UNIVERSITIES UK
OPEN ACCESS
MONOGRAPHS GROUP

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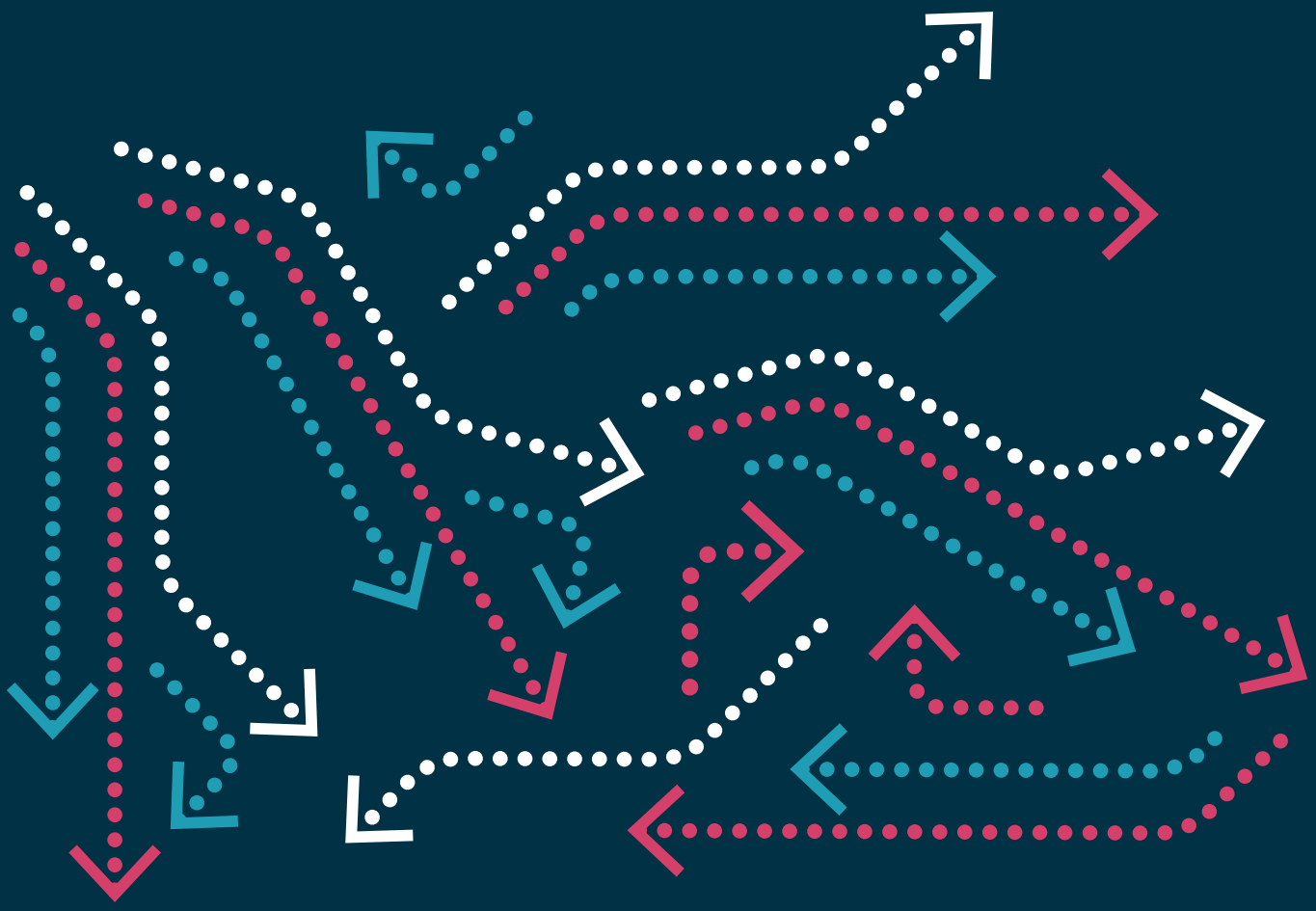
OPEN ACCESS AND MONOGRAPHS



Universities UK

OPEN ACCESS AND MONOGRAPHS
Engagement with academic and publisher stakeholders

Report of discussions
This report will inform a larger piece of work on the future of open access policy for monographs.

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BACKGROUND

In 2018, the Universities UK (UUK) open access monograph (OAM) working group embarked upon a programme of engagement activities with sector representatives. Working with the Arts and Humanities Alliance and The Publishers Association, the UUK OAM working group sought to initiate a dialogue with academic and publisher stakeholders around the current and forthcoming status of open access (OA) with respect to long-form publications.

Open access for books is very much more complex than it is for journal articles. The publishing landscape for academic books includes commercial and traditional presses, new and old university presses, as well as scholar-led initiatives and is hence far more diverse an ecology than is that obtaining for journals. In the Research Excellence Framework (REF) 2014, 1,180 unique book publishers were returned to Panel D (arts and humanities), with some 8,500 monographs submitted. And, although 46% of books submitted were published by the same 10 presses, there was a very large range of publishers among the remaining 54%.[1] A future OA policy for long-form publications needs to recognise this very diverse publishing landscape.

It is already apparent that discipline-specific requirements must be respected by any OA policy of the future, and that more restrictive licences (such as the use of the non-derivative (ND) licence) may be more appropriate for disciplines in the arts and humanities. It is also clear that long-form publication in the arts, humanities and social sciences encompasses a broad range of output type: *inter alia*, scholarly translations, editions, commentaries, catalogues and edited collections of essays, as well as the conventional single-authored monograph.

An event for arts and humanities learned societies and subject associations was held at the British Academy on 11 September 2018, and a workshop for publishers was held at UUK, Woburn House, on 4 October 2018. Over 130 delegates from 90 different organisations and institutions were in attendance across the two events. The following pages synthesise these discussions, but do not seek to reflect the views of individual participants. This report will inform a larger piece of work on the future of open access policy for monographs. The final report is scheduled to be published by the UUK OAM working group in spring 2019.

ACKNOWLEDGEMENTS:

The Arts and Humanities Alliance (AHA)[2]

The Publishers Association

The British Academy

The British Library

Research England

Universities UK

UUK open access monograph working group

1 Tanner S (2016) *An analysis of the Arts and Humanities submitted research outputs to the REF 2014 with a focus on academic books: An Academic Book of the Future Report*. London: King's College London

2 With thanks to Professor Susan Bruce (Co-Chair of the AHA) for her considerable input into the final version of this report.

SUMMARY OF DISCUSSIONS

Learned Societies

Learned societies' unique position as representatives of the scholarly community and often also as publishers allows them to engage with a broad range of stakeholders.

OA appears to be poorly understood among many discipline communities. Learned societies and subject associations could play an important role in informing their communities about developments in OA. Event attendees suggested that learned societies may wish to:

- communicate OA news and changes to OA policy to their members
- deliver workshops on OA book publishing to their academic communities
- set up a book series with a smaller press expressly to publish OA books
- flip backlist monograph titles to OA.

Publishers

One of the major challenges of OA for publishers is establishing efficient systems and workflows. Publishers might consider how to create and communicate such workflows, and/or identify where efficiencies can be made, and share their good practice with the sector.

Editors should receive training on OA processes in order to communicate these effectively to authors.

It not always clear on individual publishers' websites whether a book is available as OA. Publishers should consider how to improve the visibility of OA links.

Universities

Lack of engagement on OA and monographs from senior leadership teams in UK higher education institutions was widely noted. Pro-vice-chancellors of research and deans of faculties of arts, humanities and social sciences (or their equivalents) should take an active role in developing and communicating policy for OA books.

Anxieties around selection committee and promotions practices inhibit academics, particularly early career researchers (ECRs), from electing to publish monographs OA: they recognise that publisher prestige contributes to career advancement. Universities need actively to encourage OA monograph publication, and to make it explicit in promotions procedures and recruitment documentation that OA publication will not have an adverse effect on applications.

Universities should arrange peer support and mentoring structures, particularly to academics publishing OA for the first time.

There are opportunities for institutions to link up press officers, impact officers and public engagement officers. OA could be seen as one way to enhance international reputation.

Libraries

In the move towards OA, libraries have been a vital source of support for authors and publishers. To enhance services for OA books, libraries could consider introducing a shared central hub with information on OA books. Librarians and research support staff might also consider how to create and communicate effective workflows for OA books and/or share examples of good practice with the sector.

Librarians can work with academics who are publishing OA, highlighting important sections of documents (for example, on licensing arrangements) so that authors can make informed and educated decisions. Librarians can also work with academics to provide lay summaries of scholarly research, removing barriers to understanding.

There is a need for improved metadata and discoverability for OA books. An increase in the use of digital object identifiers (DOIs) may help with discoverability.

Funders

Funders' policies should be flexible in order to respect disciplinary differences within the arts, humanities and social sciences.

Smaller funders that sit outside the mainstream may be able to provide valuable financial resources for OA books. The benefits of OA publication should be highlighted to such funders.

Future policies for OA books should not issue an increase in workload for authors. Seed-corn funding should be made available to pump-prime new initiatives and further technical development.

PART I: THE OPEN ACCESS MONOGRAPH: WHERE ARE WE NOW?:
Opening roundtable

PANEL MEMBERS:

Professor Dame Janet Finch (Chair), Honorary Professor of Sociology, University of Manchester

Richard Fisher, Vice-President and Chair of Publications Committee, Royal Historical Society

Dr Steven Hill, Director of Research, Research England

Professor Sarah Kember, Professor of New Technologies of Communications, Goldsmiths, University of London and Director, Goldsmiths Press

Dr David Prosser, Executive Director, Research Libraries UK

Professor Nigel Vincent, Professor Emeritus of General and Romance Linguistics, University of Manchester and Fellow of the British Academy

Context

In this opening roundtable, representatives from a range of organisations provided short position statements and engaged in an open discussion with participants from the floor about the challenges and benefits of OA books. Views expressed in that discussion included the following observations.

Policy

Policy can help make more academic books freely available online. The removal of paywalls is fundamentally important to reaching as wide an audience as possible.

A monograph policy should be financially sustainable and should respect, enhance and nurture the diversity of business models and options. It should seek to maximise access to scholarly content, preserving the importance of peer review as a quality assurance mechanism. Movement towards a policy for OA monographs should progress at a considered pace.

Publishers and funders should provide support for open and accessible scholarship.

The needs and aspirations of non-affiliated groups (for example, ECRs and academics who are still actively publishing post-retirement) also need to be accommodated within a future policy for OA books.

Funding

There is no single, dominant funding model for OA monographs. An increase in the number of OA books needs to consider issues of scalability and funding. According to a study by Eve et al. (2017), it would cost an estimated £20 million a year to publish 75% of the monographic submission output OA for the next REF.[3] The figure of £20 million refers to the price of making a monograph OA, not the cost: charges (and business models) vary from publisher to publisher.[4] UK funding bodies need to consider how this level of funding might be made available. Dedicating a £20 million fund for book processing charges (BPCs), for example, would not impose pressures on publishers to be efficient and cut costs.

3 Figures are based on the number of monographs submitted to REF 2014. Costs assume a gold OA model charging £7,500 per book.

4 For example, in the UK, Cambridge University Press charges £9,500 +VAT; Manchester University Press charges £9,850 +VAT; Open Book Publishers do not charge author fees; UCL Press charges approximately £5,000 (but has a waivers for these fees); and Ubiquity Press charges £4,480–£6,900.

The former Research Councils UK (RCUK) OA block grant currently allocates £14 million a year to UK higher education institutions to support OA activity. A significant portion of library budgets is spent on journal subscriptions, whose inflated costs have consequences in reductions in the amount of monies available in university acquisition budgets for buying print or digital monographs.

Publishing

Thus far, there have been two main business models that have successfully increased production capacity for OA books. There are BPCs and Knowledge Unlatched, which uses a crowd-funding model (paid for by libraries) to 'unlock' OA titles. Knowledge Unlatched is an example of a non-BPC model that has successfully made a large number of monographs available via OA.

Consumer preference for a physical version of an academic book has proved advantageous to monographic OA business models, as demand for print copies provides a revenue stream for publishers that can exist alongside, and hence subsidise, OA production.[5]

Disciplinary perspectives

Creative writing is a practice-based research discipline. It is not proposed that creative writing outputs will be in the scope of the REF OA monograph policy.

The question of third-party rights is one of the fundamental challenges to OA in the arts and humanities. Many academics (particularly art historians and archaeologists) need to reproduce illustrations, photographs and other materials in their scholarship. Music outputs also depend on the acquisition of third-party rights, and there can be multiple rights owners to a single line of a music score. The inclusion of third-party sources should not be compromised in any move to OA. Conversion to OA may have financial implications for the inclusion of third-party sources.

Digital versions of publications sometimes include redactions where third-party consent has not been obtained. Redacted versions are still of value to the academic community (and to the public). They enable discoverability of scholarly content, and may prompt readers to seek out the full, non-redacted version.

There is a lack of consistency in the policy of providers (such as museums and galleries) with regard to permissions for the reproduction of some non-text sources. Publication rights are normally time limited (for example, three to five years), and renewal of rights may be costly and burdensome for OA publications.

Some US art museums are making their image collections freely available. Might UK public bodies follow suit for academic re-use?

The ability to adopt more restrictive licences (such as ND licences) is endorsed by many arts and humanities academics, who believe theirs are disciplines in which form of expression is as important as, and sometimes indivisible from, content. Particular ethical issues obtain in this regard in some disciplines, for example in oral history and ethnography.

5 Snijder R, Ferwerda E, Arpagaus B, Graf R, Krämer D, Moser E (2018) OAPEN-CH – The impact of open access on scientific monographs in Switzerland. A project conducted by the Swiss National Science Foundation (SNSF).

Infrastructure, discoverability and preservation

The UK publishing industry produces world-leading arts and humanities research and has a leading role to play in establishing policies for OA and monographs. Publishing excellent scholarship is an international endeavour: a UK-specific policy solution to infrastructure needs the collaborative way in which scholars work. However, it is difficult to set up systems that have complete international buy-in from the start.

Discoverability is a challenge for OA outputs. The infrastructural mechanisms supporting global discoverability – especially in institutional library contexts – are neither cheap nor easy to establish.

Infrastructure that facilitates the archiving of interactive material also needs further development.[6]

Archiving and preservation of academic books (including OA and non-OA) are critical, and a robust infrastructure needs to be in place to ensure digital outputs are preserved. UK publishers have a legal requirement to deposit a copy of their books in the British Library. Around 85% of the books that were submitted to the REF 2014 are available in the British Library.

Efficient processes for making books OA should be shared with the wider community. Good practice should be embedded into the workflows of publishers, libraries and authors.

Role of learned societies

The production of peer-reviewed, high-quality work requires labour – from authors, peer reviewers, editors and others. Outputs are peer reviewed by academics at little or no cost, but some of the labour necessary to produce high-quality, peer-reviewed work needs to be done by paid professionals. These services, provided by publishers and learned societies, are valued by the academic community.

Open access publications can require more time commitment from publishers and editors than do conventional print publications.

Other comments on the role of learned societies included these suggestions:

- Set up a book series with smaller publishers expressly to achieve new OA publications.
- Institute a quality and reassurance role in the scholarly community. For example, a role could be devised to ensure the quality of digital content, such as for books that contain multimedia content.

Book reviews

Books reviews are an important component of the publishing process. This is often done pro bono: the physical volume is often the only reward for the reviewer. It is important to keep this incentive. Some OA publishers (for example UCL Press) provide book reviewers with digital and print copies of a manuscript, and many reviewers see the provision of a print copy as remuneration for a review. Failure to offer a print copy to reviewers may deter academics from reviewing new publications. Publishers may wish to confirm the preferred format with reviewers. Notably, the reviews themselves are often published behind a paywall.

6 Material that interacts with other websites and databases

PUBLISHER PERSPECTIVES

PANEL MEMBERS:

Anthony Cond (Chair), Managing Director, Liverpool University Press

Lara Speicher, Publishing Manager, UCL Press

Ros Pyne, Director, Open Access Books, Springer Nature

Charles Watkinson, Director, University of Michigan Press

Dr Rupert Gatti, Co-founder and Director, Open Book Publishers

Context

The panel heard representatives from four different presses discuss their experiences of publishing OA books. Panel members discussed their publishing models, and OA is typically funded. They also discussed the main barriers to publishing OA, and considered the ways in which academic needs can be met when publishing OA books.[7]

UCL Press

UCL Press was established in 2015 to ensure the widespread dissemination of scholarly outputs by allowing readers to access research all around the world at no charge. UCL Press supports monograph publishing in the arts, humanities and social sciences, which historically receive less funding than science, technology, engineering and mathematics (STEM) subjects. All books are evaluated by an editorial board and undergo peer review; all are copy-edited and typeset. UCL Press accepts manuscripts from authors from any institution.

Summary of discussion

UCL Press publishes around 40 books a year, and has published 90 OA books to date. Its OA list includes traditional and short monographs and edited collections in both PDF and browser-based forms, the latter through platforms including JSTOR, OAPEN, Google Play, Google Books, unglue.it and Word Reader. All OA publications are also simultaneously made available for purchase in print.

As of September 2018, UCL Press had 1,400,000 downloads of its books worldwide (typically around 10,000–20,000 downloads per title). *How the World Changed Social Media* (Miller et al., 2016) is UCL's most downloaded title, with 258,171 downloads since March 2016. The book has sold over 400 print copies.[8]

Print copies sell 100–200 copies in their first year of publication. Around 78% of sales are in paperback.

BPCs start at £5,000, but there are no BPCs for UCL authors, and in addition, some waivers for external authors' fees exist. Where made, charge covers the costs of peer review, editing, proofreading, typesetting and e-book conversion. There are also print copies, and these are sold at a reduced rate.

Feedback from authors who have published with UCL Press has been positive. Authors have established new relationships with scholars from around the world, relationships that may not have happened if the author's book had not been published OA.

UCL invests in UCL Press to encourage the effective publication and dissemination of research. It does not expect UCL Press to fully recover its costs.

7 Publisher slides from the learned societies event can be viewed on the UUK website.
8 Miller D, Haynes, N, Venkatraman S, Spyer J, Sinanan J, McDonald T, Costa E, Nicolescu R,Wang X (2016) *How the World Changed Social Media*. London: UCL Press

Springer Nature (Palgrave Macmillan)

Palgrave Macmillan is part of Springer Nature. Its OA book programme was launched in 2013 and offers OA publication for monographs, edited collections, conference proceedings, short-form books and OA chapters within books that are otherwise closed access. All electronic versions (HTML, E-Pub, PDF and Kindle) are made available OA. All books published OA are also available for purchase in print form.

Summary of discussion

Springer Nature has published more than 550 OA books and 220 OA chapters in closed-access books, representing around 2% of its overall OA programme.

Open access fees are £11,000 for a monograph, £7,500 for a short-format book and £1,600 for a chapter in a hybrid book.

Print copies are sold at a reduced rate (around the £20 mark) in recognition of the fact that many of the costs have been covered by the BPCs.

In a recent study, Springer Nature found that OA books received seven times more downloads than non-OA books and, over a four-year period, 50% more citations and 10 times more online mentions.[9]

The Creative Commons attribution licence is the default licence, but Springer Nature recognises that different disciplines and particular books (especially in the arts, humanities and social sciences) may require a difference licence.

Benefits for authors of OA book publishing include the potential to:

- reach a wider audience
- raise the profile and enhance the impact of their work
- address the issues of equal access to knowledge

Open access can provide a route to publication for works that may not be viable under a traditional publishing model.

Major challenges of OA for publishers are systems and workflows, which must shift to accommodate OA from commissioning through to publication. Internal education is crucial to OA publishing.

Challenges for authors include:

- lack of funding
- concerns about perceptions of OA
- concerns about intellectual property
- a general lack of understanding about OA and OA licensing
- third-party rights

If an OA monograph includes third-party material, then Springer Nature will negotiate on behalf of the author in order to secure permission for re-use. Third-party material may be put under copyright in the OA version. Anyone else seeking to re-use the material would need to seek permission from the rights holder.

9 Dr Rupert Gatti's response to the Springer Nature report highlights some of the challenges in analysing book usage data: see https://rupertgatti.wordpress.com

University of Michigan Press

The University of Michigan Press has been publishing OA books for over a decade. Open access monographs are ethically aligned with its mission to maximise access to scholarly works. Open access may offer an alternative source of income, as the press is losing money on most of the non-OA books it publishes.

Summary of discussion

The University of Michigan Press publishes about 100 monographs a year, 15% of which in 2017 were OA. It also has an OA backlist of around 1,200 books, most being on a gratis rather than a libre basis.

The press is involved in a number of OA ventures, such as Digital Culture Books, Lever Press and the Towards an Open Monograph Ecosystem (TOME) initiative. The press also subscribes to Knowledge Unlatched.

Digital Culture Books was a joint initiative between the Press and the University of Michigan library in 2006. It follows a 'freemium' model: books are free to read online but payment is required for a downloadable e-book or print copy. Sales vary on a title-by-title basis: with 60 books published under a freemium model, the press appears to break even.[10]

Lever Press is a venture initiated by a group of liberal arts colleges that have adopted a consortial OA model. Fifty-four institutions (varying in degrees of wealth) each contribute money to support Lever Press. The smallest institutions (based on their acquisitions budget) contribute $2,000 a year, and the largest $8,000 a year. The group hopes the venture will help address the potentially exclusionary aspect of a BPC model on scholars at smaller institutions.

TOME is targeted at large, wealthy US institutions. It is a five-year pilot programme with 14 institutions. Each member commits to paying $15,000 a year for three members of tenured staff to publish under a gold OA model. The first three books to be funded via TOME have recently appeared at online. A further 50 books are pending publication.

The 2016, the University of Michigan Press, working with Open Book Publishers conducted a study, Mapping the Free EBook Supply Chain,[11] which looked at how readers discover, acquire and use OA books.

Challenges for the University of Michigan Press include funding and discoverability for OA books.

10 This covers the costs of production, not the overheads.
11 Supported by $28,000 from the Andrew W. Mellon Foundation.

Open Book Publishers

A scholar-led initiative, Open Book Publishers (OBP) was founded in 2008 by Cambridge academics Dr Alessandra Tosi and Dr Rupert Gatti. It is a non-profit organisation publishing across a range of different disciplines. All books published at OBP undergo peer review, copyediting, proofreading, marketing and distribution (for both digital and printed works). Editions are available as a free PDF, via HTML and for sale via print on demand.

OBP is a member of the Radical OA Collective, a group which seeks to drive forward innovative ways of disseminating new, high-quality research.

Summary of discussion

OBP has published around 130 titles all under various Creative Commons licences (most typically CC BY).

Online versions often include multimedia functions (for example, embedded music).

Production costs for an OA book are just over £3,500 with overheads of around £1,500, totalling an average of about £5,000. Sales revenue covers around £1,200, leaving £3,800 to be covered through alternative means.

OBP does not charge authors to publish OA. They rely on three main sources of revenue: sales revenue, grants from authors and library memberships. Sales revenue from printed works comprises about 40% of OBP's revenue. Approximately 60% of authors bring some grant funding with them, while around 30% provide funding for the full publishing cost themselves. University libraries in developed countries can become members at a cost of £300 a year, and approximately 120 libraries have signed up to date.

OBP also receives grants and donations (including donations from individuals) and benefits from cheap office accommodation at Cambridge University.

An important part of the OBP business model is to drive down the costs of publishing a monograph OA. As 90% of proofreading, editing, copyediting and typesetting is carried out in-house, these costs are covered by salary. Around £35,000 a year is spent on printing hard copies.

OA offers opportunities to increase readership, and to publish content beyond traditional text and images. Digital formats offer innovative ways of engaging with research, researchers and other readers.

There is a role for academics in developing new ways of identifying high-quality content; scholarly societies can also contribute as independent, third-party, scholarly focused organisations.

AUTHOR PERSPECTIVES

PANEL MEMBERS:

Professor Roey Sweet (Chair), Director of Partnerships, Arts and Humanities Research Council (AHRC) and Professor of Urban History, University of Leicester

Professor Vieri Samek-Lodovici, Professor of Linguistics, University College London

Dr Caroline Warman, Associate Professor and Zeitlyn Fellow in French, Jesus College, University of Oxford

Dr Katherine Foxhall, Independent scholar, former lecturer at the School of History, University of Leicester

Context

The second panel heard from a range of authors from different stages of their academic careers, discussing their experiences of publishing an OA book. Panel members discussed how they found the process of publishing OA, highlighting challenges, benefits and any lessons learnt.

Professor Vieri Samek-Lodovici, Professor of Linguistics, UCL

A theoretical linguist, Professor Samek-Lodovici investigates the underlying structure of human language. He is particularly interested in the presence of conflicts between grammar constraints and their implications for the theory of human grammar. Professor Samek-Lodovici has published extensively. *The Interaction of Focus, Givenness, and Prosody: A Study of Italian Clause Structure* was published OA with Oxford University Press in 2015 at a cost of £9,500, which was covered by UCL.[12]

Summary of discussion

Professor Samek-Lodovici's primary motivation for publishing OA was to maximise dissemination. A link to the OA version can be placed on platforms such as ResearchGate and Academia.edu, improving discoverability.

There were some drawbacks in the OA publishing process. *The Interaction of Focus* was one of the first OA monographs that OUP published, so there was not an established workflow process at OUP, which caused some delay. Professor Samek-Lodovici noted that for him, OA had also incurred an extra administrative burden, and he advised that it is important to ensure in any move to OA that change does not turn into an increase researcher workload.

Professor Samek-Lodovici's monograph had been published under the strictest licence, CC BY-NC-ND. UCL's library services provided him with a licensing and copyright document prior to publication. He recommended that library services highlight important and significant sections of such documents so that academics can make informed decisions.

Professor Samek-Lodovici also recommended that the visibility of the OA link on OUP's web page be improved. Those looking to purchase the book may not realise it is OA: the visibility of the OA link is something that universities or authors may wish to negotiate with publishers, where possible.

Professor Samek-Lodovici was informed that by publishing OA, he could be giving up between £4,000 to £5,000 in royalties. He was happy to proceed with an OA model for his monograph, despite the potential loss of income.

12 The university would not be likely to cover these costs if they were requested now. In 2017, four monographs were made OA through the UCL fund, which is a fund of around £30,000 designed specifically to support arts and humanities researchers.

Dr Caroline Warman, Associate Professor of 18th Century French Literature, University of Oxford

Dr Warman's research interests include clandestine and libertine writing, Sade and the history of materialism in the 18th and 19th centuries. In 2015, Dr Warman became involved in an OBP book project, *Denis Diderot 'Rameau's Nephew' [and] 'Le Neveu de Rameau'*, a collaborative, multimedia edition (featuring links, images and musical scores. The book has now been republished with additional resources. It has also been translated into German, and is available in print.

In 2016, Dr Warman published a second OA book, *Tolerance: A Beacon of Enlightenment*, a collection of 18th-century writings translated from French.

Summary of discussion

Following the Charlie Hebdo attacks in 2015, the Société française d'étude du dix-huitième siècle (The Society of Eighteenth Century Studies in France) collated an anthology on topics such as tolerance, liberty and free speech.[13] The anthology was then translated by Dr Warman and second-year undergraduate students of French at the University of Oxford, a project involving 116 contributors. The English translation was published in January 2016, 12 months after the attacks took place. Since publication, it has been downloaded and viewed more than 30,000 times.

The book was published by OPB. The British Society of Eighteenth Century Studies contributed towards production costs.

The collaborative nature of the project, and the immediate and worldwide free dissemination of the anthology were both seen as positive attributes of OA publication. Download statistics show that the book has been downloaded across the world, including in Somalia, Ethiopia and Russia.

The strong support and steer from OBP also enhanced the two OA books. Dr Alessandra Tosi (co-founder of OBP) had suggested extra links, pictures, information and maps.

Additional support structures, such as a central hub or a website for information on OA, would be useful for academics. Peer support from academic colleagues would also be helpful.

Dr Katherine Foxhall, Social Historian, Independent Scholar

Dr Foxhall's OA monograph on the history of the migraine is due to be published in early 2019 by John Hopkins Press. The cost of the OA monograph, covered by the Wellcome Trust, is $17,500. Dr Foxhall's book includes around 25 black and white images and is about 105,000 words long. Dr Foxhall was approached by John Hopkins Press about her book project; initial discussions started before Wellcome updated its OA policy to include monographs.

Summary of discussion

Dr Foxhall noted that scholarly outputs should be accessible to a broad range of audiences – not just in physical form, but through narrative and writing style. Blogs, social media accounts, articles for *The Conversation*, working with can all help bridge gaps between academia and the public.

There have been some challenges around the inclusion of third-party images in Dr Foxhall's book. For example, one press owned the copyright of one image that Dr Foxhall wanted to use and refused permission to reproduce it either under a Creative Commons licence or for a fee.

Dr Foxhall considered how authors might juggle their own competing and conflicting priorities. These include a desire (ethically and/or politically) for publications to reach particular audiences beyond the academy, REF requirements, and the commercial contexts of some publishers' business models, all of which may have implications for academics, particularly those in the early stages of their career.

13 *Tolerance. Le combat des Lumières*

Departmental support, virtual support and one-to-one mentoring (particular from those in a senior position who have published OA) would be valuable. Universities should create OA leads with responsibility for supporting colleagues attempting OA book publication. Good communication between academics, institutions and funders makes the OA publishing process more efficient and less burdensome. Short-term employment contracts can cause difficulties, particularly regarding payment of OA book charges.

There are established workflows in place for paying APCs for journals; however, the same processes have not yet been established to pay BPCs article processing charges (APCs) for monographs.

Moreover, contracts for OA books often work very differently for books than for journals: for example, contracts from funders and publishers may need to be revised (as Dr Foxhall's was) in order to meet OA policy requirements.

Dr Foxhall recommended establishing a central OA hub for academics. This hub could include information on publishing OA, links to OA websites, lists of OA publishers and their terms and conditions, definitions of different types of licences, links to reports and policy papers, and details of funders who might support OA publishing charges.

Open access is often perceived as something that is 'done' to research after it has been written, but OA provides an opportunity for creativity that can shape how authors write from the beginning of a research project. Digitisation creates opportunities: for example, hyperlinking references and material, reproducing images in high resolution colour and incorporating film and music clips within text.

FACILITATED DISCUSSION 1:
Business models for OA monographs

DISCUSSION LEADS:

Professor Martin Eve, Professor of Literature, Technology and Publishing, Birkbeck, University of London

Dr Rupert Gatti, Co-founder and Director, Open Book Publishers

Context

Participants were asked to consider the different business models available for OA books, and to imagine ways in which these models might be afforded. They were also asked to consider the implications of 'green' OA for OA books.

Summary of discussion

In our discussions regarding the affordability of OA books, we should consider whether or not the conventional print monograph is affordable in the first place. The landscape of book publishing has altered over the last few years, with a number of acquisitions and mergers taking place (for example, Springer Nature acquiring Palgrave Macmillan), and some presses going out of business, such as AMS Press.

Academics value the services publishers provide. Some small learned society publishers may be the only appropriate outlet for niche scholarship. We need a publishing ecology in which such publishers can flourish if we are to ensure the health of specific disciplines.

High BPCs are seen as a barrier to OA, particularly if paid for by a single institution.[14]

US consortium models (such as Lever Press and TOME) distribute funding for OA books, thus ensuring that individual institutions do not have to bear the burden of high BPCs. In the UK, the White Rose University Press is the UK's first jointly run university press, and is dedicated to publishing digital OA outputs (including books). There has been a rise in the number of new university presses across the UK, with 10 established in as many years.

Sales for academic monographs tend to peak within the first two years after publication. Sales may reduce and level off after this peak, remaining at a steady rate in following years. It is possible that BPCs could be reduced if a monograph was made OA two to three years after its first publication date.

Some participants believed that 'green OA', where an author publishes in a journal and then archives the article themselves in a freely accessible institutional or specialist online archive was better suited to journals than long-form publications; others noted that green OA may be 'better than nothing' even if the version of record (VoR) were a redacted version (without images, for example).

14 For example, a 2016 Ithaka study, *The Cost of Publishing Monographs: Towards a Transparent Methodology*, found that costs for publishing OA in university presses in the US varies widely, from a low of $15,140 to a high of $129,909. Footnote 3 in this report provides examples of publisher BPCs.

FACILITATED DISCUSSION 2:
Disciplinary perspectives on OA monographs

DISCUSSION LEADS:

Professor Geoffrey Crossick, Distinguished Professor of the Humanities, School of Advanced Study, University of London

Professor Rick Rylance, Dean of the School of Advanced Study, University of London

Context

Participants were asked to consider what they considered to be were the discipline-specific challenges and/or opportunities with OA monographs, and specifically to think about whether and how such challenges might be addressed during policy development. They were also asked whether there is a need for policy exemptions, and if so, what for.

Summary of discussion

Participants noted that digital publication brought opportunities for many disciplines. Print versions might be enhanced by the ability to see clips and hear soundtracks and music when reading research on dance, film or music; digital reproduction could also offer the opportunity to interact with some forms of data and evidence. Digital versions provide possibilities for disciplinary development. This goes beyond the OA principle of wider dissemination of scholarly works.

Open access has the potential to affect small disciplines both negatively and positively. Small disciplines may find it difficult to mobilise resources to pay for OA. On the other hand, OA might extend the reach of hitherto niche disciplines: for example, dictionaries of endangered or minority languages might be accessed worldwide, rather than only by a small group of researchers in relatively wealthy higher education institutions that can support specialist resources.

Open access can provide citation issues for arts, humanities and social sciences (AHSS) disciplines wherein academics must cite page numbers of works referenced. If multiple versions of a text are produced (for example, if the author-accepted manuscript is published under a green OA model), this problem is compounded.

AHSS disciplines, where form is often indivisible from content, are likely to require the adoption of more restrictive licences than those commonly adopted by STEM subjects (CC BY-NC-ND). There are particular issues in this regard for disciplines such as ethnography and oral history, where the quotation of precise words is fundamental to the ethical practice of the discipline. The latitude allowed by the CC BY licence would constitute plagiarism in many AHSS disciplines.

Creating a list of exemptions to resolve discipline-specific issues (such as those listed above) should not serve as discouragement to OA and to new routes to open scholarly communications that the sector may wish to support.

FACILITATED DISCUSSION 3:
OA monographs and the academic career path: from postgraduate to the professoriate

DISCUSSION LEADS:

Professor Jane Winters, Professor of Digital Humanities, School of Advanced Study, University of London

Dr Janneke Adema, Research Fellow, Centre for Digital Culture, Coventry University

Context

Participants were asked to consider whether perspectives on OA books differ across the academic career path, and to identify challenges, barriers, benefits of and incentives to a move to OA books. How is OA perceived in the recruitment and promotions process?

Summary of discussion

There is a lack of awareness about OA; where there is awareness, it is frequently accompanied by anxiety.

There are varying levels of concern about making a PhD OA and what this means for a postgraduate researcher's ability to publish work derived from their thesis at a later date. UK arts and humanities scholars in the UK often publish adapted PhD theses as their first monograph, while scholars in some European countries publish a thesis as something very different to an academic first monograph (both of which can then be OA).

The international landscape should be considered more broadly: current discussions on OA policy for monographs have only concerned UK researchers working in the UK.

The precarious nature of academic contracts is an ongoing issue, and affects ECRs in particular. All academics need support and investment from their institutions, but this is particularly difficult for ECRs on precarious and temporary contracts.

During the recruitment process, appointing panels rely on place of publication as a proxy for assessing the quality of work. Some participants also consider that the date when something is published is important, depending on REF cycles.

Institutions often use publisher prestige as an indicator of quality in promotions procedures and REF submission selection. Such processes may consciously or unconsciously privilege more traditional print publication from prestigious publishers over OA publications, especially if the latter are published with newer, less well-known publishers.

There is a perception that mid- and late-career scholars may be resistant to OA publication, although many academics who have published OA are high-profile, late-career researchers.

There needs to be clarity about what OA books (and OA publishers) look like, as at present there is a real danger of *bona fide* OA publishers being confused with predatory publishers, especially in the case of ECRs.

There is a role for learned societies in an OA landscape: for example they can help deliver training to academics, possibly through a consortium. Academic communities should actively set standards for OA publications.

FACILITATED DISCUSSION 4:
OA monographs and the university

DISCUSSION LEADS:

Chris Banks, Director of Library Services, Imperial College London

David Prosser, Executive Director, RLUK

Context

Participants were asked to consider whether perspectives on OA monographs differ across parts of the university. They were also asked to consider the role of the New University Press (NUP) and to discuss whether different kinds of higher education institutions perceive the benefits and challenges of OA differently.

Summary of discussion

Perspectives on OA books appear to differ across different levels of institutions. Senior university staff are perceived to lack understanding of publishing drivers, processes and business models, and managers with STEM backgrounds may not understand that AHSS disciplines may have discipline-specific concerns about OA publication. Changes to senior management teams – for example, if an AHSS pro-vice-chancellor for research leaves and is replaced by a pro-vice chancellor from a STEM background – can cause uncertainties about the support structures for AHSS researchers.

Support and engagement from senior staff are crucial to inform policy-making decisions. Policies should not be used as management tools; rather, higher education institutions (and funders) should seek to incentivise academics to publish OA.

Universities have an obligation to maximise the dissemination of research. Open access offers opportunities for public engagement and impact agendas, which have clear overlaps with access to information.

The one-size-fits-all approach to OA in a broad discipline landscape does not take account of the commercial element of AHSS disciplines. In the hard sciences, intellectual property can be derived from research outputs and commercialised separately. In the humanities, the research output and commercial product are inextricably linked, through publisher sales and author royalties.

The number of new university presses has risen over the past few years, expanding the opportunities for academics to publish OA. New university presses are often formed underneath a trusted 'brand' (i.e. the university), but need to establish themselves as reputable publishers by ensuring that their publications undergo a rigorous peer-review process.

There appears to be a preference among academics to publish with a large publisher rather than their own university press.

Some larger UK publishers and learned society publishers pay for peer review and for some editing services, whereas new university presses rely on goodwill. There may not be enough free academic labour to cope with this.

The ecosystem between a higher education institution and its university press is sensitive, and funding mandates have the potential to disturb part of that ecosystem.

Different types of higher education institution tend to perceive OA differently. There appears to be a focus on Russell Group institutions in discussions about OA books.

Institutions (and funders) need to engage with author perspectives of OA publishing in order to produce effective policies and efficient workflows.

FACILITATED DISCUSSION 5:
Publisher models and learned society perspectives

DISCUSSION LEADS:

Dr Frances Pinter, Research Associate, London School of Economics

Dr Graham Stone, Senior Research Manager, Jisc

Context

Participants were asked to identify the opportunities and challenges of OA books for scholarly societies and for publishers, librarians and other stakeholders. They were also asked to consider how OA books might affect the readerships and audiences for scholarly work.

Summary of discussion

The needs of different learned societies reflect the needs of their different disciplines. The scale of the discipline and/or the learned society has an effect on the kinds of programmes it can engage in. There is 'no-one-size-fits-all' model.

In the case of many learned societies that also publish, it is generally understood that journals subsidise the costs of monographs. There are concerns that BPCs may not replace entirely the income received from sales.

Financial arrangements between publishers and leaned societies differ across the board. For some learned societies, it is not clear how their income is broken down between books and journals.

Non-mainstream funders do not adequately understand the mechanics of book publishing (especially OA book publishing). Participants recommended educating these funders about the benefits of OA.

Print-on-Demand (PoD) provides a source of revenue for learned societies and publishers. This saves costs previously used to warehouse books and write off stock. This may be particularly beneficial for books with unpredictable sales patterns.

Open access books are often not adequately advertised on websites. Considering how to make OA books discoverable in workflows and on publisher websites is still not commonplace.

The ability of OA books to reach non-Western audiences, particularly those in the Global South, was welcomed as a huge benefit.

Learned societies and subject associations can play a useful role in communicating information about OA book publishing. Participants suggested that learned societies could:

- produce a simple guide on OA book publishing
- work with organisations such as ALPSP and Jisc to set up a support service for academics publishing OA
- work with publishers to flip backlist titles to OA
- share relevant OA titles with their communities.

CLOSING COMMENTS

PANEL MEMBERS:

Professor Roger Kain, Professor of the Humanities, School of Advanced Study, University of London

Professor Martin Eve, Professor of Literature, Technology and Publishing, Birkbeck, University of London

Professor Geoffrey Crossick, Distinguished Professor of the Humanities, School of Advanced Study, University of London

Professor Jane Winters, Digital Humanities, School of Advanced Study, University of London

Chris Banks, Director of Library Services, Imperial College London

Dr Frances Pinter, Research Associate, London School of Economics

Context

Facilitator discussion leads were invited to offer their thoughts on the future of OA publishing for academic books. The following is a synthesis of their feedback.

The decision made by the four funding bodies to move towards an OA monograph policy has stimulated the sector into thinking about how this might be implemented in a sustainable and viable manner. However, there has been little engagement from institutional leadership so far.

Stakeholders require further clarity on who is leading on policy for OA monographs in the UK.

The four higher education funding bodies may want to consider developing a policy that requires a percentage of submissions to be made OA in the REF following REF 2021. This could eliminate the need for exemptions.

Seed-corn funding should be made available for new initiatives in OA publishing, and to further technical development.

Open access does not appear to reduce print sales for monographs.[15] The premium model offers a basic service, whereby the book is available OA, with a premium print version available (at a cost) with enhanced features. The premium model allows publishers to sell print copies, with an OA version to augment the hard copy, and potentially generate more sales.

Metadata and discoverability need to be improved for OA monographs. Using a DOI for books and book chapters may help.

Institutions may wish to consider the opportunities presented by OA. For example, making excellent research openly available may enhance a higher education institution's international reputation. Institutions may also wish to link up press officers, impact officers and public engagement officers to share positive messages about OA.

15 OAPEN-CH – the impact of open access on scientific monographs in Switzerland is a project conducted by the Swiss National Science Foundation (SNSF), April 2018.

Research librarians may also wish to work closely with academics to produce lay summaries of scholarly research, thus addressing barriers to understanding.

Many concerns around recruitment and promotional procedures are not directly caused by OA publication. Rather, they are born out of concerns around internal university procedures. The San Francisco Declaration on Research Assessment (DORA) seeks to address these concerns, calling for higher education institutions to be explicit about the criteria used to reach hiring, tenure and promotion decisions.

Funders should consider how a future policy for OA books may affect some researchers more than others.

Open access is shedding light on publishing, and the misunderstandings of the publishing process.

PART II: OPEN ACCESS MONOGRAPHS:
Workshop for publishers

Opening remarks

The concept for the planned workshop for publishers was to discuss and inform various aspects of OA policy for monographs from a publisher's perspective. The aim of the workshop was to provide a space in which to discuss:

- adherence to the goals and principles of OA
- financially sustainable publishing models
- publishing quality
- approach(es) that meet the needs of all subjects and disciplines
- author choice

Opening remarks from William Bowes, General Counsel and Director of Policy at The Publishers Association

Open access has been an emotive topic for around a decade, irrespective of which side of the fence you sit on. Those wishing to move OA further and faster feel frustrated, while those believing existing models have brought great benefits feel misunderstood and under attack.

It is for this reason that we organised a workshop on OA books: an opportunity for technical, detailed discussion about OA and the policy conditions necessary to create the best academic books to take place.

Open access is a wonderful and noble initiative. In a world of mistrust and poor-quality information, our country is championing science and committed to infusing our public discourse with better access to high-quality, scholarly content.

All books and journals have a social purpose, academic ones in particular. It is therefore absolutely right that the UK government is both committed to science, research, and learning, and interested in how publishing systems and companies work. The government is also right to ensure that its people can access the content they helped to fund, and that they are seeing value for the money they are investing.

What is troubling, however, is not the ideal but the method. In particular, a trend is emerging that equates the public imperative to ensure access to academic research, with a publicly mandated plan for its production. Put another way, in order for the UK to be the best place in the world to conduct academic research, it must also be the best place in the world to publish such research.

Acknowledging the principle but questioning the means is not an attack on OA. Indeed, if you want a policy to succeed, you must be profoundly interested in how it can work in practice, not just how it sounds in theory.

Open access needn't become a choice between quality, academic freedom and increased readership. By working together, we can have all three. This workshop is designed to be an opportunity to do just that. Airing concerns, challenges and thoughts is encouraged. Particularly as the OA debate is largely dominated by journals, this workshop explores whether the norms and models developed for one format can work for another.

The role of a good academic press

This discussion considered the role of publishers and publishing skills in the creation of long-form research content and attempted to identify the important things to retain from a traditional publishing approach with those areas that could be reformed. Discussion points include the following:

- How do academic publishers leverage their experience and knowledge to work within the academic ecosystem to enhance, frame, refine and improve academic research?
- What concerns do people have, and what exemptions may be needed if a policy were to come into force?
- What new models are being proposed in the public, private and third sector?
- What would happen if we agreed a minimum viable product approach to the output?

Summary of discussion

It is challenging to speak about monograph and long-form publishing in the broadest sense and to account for the diverse set of practices and nuances within the sector. There is no one-size-fits-all model.

Significantly, the experience, expertise and services that publishers have are crucial to the publishing experience, and are highly valued by the academic community. Publishers act as editors and curators, and play a key role in dissemination. Global distribution, for example, is an area in which publishers (and aggregators) can provide significant reach for academic authors.

The curatorial aspect in particular is key for small, discipline-specific publishers (for example, in linguistics, archaeology, anthropology and political science) and both supports and promotes niche areas of research. These presses play an important role in the publishing ecosystem. Delegates noted that OA had the potential to affect (or lose) the unique selling point of subject-specific publishers.

Building (and sustaining) a positive reputation is also important, with a stamp of quality associated with the 'brand' a press adopts. Some academic publishers also have a greater focus on author care, and perceive this as their unique selling point – one of their aims is to nurture and develop authors.

One of the biggest challenges in making an academic books OA is the associated cost (and price). There needs to be more solutions available to support the costs of BPCs, and new models need to work for different types of presses, including commercial, legacy, new university and scholar-led initiatives. Current funding systems are not developed enough to work at scale.

Publishers (and authors and funders) may wish to consider minimum viable product (MVP) options as part of policy development. MVP is a difficult term to define in this context. For example, it could be interpreted as making a 'basic' version of the work available free of charge. It can also be an author self-publishing online, although this is generally not seen a 'viable' option.

Both the scholarly and the publishing communities need to ensure that OA digital outputs are not perceived as being of lesser value than their non-OA counterparts.

Defining the monograph

This discussion aimed to identify what we mean by 'monograph' and 'long-form publishing outputs' and why these are different from short-form outputs, both in terms of how they are created and how they are read. This workshop also considered the form of these different publishing formats, and what the OA policy position should be for monographs, collected essays, editions, translations and catalogues, and so on. Where is the line drawn between a 'scholarly monograph', and reference or trade non-fiction?

Summary of discussion

It is difficult to define a work as a monograph before it is produced. Research may evolve and adapt over time, and an output that was originally intended as an academic monograph may transform into a work with a broader appeal, evolving into a trade book, or a crossover book. There is a blurred line between the monograph and the trade book, and any policy for OA academic books should define these outputs in order to convey what is in (and out of) scope of the OA policy requirements.

As well as definitions of 'monograph' and 'trade book', OA policy should include a definition of what constitutes a book chapter. Edited collections could potentially be made OA under a green OA policy, which some publishers already have, with an appropriate embargo period in place.

Some presses are also publishing short-form publications OA (for example, Palgrave Pivot publishes short books of between 25,000 and 50,0000). It is currently unclear whether this kind of output is in scope for an OA REF policy. There may be challenges in defining the value of these shorter publications in relation to REF weightings,[16] and whether or not they need to comply with a future OA policy. However, the challenges in making shorter books OA are very similar to those for long-form books.

The idea of what constitutes 'research' can vary across disciplines, notably between STEM subjects and the arts and humanities. Portfolios may be interpreted as a long-form publication – for example, scholars researching disciplines aligned with music may submit compositions to the REF.

Translation could be classified as 'research' for certain work – for example, translating first-hand historical accounts. However, there are issues with translated works and OA, for example in the commercial impact of English-translated OA material on the original (non-OA) versions.

The point at which research 'ends' may be where publisher's input 'begins', as a project is often shaped through editorial input from the publisher both before and after a manuscript is submitted, as well as by external peer review, with the latter managed by the publisher. A spectrum also exists between the funding of specific research activities and the freedom to pursue research activities. This is a freedom that could be interpreted as being hindered by the REF assessment.

It is difficult to define exemptions for a future policy on OA monographs. For example, if trade books were excluded, then the very definition of a trade book needs to be articulated. There are also difficulties around the inclusion of third-party sources; however, these challenges could be solved by providing additional funding. Exemptions should also consider global collaborations and the role of international licences.

It is important to recognise the difference between scientific books and arts-focused books when considering policy exemptions. There is more funding behind STEM subjects, which have economically viable outputs, such as new products or intellectual property. For AHSS publications, the research and the economic output are bound up together through book sales. It could be said that STEM disciplines uncouple research and economic output: the arts and creative subjects bind them together.

16 In REF 2021 long-form outputs may be submitted under double-weighting criteria. A small number of Palgrave Pivots were submitted to REF 2014 as 'authored books' but were generally not double weighted.

Identifying policy options

This discussion focused on existing publishing models (traditional, gold OA, green OA) and attempted to identify how these might work for monographs. Must we take a model off the shelf? Or are there other, new or alternative models out there that suit monographs better? Which of gold, green or a mixed environment do publishers think is the best policy choice for monographs, and why?

Summary of discussion

Green OA may provide adequate dissemination of outputs, but 'box-ticking' or compliance are not acceptable reasons for publishing OA. UK higher education institutions often misuse the REF as a management tool, and the term 'compliance' furthers this agenda. It is perhaps more appropriate to talk about 'expansiveness' than 'compliance'.

Some of the challenges in the use of a green OA model include:

- defining which is the best version to use
- the usability of unpublished or unformatted long-form publications
- the inclusion of third-party materials.

Green OA also has the potential to affect sales as time goes on. If a monograph has a high price point (for example, over £80)[17] at what 'point' does a green OA version become more desirable (or more viable)? If revenue is driven by backlist sales, then this will be affected if publications become free after a fixed period of time (i.e. after an embargo period). Libraries may also wait until the end of an embargo period before acquiring titles. The current state of repositories is not best placed for green OA academic books and if this route is pursued, there would be a need for further funding to ensure a robust OA infrastructure.

There are also significant issues around the use of a gold OA model, whereby where an author publishes their article in an online OA journal. Gold OA is not sustainable, particularly for libraries – it is expensive and is accompanied by heavy workloads. There is potential, however, for a 'pay later' model, or a delayed gold OA approach. A tiered fee system, based on sales expectations or the length of time before a work is to become OA, may help to push forward a gold OA model.

However, the main issues for authors (and one of the barriers for a gold OA model) is funding. Open access for monographs is straightforward on a small scale, but scaling up can be expensive and complications exist around predicting future demand. Funders that already have an OA policy for monographs in place (such as Wellcome) cover the full costs of making a book OA; however, funding is mainly focused on health-related research.

The best model for OA monographs was felt to be a mixed-model environment in which the definition of 'green OA' is kept as loose as possible.

Hard copies of academic books complement OA versions, with outputs priced to market. However, one of the core issues around the publication of monographs is the assumption that academic books provide large publisher revenues. This may be the case for journals, but it is not true for monographs. Profit margins are reduced due to the inclusion of third-party aggregators such as library supply specialists Dawsons, and content repository ProQuest.

Sales in bookshops can be significant – this is not the case for all academic books, however.

17 Ref 2014 data shows that the mean average cost of an academic book submitted was £52.84 (in a range of £6.99 to £779). The median average was £49.41.

Open access implementation, access and usage

This discussion addressed questions including how quickly publishers can realistically implement OA for books if they are not already offering it. What lessons have we learnt for implementing OA for journal articles and from publishers that have already introduced an OA book programme? Are embargoes viable and what effect would they have on monograph sustainability?

Summary of discussion

There are some fundamental differences between publishing OA for journals, and OA for academic books. There are more costs associated with publishing a monograph, yet journal publishing has much higher profit margins. Book publishers incur costs immediately (for example, through manuscript peer review) and yet still face the risk that authors will move to another publisher after the preliminary work has been carried out.

The implementation of OA (and the speed of implementation) will depend on infrastructure and type of publisher. Smaller presses will have limits on both their human and technological resources.

It was widely recognised that editors will (and do) play a key role in explaining OA to authors. Currently, there is a lack of conversation between academics and publishers, and not enough scholars are speaking to their editors about future REF submissions. The education of editors around OA processes is one area in which progress could be made; editorial knowledge of OA should complement policy in order to allow authors to make informed decisions.

Google makes content more discoverable; however, publishers' promotional activity and search engine optimisation are critical in supporting discoverability, whether or not a work is OA.

Open access bibliometrics are at an early stage of development and can be problematic. The ability to collect data varies significantly across publishers, and data across different media (digital and physical) as well as across different platforms is often not interoperable, or in some cases may not be available at all – for example, Amazon doesn't provide data on free Kindle edition downloads. Journal articles tend to be easier to access as more are on single platforms – JSTOR in particular generates a lot of traffic. Policy-makers need to understand the resource that will be required to develop effective OA data management systems.

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 paper, referred to as the version of record (VoR)

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

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

BPC — **Book Processing Charge**

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

DOI — **Digital Object Identifier**

A unique alphanumeric string assigned to a research output to identify content and to provide a persistent link to its location on the internet

ECR — **Early Career Researcher**

Although the definition of an ECR varies across organisations, it is generally understood as someone who is within eight years of the award of their PhD, or an individual who is within six years of their first academic appointment

Flip — To turn a paywalled title to open access

Gratis OA — Removal of price barriers only (cf libre OA)

Green OA — A publication is 'self-archived' in an institutional or subject-based repository and usually made available after an embargo period set by the publisher. The version archived is usually the final author version as accepted for publication. No additional charges are paid to the publisher

Gold OA — The final publisher version is made open access without any embargo period. An additional payment may be charged by the publisher

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

Libre OA — Removal of price barriers and at least some permission barriers (cf gratis OA)

Licensing terms

CC **Creative Commons**

A free public copyright licence that enables the distribution of an otherwise copyrighted work. A CC license is used when an author wants to give people the right to share, use and build upon a work that they have created

BY **Attribution**

Licensees may copy, distribute, display and perform the work and make derivative works and remixes based on it only if they give the author or licensor the credits (attribution) in the manner specified by these

NC **Non Commercial**

Licensees may copy, distribute, display, and perform the work and make derivative works and remixes based on it only for non-commercial purposes

ND **Non Derivative**

Licensees may copy, distribute, display and perform only verbatim copies of the work, not derivative works and remixes based on it

PoD **Print on Demand**

A business model where titles are not printed until an order has been received

RCUK **The former Research Councils UK**

UKRI **UK Research and Innovation**

VoR **Version of Record**

The final published version of a journal article that has been made available OA

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