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Guide to open access monograph publishing for arts, humanities and social science researchers

Original Citation

Collins, Ellen, Milloy, Caren and Stone, Graham (2015) Guide to open access monograph publishing for arts, humanities and social science researchers. Research Report. AHRC/Jisc Collections, London.

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**Guide to
open access
monograph publishing
for arts, humanities and social science
researchers**

**Helping researchers to understand the
opportunities and challenges of publishing a
scholarly monograph in open access**

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Editors: James Baker, Martin Eve, Ernesto Priego

Published: 2015

An output of the OAPEN-UK project, funded by AHRC and Jisc and managed by Jisc Collections.

OAPEN-UK is a collaborative research project gathering evidence to help stakeholders make informed decisions on the future of open access (OA) scholarly monograph publishing in the humanities and social sciences (HSS). It is funded by Jisc (www.jisc.ac.uk) and the Arts & Humanities Research Council (AHRC) (www.ahrc.ac.uk) and has been working with all the key stakeholders to identify and discuss concerns, challenges, perceptions and opportunities related to a transition to open access monographs. By working with each stakeholder and sharing findings between stakeholders, the project promotes understanding and knowledge and enables stakeholders to make informed decisions based on evidence, rather than assumptions. This guide is an output of the OAPEN-UK project.

A number of projects and initiatives are looking at how open access might work for monographs. All these projects begin with a clear understanding that open access for monographs may need to work in a very different way from open access for journals. For more information on these projects please see the section below.

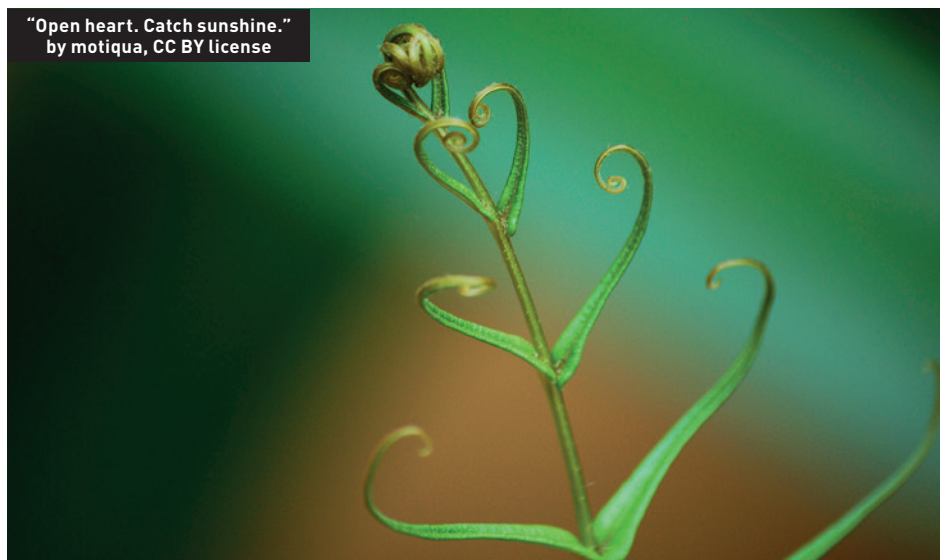
| Projects | Web link |
|--|---|
| OAPEN-UK | http://oapen-uk.jiscebooks.org/ |
| OAPEN-NL | http://oapen.org/download?type=export&export=oapen-nl-final-report |
| HEFCE's Monographs and Open Access project | http://www.hefce.ac.uk/pubs/rereports/year/2015/monographs/ |
| Jisc Collections and OAPEN's Investigating Open Access Monograph Services | https://www.jisc-collections.ac.uk/Jisc-Collections-OAPEN-project-for-OA-monograph-services/ |
| Jisc's National Monograph Strategy | http://www.jisc.ac.uk/sites/default/files/a-national-monograph-strategy-roadmap.pdf |

Table 1: projects on or related to open access monograph publishing

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About this guide



This guide has been produced to assist arts, humanities and social sciences (AHSS) researchers in understanding the state of play with regards to open access in the UK and what it means to them as current and future authors of scholarly monographs.

A series of questions commonly asked by researchers or of relevance to researchers are presented with answers. The questions have been drawn primarily¹ from over 250 individual responses by researchers, learned societies, university departments and publishers to the recent Higher Education Funding Council for England (HEFCE) (www.hefce.ac.uk) consultation on [open access in the post-2014 Research Excellence Framework](#)², which included the following statement:

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- 1 The responses to the HEFCE consultation were examined and coded in order to highlight concerns about open access monographs. The guide has also taken into account comments and concerns from public evidence given to inquiries in the House of Commons and the House of Lords, author surveys, such as those made available by Taylor and Francis, InTech, Ithaka and OAPEN-UK, and issues that the authors have identified through their work on various projects to do with open access monograph publishing.
 - 2 <http://www.hefce.ac.uk/pubs/rereports/year/2015/monographs/>
-

“In view of our expectation that open access publication for monographs and books is likely to be achievable in the long term, we would like to make clear our intention to extend the requirement to these output types in the future, but not in the period being addressed by this consultation”.

A number of projects (see Table 1) are exploring what an open access publication model for monographs might look like and the implications of such a change upon the academic market, including the HEFCE, AHRC and Economic and Social Research Council (ESRC) (www.esrc.ac.uk) commissioned Monographs and Open Access project and, of course, the AHRC and Jisc OAPEN-UK project (this guide being an output of OAPEN-UK). In addition, publishers and new academic presses are actively testing new business models to enable researchers to publish their monographs in open access. All this activity makes for a very exciting period of change but it also raises many questions for researchers, as noted in the [Crossick report to HEFCE](#),³ Monographs and Open Access:

“It is very clear, however, that extending open access to books is not easy. From licensing and copyright to business models and quality, the issues that must be tackled are thorny and numerous”.

We hope this guide will assist researchers interested in the issues around open access monographs and help them to consider the opportunities and challenges of publishing a monograph in open access.

This guide accompanies our previous [Guide to Creative Commons for humanities and social science monograph authors](#)⁴; and has been edited by active researchers, to make sure that it is relevant and useful to academics faced with decisions about publishing.

3 We recommend reading the full Crossick report which is available at:
<http://www.hefce.ac.uk/pubs/rereports/year/2015/monographs/>

4 <http://oapen-uk.jiscebooks.org/ccguide/>

Part 1: Open access monographs and business models

Introduction – a quick overview of open access



The core purpose of open access publishing is to widen access to research findings and thereby support more efficient research. It might be said that the open access movement began in the sciences with the foundation of arXiv by Paul Ginsparg in 1991. However, open access subject repositories in the humanities and social sciences are not a new phenomenon. Indeed, the Social Science Research Network (SSRN) was established in 1994 and is frequently listed as one of the top ranking repositories in the world.

The goals of open access have been set out in a number of statements over the years; most importantly, the [Budapest Open Access Initiative](http://www.budapestopenaccessinitiative.org)⁵ in 2002, the

5 <http://www.budapestopenaccessinitiative.org>

[Bethesda Statement on Open Access Publishing](http://legacy.earlham.edu/~peters/fos/bethesda.htm)⁶ and the [Berlin Declaration on Open Access to Knowledge](http://openaccess.mpg.de/Berlin-Declaration)⁷ in 2003. The statements vary in detail, but the key points are fairly consistent: making scholarly literature available for free via the internet so that it can be read, downloaded, copied, distributed, printed, searched, text-mined or used for any other lawful purpose without financial, legal or technical barriers, as long as authors are attributed.

There are a number of different definitions of open access, for example 'gratis' and 'libre' open access. These terms, borrowed from the open source and free software communities, are used to describe the extent to which open access removes barriers to reading and reusing the research literature.

Other common terms heard when discussing open access include 'Green' and 'Gold'. These refer to the underlying business models that support an academic work becoming open access. These terms are predominantly related to articles rather than books but it is useful to include them:

- **Gold** open access gives a reader free access to the final, published version of a work immediately upon publication primarily via the publisher's website, regardless of business model. Often this is associated with a payment to the publisher – for articles, this is usually termed an Article Processing Charge (APC) – which can range from relatively small to very large. But, even though most commercial publishers do require an APC before they will make a publication open access via the gold route, paying a fee is *not* a core characteristic of gold open access
- **Green** open access, also known as self-archiving, gives a reader access to a version of the work after publication via author deposit in an institutional or subject repository. The precise characteristics of green open access vary by publisher and by discipline

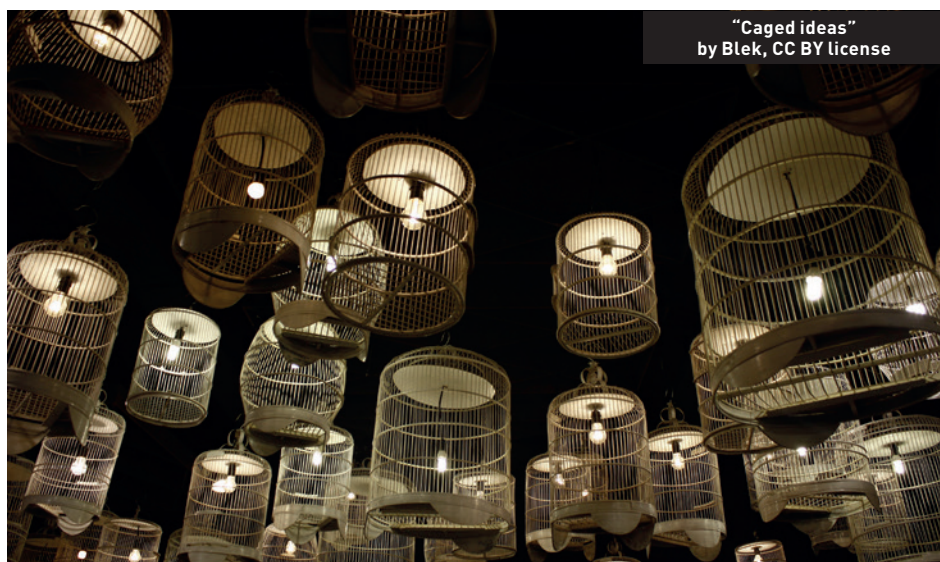
Whilst green and gold are well established in the journals area, the academic monograph market is much more complex, with many more issues to overcome. Therefore, establishing open access requires carefully balanced business

6 <http://legacy.earlham.edu/~peters/fos/bethesda.htm>

7 <http://openaccess.mpg.de/Berlin-Declaration>

models. For example, if we break down the traditional book publishing business model to its most simplistic form, the costs of production and dissemination are recouped, either in whole or in part, through sales of the book to individual readers or libraries. Open access changes that model by making the book available for free. The publishing costs need to be recouped elsewhere, therefore the balance needs to shift. There are still models that could be termed gold or green, but they are much more diverse in their form. A full section on business models appears later in this guide.

Open access monographs – the essentials



What do we mean by a 'monograph'?

Most definitions agree that monographs are academic books written on a single subject or an aspect of a subject, typically aimed at, but not restricted to, a scholarly audience. OAPEN-UK has been using a fairly broad definition of monographs. Most of the titles used in the project are single-authored but some are multi-authored; others are closer to edited collections. Discipline has an impact – in some disciplines it is relatively common to produce multi-authored monographs, while in others it is rare. HEFCE's Monographs and Open Access project uses 'monographs' as a shorthand term to cover publications including (but not limited to) monographs, collections of articles by one or many authors, and scholarly editions of texts.

Most projects are fairly pragmatic in their definitions, and this guide is too. To that extent, we do not want to be too constrictive in our definition. Indeed, the evidence submitted to HEFCE commented on many different forms of book-related outputs based on researchers' scholarly work, including (but by no means limited to) book chapters, edited collections, catalogues, critical editions or mid-form publications, which are longer than a journal article but shorter than a typical monograph. Therefore, although many of the questions answered in this guide will cover the 'monograph', they will also have relevance to other book-type outputs.

What are the benefits of publishing a monograph in open access?

Open access monograph publishing has the potential to offer many opportunities – not just to the author but to readers and scholarly research as well. These include:

- No price barrier: free online access to the content of a monograph to academics and non-academics all across the world – it is affordable to all
- Wider readership: the monograph is open to a greater audience (researchers outside of academia, non-academic organisations, less economically developed countries) and thus supports equity of access
- Greater impact: wider readership can lead to increased use, collaboration and engagement and therefore impact (again, both in academic and non-academic) can be amplified
- Use in teaching: a monograph published in open access is easier to use in teaching and can be more easily incorporated into teaching materials

As open access monograph publishing is still new, demonstrating the above opportunities with evidence is ongoing. However so far, [OAPEN-NL](#)⁸ (a partner project to OAPEN-UK, run over a single year) has found a positive impact on usage and discovery of open access books:

- Online usage – measured through book visits and page views in Google Books – improved for the open access books. On average, discovery of open access books, measured as book visits in Google Books, increased by 142%. Online usage, measured as page views in Google books, increased by 209%

An exclusively open access monograph publisher – [Open Book Publishers](#)⁹ – has also tracked downloads of their titles and found [significant usage](#)¹⁰ from countries that generally do not have good access to the scholarly literature. In addition, a recent pilot, [Knowledge Unlatched](#),¹¹ found that, in a 24 week period, its collection of 27 open access titles received 12,763 downloads from at least 138 countries, with the mean average number of downloads per title being 473.

So whilst these benefits need to be tested more widely, as they come from a relatively small cohort of books, the initial findings suggest that open access monograph publishing could indeed offer researchers new opportunities.

For more information on the Knowledge Unlatched pilot, please visit:
<http://www.knowledgeunlatched.org>

8 http://www.oapen.nl/index.php?option=com_content&view=article&id=58:english&catid=49:english&Itemid=63

9 www.openbookpublishers.com

10 <http://www.slideshare.net/OAbooks/open-book-publishers-rupert-gatti>

11 <http://www.knowledgeunlatched.org>

Where can I find open access monographs to read?



You can find many open access monographs in the [OAPEN library](http://www.oapen.org/home)¹² and via the [Directory of Open Access Books \(DOAB\)](http://www.doabooks.org)¹³. Both of these services verify the peer review systems of the publishers whose books they include, so you can feel confident that you are seeing academic work that has been through a suitable quality assurance process. All these books are free to read, and many are free to share or reuse in a number of ways. In addition, these services are indexed by library web discovery services and may therefore already be discoverable in your university library catalogue.

Some publishers also make open access monographs available through their websites, for example: Palgrave Macmillan; Cambridge University Press; Open Book Publishers; Taylor and Francis.

¹² <http://www.oapen.org/home>

¹³ <http://www.doabooks.org>

Open access monographs – funder and institutional requirements

"Together VII", Lefteris Heretakis,
CC BY ND license



What do funders require me to do as a researcher?

Funders such as HEFCE, the AHRC and the ESRC are taking a strong interest in the open access publication of monographs, and are involved in a number of projects and initiatives to explore how this might work. As we are still in the early stages of open access for monographs, many funders believe that it is not yet the right time to intervene in a diverse and developing system by requiring researchers to pursue a particular route.

Therefore, the open access policies of most funders usually explicitly exclude monographs in terms of mandatory open access publication but, in many cases, express support for increased availability and openness of outputs based upon research that they have funded. The AHRC, for example, does not mandate open access for monographs – but if a researcher decides that they will want to publish their research output as a monograph and to do this in open access, they can include the costs associated with this in the grant as Directly Incurred Other Cost.

The [Wellcome Trust](#)¹⁴ has gone further: it has mandated open access publication for monographs based upon research it has funded, and will pay any associated publication fees. Furthermore, the [FP7 Post-Grant Open Access Publishing Fund Pilot](#)¹⁵ was announced in February 2015. This €4m fund will enable European researchers to cover the costs of open access publishing. Although aimed predominantly at journal articles, the fund will consider monograph publications.

If you think that an output from a grant-funded project may be a monograph and you are considering publishing it in open access, you should definitely check your funder's policy. Also consider talking to your prospective publisher and/or your institution, as they may well be keen to support an open access version.

If you have an existing contract with a publisher but wish to make it available in open access, please do speak to your publisher; many publishers are piloting open access business models and are keen to include titles.

It is very possible that open access for monographs will become an element of HEFCE's, AHRC's and ESRC's policies in future. These policies will be developed very carefully, in consultation with researchers, and will likely include exemptions in recognition of the diversity of monograph publishing – so please do get involved and share your views in any future consultations.

What does my institution require me to do as a researcher?

Arts, humanities and perhaps to a lesser extent social science research is often supported through core university funding, rather than project-based funding from an external funder. Although universities have not mandated open access for monographs, they may well be taking an interest. To check whether your university has policies or expectations around any monographs you produce, speak to a subject librarian or your research office.

14 <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Monograph-deposit/index.htm>

15 <https://www.openaire.eu/did-you-know/highlights/pilot-launched-to-cover-costs-of-oa-publishing>

What about deposit into institutional repositories (green OA)?

Green open access for monographs is not very common. Indeed, most monograph publishers do not have a public policy on repository deposit for books. However, even without a policy, some are open to researchers who approach them with an interest in depositing their books.

Funders, such as HEFCE, the AHRC, the ESRC and FP7, have no formal requirement for researchers to deposit monographs in repositories (although all encourage it). In particular, HEFCE states in its [policy](#)¹⁶ for the post-2014 REF that the “policy does not apply to monographs and other long-form publications”. However, “Where a higher education institution (HEI) can demonstrate that it has taken steps towards enabling open access for outputs outside the scope of this definition, credit will be given in the research environment component of the post-2014 REF”.

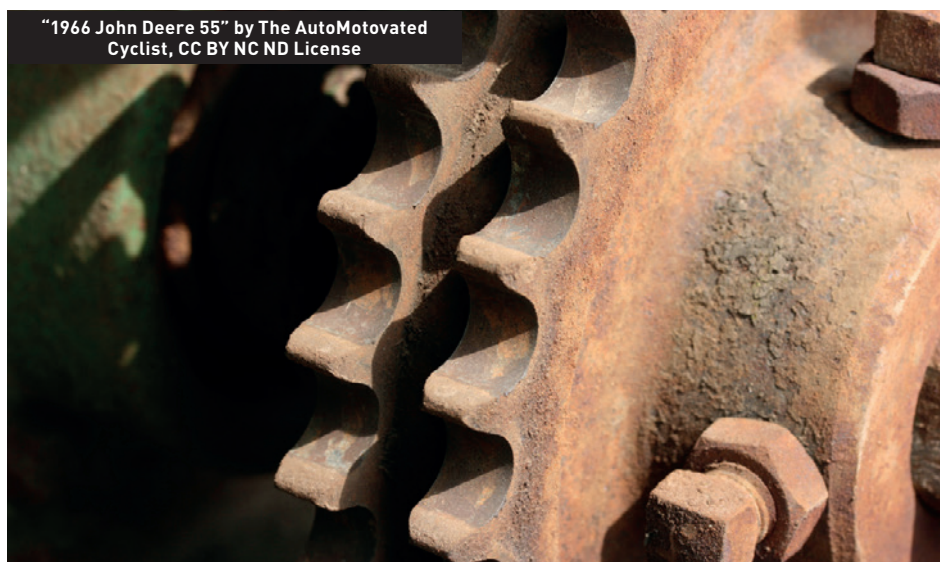
Publishers tend to be cautious about green open access and there are certainly practical issues that need to be investigated before green open access is likely to become widespread for monographs. Embargo periods are one important issue – it’s quite possible that they might need to vary by discipline or type of book, and will certainly need to take into account the fact that, unlike many journal articles, books often have a longer shelf life, contributing to the scholarly debate over several print runs, so it could be difficult to find an appropriate ‘start’ date for the embargo. In addition, book-related outputs, such as novels, poems and plays will remain in print for many years, making it very hard to define an embargo period for these types of output.

Publisher policies need to become clearer so that authors feel comfortable with the version of their work that appears in a repository – there’s some evidence that typesetting and editing are particularly important to monograph authors, and that they would want to preserve this in a green open access model. Similarly, it would be important to ensure that third-party content can be included in deposited versions of manuscripts. Some rights holders, particularly in US cultural institutions, are happy for their content to be available via open access versions of research outputs, but others are much more cautious.

16 <http://www.hefce.ac.uk/pubs/year/2014/201407/>

However, given that funders are assessing the merits of open access monograph publishing and that there may be a requirement by HEFCE in the next ten years, it may be in authors' interests to approach a publisher to ask permission for a green version to be added to a repository, particularly an author of a chapter in an edited work. Indeed, some publishers may allow this as long as a link to the publisher's web site is included (in the same way that they would make a sample chapter available by other routes). The more authors that begin to do this, the more data we can gather about how green open access might work.

Open access business models for monographs



There is no one single business model for publishing monographs in open access. Nor is there a business model that is ‘the best’ – all the models have their own strengths, weaknesses, opportunities and threats. It is likely that, in open access monograph publishing, a variety of business models will exist and need to exist in order to support the diversity of AHSS research and the funding streams within it.

In the evidence provided to HEFCE as part of the Research Excellence Framework (REF) consultation there were a large number of concerns from authors and learned societies about the lack of business models for open access monograph publishing. However, this is an area that is developing very rapidly. We have listed below the types of business models that are currently being explored:

- **Author payment:** In this model, the author (or its funder or institution) pays a fee to the publisher to publish the book in open access. This is like the gold open access model for journals. Many established publishers now offer this option to authors of monographs and, in some cases, edited collections. Publishers such as Palgrave, Springer, De Gruyter and Manchester University Press (not an exhaustive list) all offer open access

routes for monograph authors. Please see Table 2 below for the latest fees. Depending on the publisher or the fee, the open access version may be a simple HTML version or it may be a PDF or an ePub for downloading onto e-readers. Typically in this model, the publisher will print on demand and sell a hardback or paperback copy

| Publisher | Author fee |
|---|--|
| Cambridge University Press | £6,500 for up to 120,000 words |
| Manchester University Press | £5,900 for titles up to 80,000 words and banded costs for longer works |
| Open Book Publishers | Approx. £3,500, but only if funding available |
| Palgrave Open | £7,500 - £11,000 |
| Springer Open | Depends on size of work |
| Ubiquity Press | £2,860 - £9,340 |

Table 2: some example fees charged by publishers (correct as at July 2015)

- **New university presses:** These are new open access university presses that receive subsidies from their institutions who recognise the value of open access, promote academic excellence and want to support an in-house publishing venture. The subsidies may be financial, estate costs, services in kind, in-house production equipment, staff expertise etc. The National Monograph Strategy lists two examples here; UCL Press and University of Huddersfield Press. These presses will often have a strong relationship with the university library. In most cases, researchers from the home institution might not be required to pay a fee to publish their book in open access, but researchers from other institutions will. The fee charged may be smaller than a larger traditional publishing house. Typically in this model, the press will still print on demand and sell a hardback or paperback copy in addition to making an open access version available

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- **Freemium:** In this model, the publisher makes a basic version (normally PDF or HTML) of the monograph text available online in open access, with premium online versions (hyperlinked, additional multimedia content, links to the research data), ebook and print versions being available at a cost. The idea behind this model is that by selling the premium versions, the publisher can recoup some revenue to cover the costs of publishing the book and releasing it in open access. In some cases, where the publisher believes that the premium will only partially cover the costs, they may also charge the author a publication fee. However, this can often be kept very low or be waived in some circumstances. OECD, Punctum Books, Open Book Publishers, Open Humanities Press and Bloomsbury Academic are publishers which have had some success with this model, while OpenEdition (a French initiative) offers a similar service across a number of publishers

It is also possible in the Freemium model for the publisher (or multi-publisher offering) to develop premium services aimed at libraries. For example, offering libraries the catalogue records for all the titles, usage statistics data, discounts on the print and / or ebook versions. By charging the libraries for these premium services, the basic open access version can be made available for free with no charge to the author

- **Selective open access:** In some presses and some learned societies, the monograph publishing is subsidised by other activities of the press or society. For example, the subscription income from journal publications may help support monograph publishing activity that, perhaps due to it being in a niche area, is not financially sustainable. Some presses and societies will, therefore, consider using such cross-subsidies to make particular works available in open access, usually to achieve maximum impact. A fee to the author is unlikely to be charged. The monograph will be available for purchase in print
- **Collaborative underwriting:** In this model, university libraries group together to meet the price a publisher has set for a title to become available in open access. Therefore, the costs are shared across the consortia. The publisher is still able to sell print and e-book editions, but the libraries that

have contributed to the costs will often receive a discount on account of their membership to the scheme. There is no charge to the author

This model is used by [Knowledge Unlatched](http://www.knowledgeunlatched.org/)¹⁷, which created a global library consortium. The more libraries that joined – the lower the cost to each library to ‘unlatch’ a title

- **Crowdfunding:** This model relies on the publisher to pitch a title and seek funding from the ‘crowd’. Open Book Publishers has tried this approach in collaboration with an initiative called [Unglue.it](https://unglue.it)¹⁸. It may also be used to release older titles in open access (sometimes known as ‘liberation open access’). Authors will likely work closely with the publisher to inform and promote the ‘pitch’
- **Embargo / Delayed open access:** In this model, the monograph is released in an open access format after a pre-determined amount of time or after the publisher has recouped an agreed amount of revenue from sales. This is a difficult model for some titles and subject areas but may suit other areas. A negotiation between the author and the publisher is required but there is no requirement for an author to pay a fee

In addition to the business models described above, there are models that explore advertising as a route to cover the open access version costs, endowments, fundraising and commissioning – but these are currently less common. New models will certainly arise and some publishers may try more than one model, or mixing more than one model together.

Clearly, authors consider a number of factors when choosing where to publish their book and the ability to publish in open access may be fairly low on that list at present. However, the growing number of business models and pilots mean that open access is a factor that can be considered; there are now many major traditional publishers as well as new publishers that offer open access publishing. Therefore, it is always worth asking your chosen publisher whether there are any opportunities for you to publish your book in open access.

¹⁷ <http://www.knowledgeunlatched.org/>

¹⁸ <https://unglue.it>

Part 2: Common concerns about open access monograph publishing

This part of the guide is focussed on providing answers to concerns that were expressed by authors, learned societies and universities as part of the evidence provided to the HEFCE consultation on open access in the post-2014 Research Excellence Framework (REF). We have grouped these into sections to help you find the information you are interested in.

Financial concerns



Will researchers still buy the print copy if there is a freely available copy online?

In most of the business models, publishers and presses are still offering the print edition for sale. But if there is a free online version – will anyone buy the print?

Our OAPEN-UK [surveys](#)¹⁹ of humanities and social science researchers show a strong preference for reading in print – and that academics like to buy their own copies of books. The Crossick report also highlighted that the demand for print continues to be strong and that business models need to recognise this.

¹⁹ We have undertaken two surveys, one in 2012 and one in 2014. For more information please visit: <http://oapen-uk.jiscebooks.org/research-findings/researcher-survey-2014/>

There is limited real-world evidence of what happens to sales when a free version of the book is made available online. Bloomsbury Academic, which has made a reasonably large collection of books available for free in HTML but continues to sell e-books and print versions, has not seen any negative effect on sales for most titles. OAPEN-NL, a one-year experimental model which offered free PDF copies of open access books, found no overall difference in sales between the open access titles and a comparator group of books that were not made available for free. It's important to remember that both of these experiments are very small scale, and may not tell us much about what would happen in a system-wide change.

The OAPEN-UK project is trying to understand whether open access could continue or perhaps even improve existing business models, making monograph publishing function more effectively. But it is certain that nobody with an interest in monographs – researchers, publishers, funders, librarians and others – wants to undermine the existing system and that we are not yet ready for a move to e-only publication of monographs.

Will I still get royalties if my book is published in open access?

This depends on whether the publisher pays royalties in the first place; some publishers who publish an open access book together with a traditional print copy will still pay royalties on any sales of the print book, while others will not. In both open access (plus print) and traditional publishing models, royalties may 'kick in' once a certain number of sales have been reached. Some publishers may also offer royalties on any e-book versions sold, depending on the business model they use. Where print sales or e-book sales are an option, there is no reason why you should not receive royalties. If you think your book has the potential to generate a significant amount of royalties, this is something you will need to discuss with your publisher when negotiating a book contract. This is especially relevant if there is a trade overlap, such as novels, poems and plays.

Issues about quality



Do publishers give open access monographs as much attention and care as those published under more traditional business models?

Yes, they do: credibility and trust are important to all reputable publishers. Many established publishers and presses who have introduced open access streams as an option for their authors will not ask the author whether they want to make the book open access until the proposal has been through initial peer review and been accepted. This is to avoid any suspicion that financial considerations might affect their decision-making. Likewise, new open access publishers and presses need to establish credibility and trust for their brand and recognise the importance of building a strong reputation for editorial support, peer review, copy editing, production, promotion and marketing. Reputable publishers, whatever their business model, have no interest in producing substandard books – their own reputation will suffer and they will become unsustainable if they do so. Researchers should exercise the same caution when submitting manuscripts to both ‘traditional’ and new open access publishers.

What about peer review?

There is a perception that in an open access model, peer review is not undertaken or that it is not undertaken at the same level as for other books sold under the traditional model. This is not the case.

In fact, because of these perceptions, many publishers who offer open access, and especially new presses, will go the extra mile to show their academic integrity. Most will explicitly state that their open access books are peer reviewed in exactly the same way as those published under traditional business models. The [Directory of Open Access Books \(DOAB\)](http://www.doabooks.org/)²⁰ provides a good starting point for researchers who want to check the credentials of an open access publisher – only those who meet its criteria for peer review and licensing are listed. In order for a publisher to be approved for inclusion in DOAB, for example, it must show that its publications are subjected to independent and external peer review prior to publication. DOAB requires the peer review process of each open access publisher to be described on application. This information, including the URL of the publisher website where information on peer review is available, is then listed on the DOAB website.

Open access publishers who submit to DOAB are required to support the membership criteria for [Open Access Scholarly Publishers Association \(OASPA\)](http://oaspa.org/)²¹. So even if a publisher is not included in DOAB, but is displaying OASPA membership, they are showing a strong commitment to the peer review process, alongside other quality criteria.

It is important that researchers should be aware that ‘predatory publishers’ or vanity publishing houses do exist. However, they are completely unconnected to open access publishing. Many of these publishers print and sell books (in particular they publish theses) without any editing or peer review. In addition, there may be hidden charges and the author often loses all rights to the work.

20 <http://www.doabooks.org/>

21 OASPA represents the interests of open access journal and book publishers globally in all scientific, technical and scholarly disciplines. <http://oaspa.org/membership/membership-criteria/>

OASPA Membership criteria explained:

The publisher's website demonstrates that care has been taken to ensure high standards of presentation.

Published books can be read without the requirement for registration of any kind.

Full contact information is visible on the website and includes a business address.

Clear and detailed instructions for authors are present and easily located from the homepage. The guidelines include details of the Open Access policy for this publication.

All books shall be subjected to some form of peer-based review process which includes independent external reviewing. This process, and policies related to peer review, shall be clearly outlined on the publisher's web site.

Any fees for publication of books are clearly displayed. If there are no charges to authors this should also be highlighted.

The book licensing policy (including policy on re-use and redistribution) shall be clearly stated and visible on the website and all published material. Ideally, a **Creative Commons** license policy would be used. The license policy should allow for the broadest re-use of published material possible – OASPA may ask for information on the reasoning for your chosen license policy if restrictions apply.

Where appropriate, we will request information about the legal status of the publishing organization, for example, whether it is a privately-owned or public company, a not-for-profit organization or a charity. We will request company registration information.

Demonstration of the following would also be desirable: availability of digital object identifiers (DOIs) for published content; Committee on Publication Ethics (COPE) membership; archiving policy.

Table 3: Adapted from the OASPA membership criteria C 2015, OAPSA, used under a Creative Commons attribution licence: <http://creativecommons.org/licenses/by/4.0/>

Finally, there is an ongoing debate about the future of peer review, specifically that the process could be improved. Established publishers, such as Palgrave Macmillan, are currently experimenting with open peer review after consultation with their monograph authors. Open peer review can take a number of forms, such as naming reviewers and making reviewers' comments public for authors and other interested parties to respond. An excellent starting place for those interested in learning more about new models of peer review is Kathleen Fitzpatrick's [Planned Obsolescence](#)²², itself released in [draft form for open peer review](#)²³ in 2009.

Will publishing in open access make my book less prestigious?

Individual presses can be very prestigious in certain disciplines or sub-disciplines, and not particularly well-regarded in others. Researchers usually have a view about which ones are 'good' in their discipline, and which ones are not. These views are based upon a number of factors, including their own experience and that of their peers.

New open access publishers and presses have the same challenges as any new publisher in relation to prestige. They need to build a reputation by publishing high-quality books, recruiting respected peer reviewers and engaging with their academic audiences. This is exactly what new open access publishers and presses are doing – setting up prestigious editorial boards and panels of peer reviewers, often initially focusing on publishing authors who will infer credibility to build their brand.

Whether being published in open access via a more established publisher or through a new press, there is no intrinsic reason that it should affect prestige – rather, this is to do with perceptions of researchers and how familiar and at ease they feel with open access, which in turn links to perceptions of the quality of the publisher.

22 <http://nyupress.org/books/9780814727881/>

23 <http://mcpress.media-commons.org/plannedobsolescence/>

Freedom of choice



It's currently easier to publish articles in open access and comply with HEFCE REF and research council policies. Will my university push me to publish articles rather than monographs because of this?

No! Monographs are valuable and counted in the REF and are excluded from the mandates. This is confirmed by the Crossick report, which states that books have not decreased in importance and that the REF does not privilege certain outputs over others. Therefore, there is no reason to assume that open access would cause your university to discourage you from publishing monographs. In fact, the overriding principle of most university open access policies is that academics, researchers, staff and students should be free to publish where they choose, undeterred by publication costs.

Many of the business models for open access monographs rely on the university or library paying the publisher. Will this impact on where I can publish?

As stated above, there are currently numerous open access business models being tested, and these rely on a number of different funding mechanisms. There is no reason to believe at this moment in time that any one model will be favoured over another; indeed, the library supported models usually rely on the library paying after publication, not before, so this should not restrict an author from publishing with their chosen publisher. Regarding the new university presses, there are often no charges for university authors and, as always, emphasis will be on high quality, peer reviewed work.

Will open access monograph publishing undermine publication for a wider, non-academic audience?

In theory, open access ought to make it easier for a non-academic audience to read academic books. A free, openly-available online version of the book is more accessible than a hardback costing upwards of £50. However, there was concern from an individual researcher in the HEFCE evidence that open access would make it harder for books to reach a non-academic audience through the more traditional route of paperback publication. This route makes books available in the places that most readers will look for them – trade booksellers – and also attracts reviews in broadsheet newspapers, raising awareness of the books.

As yet, there is no test case for an open access book that has made the crossover into trade publishing, but it would be safe to assume that any publisher who believed that there was a trade market for an open access book would more than likely produce a paperback in the same way that they always have. For example, most publishers offering open access business models continue to produce print versions of their open access books. This is because they know there will probably still be a market for those books in print, especially in the social sciences and humanities. New technologies, such as print on demand, mean that they don't always have to invest in expensive print runs and then store or pulp the copies that do not sell.

Some publishers choose to sell the print versions of open access books at a significantly reduced price because they have covered the costs of publishing through an author fee, which may actually help make the book accessible to a wider audience. Equally, if non-academic readers are moving online to read a book that they would previously have bought in paperback, they are simply consuming the book in a different format – they are not failing to read or find it. Problems would only arise if readers did not become aware of the book because it was not available through online retailers like Amazon, or in their local bookshop – but again – in most business models for open access, publishers continue to sell the print.

Another concern in the evidence was that in certain disciplines, poetry and literary works for example, research output would solely be published with trade publishers. These publishers would potentially require a radically different business model to the ones described above. However, since there is not yet a mandate for open access book publication from most UK funders, there's no reason that authors shouldn't continue to place their book wherever they think it will fit best. Once again, there is no reason why authors couldn't gently encourage these publishers to engage with the question of open access at the same time.

My monograph is based on years of research from many different funders – so how much control should an individual funder have over how I choose to publish the book?

The lead time for monograph publication can often be a number of years, and books are often published long after a grant upon which research has been based has been closed. In addition, the work that underpins monographs may not be directly linked to a single research project, particularly in disciplines where monographs are published in order to pull together several years (or even decades) of research by the author(s). Some of that research will have been funded through projects underwritten by a number of different agencies, and not all of these agencies will necessarily have the same requirements for publications based on research that they have funded. Other research that underpins the publication may have been undertaken through core university funding, and the university may have its own set of policies around research publication.

This is a very complex area and it would be more realistic to take each example on a case-by-case basis. However, if a number of funders may have been involved in the initial research, it would be good practice to open up a dialogue with the funders to establish a way forward. For future research bids, it may be prudent to highlight potential outputs that could emerge from the project.

Legal concerns



How does copyright work with an open access monograph?

This varies. In existing business models, copyright might be retained by the author or assigned to the publisher. Or the author might grant the publisher an exclusive licence to publish. Open access publication can work with any of these models, but another licence is usually applied over the top to tell the reader exactly what they can and cannot do with the monograph in terms of sharing and reuse. Creative Commons licences have been widely adopted in journal publishing to provide this information and some monograph publishers use them too – others have devised their own licences to fulfil a similar function.

For further information on the use of Creative Commons and open access publishing, please refer to our [Guide to Creative Commons for humanities and social science monograph authors](http://dx.doi.org/10.5920/oopen-uk/ccguide)²⁴, which addresses some of the common issues and misconceptions around Creative Commons licences and open access.

24 <http://dx.doi.org/10.5920/oopen-uk/ccguide>

Will I be able to use third-party content in an open access monograph?

In many disciplines images, lyrics and music scores (just a small example of the variety) are critical to and underpin the monograph (in its many forms). Just as in the traditional print format, authors will be required to secure permission from the rights holder for inclusion of the content in the monograph that is to be published open access. Whilst there is no intrinsic reason why permission should be withheld, you may encounter resistance from rights holders due to them not having a policy on how to deal with pricing and licensing for open access. For example, in the print only model, the rights holder would be assured of the print run and therefore the number of copies that would exist of their content. Typically you would agree that after a certain period of time – say five years - you would re-licence the content. When we move to open access, however, there is the potential for unlimited copies which could exist in perpetuity. This can make rights holders nervous and unsure of how to price for the permission you seek. Authors may, therefore, find that the fees charged by some rights holders could be unaffordable or that lengthy negotiations are required to agree a fee. It's not yet clear how new conventions will arise to deal with this, but it's worth stressing that it's not a problem of open access per se - it's a challenge for *all* electronic books.

However, there are options to consider. Creative Commons licences, which have been widely adopted for open access publishing, allow authors to exempt parts of their publication and apply more restrictive licences such as the 'all rights reserved' often preferred by holders of third party rights.

Example of marking your own work:

Except otherwise noted, this work is © 2009 Greg Grossmeier, under a Creative Commons Attribution-ShareAlike license: <http://creativecommons.org/licenses/by-sa/3.0/>.

Example of marking the differently licensed item:

The photo X is © 2015 Jane Park, used under a Creative Commons Attribution-Noncommercial license: <http://creativecommons.org/licenses/by-nc/4.0/>.

For further information, see: [Guide to Creative Commons for Humanities and Social Science Monograph Authors](#)²⁵, page 18.

There are also rights holders that are keen to have their work reproduced and will not charge a fee.

Will other researchers be able to text or data mine my work?

The question of text and data mining has been raised by researchers in a number of fora. Use of a Creative Commons licence in open access monograph publishing would enable the text and data mining of works and this issue has arisen in other consultations. Using computational methodologies on open access works would allow scholars to examine instances and contexts of a specific phrase across all digitised documents. With traditional copyright, this would not be possible.

For further information, see: [Guide to Creative Commons for Humanities and Social Science Monograph Authors](#), page 24.

The Creative Commons website (<https://creativecommons.org>) provides a lot of useful and easy-to-digest information about the licenses, attribution and common questions.

25 <http://dx.doi.org/10.5920/oopen-uk/ccguide>

The international view



Concerns about international collaboration

Concerns were expressed in the HEFCE evidence about international collaboration. The UK's strong open access policy for other types of research output means that it has been one of the first countries where policymakers have begun to investigate open access for monographs in a systematic way. However, other countries have been pursuing open access for monographs through active projects. For example, in Australia it is relatively common for some university presses to underwrite the cost of monograph publishing in order to make books available via open access. These presses, described in the section on business models above, are usually subsidised by their parent institution and this model has now been followed by newer university presses in the UK and the US – in many cases run out of the library. Many of these university presses are listed in the [Library Publishing Coalition Directory](http://www.librarypublishing.org/resources/directory).²⁶

26 <http://www.librarypublishing.org/resources/directory>

In addition, versions of the OAPEN-UK experiment are taking place in a number of European countries, and French librarians are using the OpenEdition freemium model to trial open access for monographs.

Some international publishers are very engaged with open access, and many of those that have taken part in the various OAPEN experiments are international in scope. Others, particularly smaller publishers, may be less aware of the issues and may not have firm open access policies as yet. Such publishers can be very important for humanities and social science authors, and if you are collaborating with researchers in other countries and wish to publish with one of them, you should certainly talk to them about open access.

Non-UK funders' approaches to open access monograph publishing

There have been a number of comments about the perceived isolation of the UK open access policy, particularly the stance of the Research Councils UK (RCUK) policy, but this is simply not the case. Research funders across the world are also experimenting, particularly in Europe, the UK, and Canada. Some countries have issued national mandates regarding the provision of open access:

- The [Austrian Science Fund \(FWF\) Open Access Policy for FWF-funded projects](#)²⁷ includes a standalone publications policy for monographs, collections and non-standard publications. There are a number of options: for example, a lump-sum grant of up to €18,000 is available for production costs for innovative publications that include foreign-language editing or translation, or that are published as open access
- The [EU-funded OpenAIRE2020 project](#)²⁸ €4m grant from FP7 publications has already been mentioned

27 <https://www.fwf.ac.at/en/research-funding/open-access-policy/>

28 <http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1294&lang=1>

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- In the Netherlands, Sander Dekker, The State Secretary for Education, Culture and Science, wrote a [Parliamentary document on Open Access to publications](#)²⁹ outlining the Dutch position, which covers both books and journals
 - In the United States, many private funding organizations such as the [Ford Foundation](#)³⁰ and the [Gates Foundation](#)³¹ have also adopted policy mandates for research funded by their organizations. The Gates Foundation states that its "Open Access policy enables the unrestricted access and reuse of all peer-reviewed published research funded, in whole or in part, by the foundation, including any underlying data sets" and that all reasonable costs will be paid to achieve this

Access in developing countries

Regarding access in developing countries, the same argument applies to open access monographs as to open access journals. Cost of access to the print copy in these countries can be a significant barrier to use, whereas an open access copy allows greater dissemination to audiences in developing countries, especially as mobile coverage increases, although we need to acknowledge that in some cases internet costs and reliability can be a problem.

29 <http://www.government.nl/documents-and-publications/parliamentary-documents/2014/01/21/open-access-to-publications.html>

30 <http://www.fordfoundation.org/issues/freedom-of-expression/advancing-media-rights-and-access>

31 <http://www.gatesfoundation.org/how-we-work/general-information/open-access-policy>

Conclusion

We are still in the early days of open access for monographs, and most policymakers or funders with an interest in the area recognise this. In many ways this is a good thing – it leaves plenty of space for innovation and experimentation by everyone involved in publishing books, without creating obligations or restraints. Researchers, publishers, librarians and funders have all taken advantage of this space and are creating projects, programmes and services to trial open access for monographs. Most are not just exploring the production and business models elements, but are also trying to understand how open access might work for books – to think about some of the underlying issues with monograph publishing and see whether open access might offer solutions and opportunities.

Although a relatively new phenomenon, open access publishing for monographs already has significant support from some authors. The 2014 OAPEN-UK survey of over 2,000 researchers found that nearly 50% were ‘positive’ or ‘very positive’ about open access for monographs, with that proportion rising to 71% among PhD candidates. In addition, DOAB now includes over 3,000 open access books from over 100 publishers – another clear indication of support. We hope that this guide has helped to identify the opportunities and challenges of publishing a monograph in open access, answered some of the key questions expressed by authors, learned societies, publishers and university departments, and maybe even prompted you to think about an open access publication for your own work.

This guide is available under a CC BY licence and we encourage you to adapt and re-use.

Date of publication: July 2015

This guide is an output of the OAPEN-UK project managed by Jisc Collections and is available online at: <http://open-uk.jiscebooks.org/oaguide/>

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