
Allison	McCaig	ARMA
Chris	Banks	Imperial College, London
David Prosser	David Prosser	Research Libraries UK
Graham	Stone	Jisc
Hannah	Hope	Wellcome Trust
Helen	Snaith	HEFCE (Secretary)
Janneke	Adema	Coventry University
Kitty	Inglis	SCONUL
Lara	Speicher	UCL Press
Maja	Maricevic	British Library
Gary	Grubb	AHRC
Martin	Eve	Open Library of Humanities/ Birkbeck, University of London
Nicola	Ramsey	Edinburgh University Press
Nigel	Vincent	British Academy
Ros	Pyne	Springer/Nature
Rupert	Gatti	Open Book Publishers (OBP)
Roger	Kain	School of Advanced Study
Shearer	West	Vice Chancellor, University of Nottingham (Chair)
Susan	Bruce	Arts and Humanities Alliance

Consultants

Eelco	Ferwerda	OAPEN
Geoffrey	Crossick	School of Advanced Study
Michael	Jubb	Independent