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DEVELOPING A SUSTAINABLE PUBLISHING MODEL FOR A UNIVERSITY PRESS: A CASE STUDY OF THE UNIVERSITY OF HUDDERSFIELD, 2011-2015

GRAHAM STONE

A thesis submitted to the University of Huddersfield

In partial fulfilment of the requirements for

the degree of Doctor of Enterprise

The University of Huddersfield

May 2017

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The wizards of Ankh-Morpork had been very firm on the subject of printing. It's not happening here, they said… …Besides, someone might print *thousands* of the damn things, many of which could well be read by unsuitable people.

Pratchett, T. (1997). *Jingo*. London: Gollancz.

Abbreviations and acronyms

A&I	Abstracting and indexing
AAUP	Association of American University Presses
AEUP	Association of European University Presses
AHRC	Arts and Humanities Research Council
ALPSP	Association of Learned and Professional Society Publishers
ANU	Australian National University
APC	Article processing charges
AR1	COUNTER Article Report 1
ARL	American Association of Research Libraries
BBC	British Broadcasting Corporation
BCUR	British Conference of Undergraduate Research
BIS	Department for Business Innovation and Skills
BJPharm	British Journal of Pharmacy
BPC	Book processing charge
CC	Creative Commons
CC BY	Creative Commons Attribution License
CC BY-NC	Creative Commons Attribution-NonCommercial License
CC BY-NC-ND	Creative Commons Attribution-NonCommercial-NoDerivs License
CC BY-ND	Creative Commons Attribution-NoDerivs License
CC0	Creative Commons no rights reserved
CDRS	Center for Digital Research and Scholarship
CeReNeM	Centre for Research in New Music
CLS	Computing and Libraries Services
COPE	Committee on Publishing Ethics
CRDS	Center for Digital Research and Scholarship, Columbia University
CRS	Contract research staff
CTA	Copyright Transfer Agreements
DIKITI	Indonesia Directorate General of Higher Education
DOAB	Directory of Open Access Books
DOAJ	Directory of Open Access Journals
DOI	Digital object identifiers
ELPUB	International Conference on Electronic Publishing
EntD	Doctor of Enterprise
FBA	Fulfilment by Amazon
FTE	Full time equivalent
hcmf//	Huddersfield contemporary music festival
HCR	Huddersfield Contemporary Records
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HLF	Heritage Lottery Fund
HOAP	Huddersfield Open Access Publishing
HRH	His Royal Highness

HSS	Humanities and social sciences
HUDCETT	Huddersfield University Distributed Centre for Excellence in Teaching Training
IFPI	International Federation of the Phonographic Industry
IPR	Intellectual Property Rights
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
JMP	Jeremy Mills Publishing
LIBER	Ligue des Bibliothèques Européennes de Recherche
LISU	Library and Information Statistics Unit of Loughbourgh University
LOCKSS	Lots Of Copies Keep Stuff Safe
LOML	Limited Online Music Licence
LPC	Library Publishing Coalition
LtP	Licence to Publish
MA	Master of Arts
MCPS	Mechanical Copyright Protection Society
MP	Minister for Parliament
NAP	National Academic Presses
NCUR	National Conference on Undergraduate Research
NL	Netherlands
NMS	National Monograph Strategy
NUP	New University Press
OA	Open Access
OAI-PMH	Open Archives Initiative Protocol for Metadata Harvesting
OAPEN	Open Access Publishing in European Networks
OASPA	Open Access Scholarly Publishers Association
OAWAL	Open Access Workflows for Academic Librarians
OED	Oxford English Dictionary
OJS	Open Journals Systems
OSCOLA	Oxford University Standard for the Citation of Legal Authorities
P2P	Peer to peer
PDF	Portable Document Format
PGT	Post-Graduate Taught
PhD	Doctor of Philosophy
PIRUS2 Project	Publisher and Institutional Repository Usage Statistics Project
PLoS	Public Library of Science
PoD	Print on Demand
PRS	Performing Rights Society
QR funding	Quality-related research funding
RAE	Research Assessment Exercise
RCUK	Research Councils UK
REF	Research Excellence Framework
RePEc	Research Papers in Economics
RIN	Research Information Network
RIOJA	Repository Interface for Overlaid Journal Archives
RRP	Recommended retail price

RSC	Royal Society of Chemistry
SCONUL	Society of College, National and University Libraries
SEO	Search Engine Optimization
SNEEP	Social Networking Extensions for EPrints
SPARC	Scholarly Publishing and Academic Resources Coalition
SRHE	Society for Research into Higher Education
SSRN	Social Science Research Network
STEM	Science, technology, engineering and medicine
STLCs	School Teaching and Learning Committees
STM	Science, technology and medicine
TALI	Teaching and Learning Institute
TERMS	Techniques for electronic resources management
The Press	University of Huddersfield Press
TOCs	Tables of Contents
UCL	University College London
UIC	University of Illinois at Chicago
UK	United Kingdom
ULS	University of Pittsburgh University Library System
UoA	Unit of Assessment
URF	University Research Fund
URL	Uniform Resource Locator
US	United States of America
USF	University of South Florida
UUK	Universities UK
UYMP	University of York Music Press
VAT	Value Added Tax
XHTML	Extensible Hypertext Markup Language
XML	Extensible Markup Language
YDJ	York Digital Journals
ZSL	Zoological Society of London

Abstract

The University of Huddersfield Press, re-launched in 2010, is an open access publisher of peer reviewed journals, monographs and sound recordings. The research to inform this thesis was conducted between 2011 and 2015. The primary research question of this thesis and accompanying business plan is to demonstrate how the University of Huddersfield Press can establish a viable and innovative business model. Subsidiary research questions are to establish how the output of the Press will contribute to and enhance the University's strategic objectives and to indicate how the Press, as an open access publisher, can contribute to the world of scholarly communication by increasing the literature on New University Presses. As such, a number of chapters have been published as journal articles. The thesis introduces the University of Huddersfield Press before setting out the motivation, background and focus of the study. The rise of New University Presses (NUPs), the open access movement, the role of the repository and the library as publisher are examined and placed in context to the Press.

The four cases studies included in this thesis are not multiple case studies, rather they are embedded units of analysis in a single practice based case study, which allows the reader to follow a number of different reading paths. The case studies use observation, in depth investigations and a personal account of the author's work in developing the Press, which will give new insight into open access publishing by NUPs.

The first case study presents data and findings regarding the Press monograph publishing imitative. It draws on external literature and reflections of experience of the Press in order to derive lessons for best practice on future management of the Press. The second case study takes an in depth look at journal publishing within the Press. It looks at how the Huddersfield Open Access Publishing (HOAP) Project was used to launch a number of successful journals using the institutional repository and has helped to build the reputation of the Press in the University and wider community. Lessons learned are examined in order to recommend a more sustainable future for the Press. The third case study involves one of the journals to be published by the Press, *Fields: journal of Huddersfield student research*. It outlines the rationale for *Fields* in an institutional context, including the process of setting up an online, open access, multidisciplinary journal for student research. Year one of the project, which saw the journal go from proposal to fully fledged publication, is analysed and lessons learned are discussed. The final case study investigates Huddersfield Contemporary Records (HCR) and presents a case study of music publishing within the University. This case study stands independently and therefore begins with a review of the literature specifically on music industry issues pertinent to HCR. The case study includes a suggested business model and workflow for future releases.

The thesis analyses the results and findings from the case studies in order to suggest a viable and innovative business model for the Press. This addresses questions of sustainability, arising from the case studies. The thesis develops Hahn's programme and publication level business planning in library publishing before providing evidence of the reputational value of the Press to the University of Huddersfield. This is practically demonstrated in the Business Plan, which outlines the future for the Press for the next five years. The accompanying business plan will help to shape future thinking regarding this form of publishing.

Chapter 1. Setting the scene

1.0   Introduction

This thesis informs a business plan (Appendix 1.1) for the University of Huddersfield Press, an open access publisher of peer reviewed journals, monographs and sound recordings. The thesis and business plan form part of the degree of Doctor of Enterprise (EntD), a professional doctorate (University of Huddersfield, 2015a). The period of research for this study is July 2011 to February 2015.

The University of Huddersfield research strategy[1] states the intention to "(e)xpand the scope of the University repository and of Huddersfield Open Access Publishing to renew and develop the influence and importance of digital content" (University of Huddersfield, 2011a). Therefore, this thesis is a direct result of University strategy. Furthermore, the principles governing the University of Huddersfield Press (also referred to as 'the Press') were agreed by the University Press Editorial Board as follows:

- All material published should be of high quality and peer reviewed
- As a general rule, material should be published on Open Access via the University Repository, in order to maximise the potential for dissemination to as wide an audience as possible. Publications may also be made available by print-on-demand.
- The Press will operate on a cost recovery profit sharing model, with any profits being reinvested into the Press.

This thesis uses the above as guiding principles to investigate the viability of the University Press. The business plan recognises that the Press is an exercise in scholarly communication of high quality, peer reviewed work, and therefore a not for profit venture. It is important to note from the offset that although open access publishing and university presses are gaining in popularity, this particular university press may not be economically viable.

Having been involved in the open access movement for much of the last ten years (Stone, 2007), the author joined the University of Huddersfield in 2008. In addition to the strategic management of the repository the author also became responsible for building an external profile for the University within the open access community. The author acted as an advisor to Jisc Open Access Services as part of the Research Excellence Framework (REF) OA implementation Steering Group (Johnson, personal communication, March 26, 2015). The University has become a pioneer of repository usage

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[1] The strategy predates the changes in the UK research funding landscape and the call for open access publishing.

statistics, being a member of the PIRUS2 project (Shepherd & Needham, 2011) and the subsequent IRUS-UK project (Needham & Stone, 2012). This has allowed the Press to monitor usage, which will be discussed in Chapters 3-6.

The repository work continued with the Jisc funded HHuLOA (Hull, Huddersfield, Lincoln Open Access) project (Awre, Stainthorp & Stone, 2015), a two year Jisc supported project from the Universities of Hull, Huddersfield and Lincoln that examined the role of open access in furthering the development of research at partner institutions. One of the outputs from the HHuLOA project is the UK Open Access Life Cycle (Stone, Awre & Stainthorp, 2015), an attempt to map the research life cycle for repository managers, produced in conjunction with the OAWAL project (Emery & Stone, 2014a; 2014b).

Xia (2009) suggests that there was no clear evidence that libraries have made a logical connection between institutional repositories and library publishing operations. However, in 2010 the author was approached by the former Director of Computing and Libraries Services (CLS) at Huddersfield, Professor John Lancaster, to manage the University Press project.

This chapter introduces the University of Huddersfield Press before setting out the motivation, background and focus of the study. Methodology is discussed relating to the case studies in this thesis, which follow a consultancy report style (Saunders, Lewis & Thornhill, 2012). Finally this chapter describes the following chapters and substantial appendices. This section includes a suggested reading order by chapter (see Figure 1.2).

1.1   University presses and the digital landscape

The first university presses were established in the sixteenth century in the UK (Oxford University Press and Cambridge University Press) and the nineteenth century in the United States (Cornell University and Johns Hopkins University Press) (Pochoda, 2010; Givler, 2002). However, Pochoda (2010) suggests that it was only in the 1960s that university presses coalesced into publishers of peer reviewed journals and monographs. The golden age that followed was short lived, with many university presses being closed down or sold to commercial presses. For example, the sale of the Open University Press to McGraw Hill Education in 2002 (Open University, 2002). Pochoda (2010) describes a publishing system, already in trouble, being hit by the digital tidal wave:

> The dominant business model for scholarly publishing over the past several decades — sales of print books and journals to institutional, retail, and text markets, supplemented by modest amounts of institutional support — is no longer sustainable. The reasons are complex, but they include shrinking markets and the accelerating shift from print to digital formats. The need for new business models is unassailable, but exactly what those models

are and how they will interact with the traditional model remain unclear (Withey et al., 2011, p.433).

The above quote was taken from a report of the American Association of University Presses (AAUP) task force on economic models for scholarly publishing. It was published the same month that research for this thesis commenced. The AAUP report echoes the findings from a previous report to the American Association of Research Libraries (ARL) on new options for university publishing, which found that, "[b]usiness model development stands out as one continuing need as programs evolve" (Hahn, 2008, p.28). It is important to note that the lack of business models for open access monographs was one of the key areas for study of the OAPEN-UK project (Milloy, 2010) and reports to the Higher Education Funding Council for England (HEFCE) (Crossick, 2015).

In recent years the combination of a new digital landscape and the rise of the open access movement has seen a resurgence of the university press and library led scholarly publishing. Hahn (2008) describes library publishing as offering a truncated list of services when compared to the traditional publishing model. However, these truncated services may in fact represent a leaner version of the traditional 'legacy' publishers, which Davis sees as a "dying industry" (2013, p.206). Davis argues that library scholarly publishing is able to "step right into the tools that allow them to be effective 21st-century publishers" (p.206). Many New University Presses (NUPs) have harnessed the changes in the digital landscape and the rise of the open access movement to allow them to publish scholarly works, such as journals and monographs.

As such, Withey et al. outline new business models for university presses as:

- A general shift from print to digital distribution, especially for journals but increasingly for books as well;
- The emergence of entirely new forms of publication driven by the possibilities of digital technologies; and
- The movement to replace traditional paid access with open access, also driven by the possibilities of technology but even more by the ever-rising cost of scientific journals (Withey et al., 2011, p.429).

This thesis will investigate the University of Huddersfield Press, one of a wave of NUPs established in recent years. Geffert describes the idea of setting up a NUP at Amherst College in 2013 as a "leap of faith", which would only be justified when good manuscripts were attracted (Anonymous, 2014). Publishing is changing and so are academic libraries. Publishers cannot afford to publish in many areas and this is having an effect on scholarship – books are published for financial reasons, not to widen scholarship (Royster, 2008). In addition, "the mission of academic libraries has not changed, but the means of fulfilling it has" (Mullins et al., 2012, p.1). Commenting on a five-year plan

published in 2007 by Emory University Library stating that university libraries were about to play a pivotal role in the dissemination of knowledge, Steele (2008) suggests that university presses need to be embedded into the existing scholarly communication frameworks, i.e. the library. This thesis will investigate the launch of an open access University Press based in the Library at the University of Huddersfield and produce a four-year business plan. As noted above, this thesis explores 'not for profit' publishing. As such the business model of the Press is that of scholarly communication. It is also a constantly evolving model, with discussion of 'product-sales' being "inappropriate for the twenty-first-century scholarly ecosystem" (Withey et al., 2011, p.397).

1.2   Motivation for the study

The motivation for this study is one of practitioner research as part of the author's day-to-day responsibilities within the University during the period of the research. Further reflection on the EntD as a professional doctorate can be found in Appendix 1.2. The motivation is twofold:

- This thesis will make an internal contribution to the University of Huddersfield by reviewing and reflecting on the outputs and management of the Press over the research period (July 2011 – February 2015) and to create a business plan that looks forward to the post 2014 REF
- An external contribution will be to add to the literature on library scholarly publishing in order to support others who wish to establish NUPs.

The study has been assisted by the author's participation in a number of national groups, such as the steering group of the Jisc and Arts and Humanities Research Council (AHRC) funded OAPEN-UK project running from October 2010 to September 2015. OAPEN-UK is a "collaborative research project gathering evidence to help stakeholders make informed decisions on the future of open access scholarly monograph publishing in the humanities and social sciences (HSS)" (Milloy, 2010). In addition, participation in the National Monographs Strategy (Showers, 2014) consultation as an industry expert has also been important for the Press (Appendix 1.3).

As part of the early development of the Press, a bid was submitted to Jisc to publish a journal using the institutional repository software, EPrints. This was inspired by a small scale experiment at the University of Glasgow and was developed into a successful bid for Huddersfield Open Access Publishing (HOAP) (Stone, 2011a). The HOAP project became the University of Huddersfield Press publishing platform, which uses the repository to publish full scale journals and monographs, and therefore feeds directly into this thesis (see chapters 3 and 4).

Together with OAPEN-UK, the HOAP project has resulted in a number of research outputs.[2] These papers have contributed significantly to the literature on open access publishing in the UK and have resulted in a number of enquiries to the Press from other universities, such as the University of Manchester (Bennett, personal communication, July 14, 2015) and Durham University (Foulds, personal communication, August 20, 2015) regarding the Huddersfield Open Access Platform for journals, particularly in the journal *Fields*. The White Rose Press initiative sought advice on best practice on setting up a NUP (Grady, personal communication, July 17, 2015). These enquiries have helped to build the reputation of the Press as an open access publisher and motivate the business plan.

1.3   Background to the study

When this research commenced in July 2011, open access was still very much a movement. However, a string of high impact reports and funder mandates brought open access to the fore, to such an extent that by 2016 some publishers are flipping their business models from subscriptions to open access. This contrasts with 2011, where there was still much criticism of open access from all sides and business models remained largely untested. Before discussing the changes that have taken place in funder policy and how this has impacted on the University and the University Press, it is important to define what is meant by open access in this thesis.

1.3.1   The Open Access Movement and the changing landscape of UK funder policy

The rise of the open access movement has been well documented elsewhere (Suber, 2012). This thesis will not discuss the history of the open access movement and its pros and cons. However, the fact that the movement exists is of interest to the remit of the Press. The core purpose of open access publishing is access and permission; to widen access to research findings and thereby support more efficient research and to give permission to use the content without having to check and obtain permission (Houghton, 2011).

Of particular importance was the launch by Lund University Library of the Directory of Open Access Journals (DOAJ) in 2003. Essentially DOAJ aims to be a one stop shop for users of open access journals by increasing "the visibility and ease of use of open access scientific and scholarly journals, thereby promoting their increased usage and impact" (DOAJ, 2015a). Also of relevance for monograph publishing was the launch of the Directory of Open Access Books (DOAB) by the OAPEN

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[2] See Appendix 1.3 for a full list of outputs by the author relating to OAPEN-UK

Foundation in 2012, with the primary aim of increasing the discoverability of open access books (Snijder, 2012; DOAB, n.d.).

When research for this thesis began, there had been one influential report from Jisc, which concluded that both green and gold access[3] would be more cost efficient than the current subscription system (Houghton et al., 2009; Kwan, 2011). [4] Adoption of open access was largely dependent on discipline and the work of a number of dedicated individuals. However, there have been sweeping changes since 2011, which have had a profound impact on how higher education in the UK views open access. This has also impacted on the research in this thesis and the business of the Press.

Dame Janet Finch's report, *Accessibility, sustainability, excellence: how to expand access to research publications* (Finch, 2012) has had an impact on the Press in a number of areas. For example, the four principles of the report (p.17) are at the very heart of the University of Huddersfield Press initiative for journals, monographs and music. More significantly, this report has changed the funding landscape in the UK. In April 2013 Research Councils UK (RCUK) introduced a new mandate for open access, which included a block grant funding mechanism for article processing charges (APCs). The policy did not cover scholarly monographs, but it did encourage "authors of such material to consider making them Open Access where possible" (Research Councils UK, 2013). In February 2013, HEFCE also announced its intention to go out to consultation on post 2014 REF research outputs, stating that "[i]t is our policy that all research arising from HEFCE funding should be as widely and freely accessible as the available channels for dissemination permit" (HEFCE, 2013).

Neither policy directly affects Press publications as such. However, the pro open access stance of RCUK and HEFCE and the very positive words regarding open access monographs provide a positive message to the Press and its aims and objectives. As an open access publisher, the Press will be able to comply with the HEFCE mandate. Whether articles or monographs are submitted to the next REF or not, the existence of high quality publications will contribute to the impact and research case studies of the University. During HEFCE's deliberations regarding the post 2014 REF, it was not known whether monographs would be included in the open access mandate, although some thought this likely (Lawson, 2013, p9). The mandate categorically states that the policy does not apply to monographs. However, it does state that:

> 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

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[3] Defined and discussed in Chapter 2
[4] The report was largely based on journal publishing

the research environment component of the post-2014 REF. It is reasonable for institutions to take a proportionate view of the costs and benefits of making other types of outputs (including monographs) available as open access (HEFCE, 2015).

Regarding future plans after the post 2014 REF, "HEFCE are signaling an intention to introduce Open Access for monographs after 2021 to the REF (or its equivalent)" (Tanner, 2016, p.34) and have laid out their "[p]rinciples for a future policy on open access monographs" in a consultation document released in December 2016 (HEFCE, 2016a, pp.36-38).

This indicates a clear strategic advantage for the University if the Press publishes quality, peer reviewed and open access monographs. Furthermore, the Crossick report to HEFCE (2015) and the Burgess Report, which reviewed RCUK open access policy, noted the Wellcome Trust (2014) mandate for open access monographs. Burgess recommended "that monographs may be an appropriate area of focus for a future review of RCUK policy implementation, in line with any future work the UK funding bodies may do on policy in this area" (2015, p.15). Furthermore, the Research Councils will consider funding open access monographs if they are included in a research bid (Collins, Milloy & Stone, 2015a), which gives a possible funding stream for the Press in addition to a clear advantage to having open access monographs for the next REF.

The publication of these reports and funder policies over the past four years has resulted in a great deal of debate in the academic community. This is detailed with reference to the Press in Appendix 2.1 and 2.2.

1.3.2 Research strategy and open access at the University of Huddersfield

The University of Huddersfield's *2011-2020 research strategy* aims to increase significantly the impact of research at Huddersfield and predates both Finch and the new funder mandates. It states that:

> The University of Huddersfield seeks to lead in research, innovation, and engagement through focussed support for our distinctive research strengths. These areas of strategic research investment represent our unique opportunities to contribute important advances in human knowledge and significant improvements in global quality of life (University of Huddersfield, 2011a).

The plan outlines 25 points in which the strategy will deliver an enabling environment. As discussed at the beginning of this chapter, one of these points regarding open access and the Press is pertinent to the development of the Press and this thesis. In addition, the University's *Teaching and Learning Strategy* (University of Huddersfield, 2013) describes six enabling strands, the first of which refers to students as researchers. Both strategies are linked closely to the overarching University Strategy, which is framed around stakeholders, aims and enablers.

Finch concludes that "[f]or universities, it would make sense to exploit the institutional repositories they have established to best effect" (Finch, 2012, p.96). The report also recommends investment is required to develop "awareness and use of repositories and their contents by people and organisations beyond the research and HE communities, especially those with poor levels of access at present" (Finch, 2012, p.96). The recommendations of the Finch report and resulting funder mandates puts the university repository at the heart of the dissemination of open access. Indeed both points from the Finch report support the decision to use the repository as the main point of dissemination for Press publications. On repositories, Finch identified that there were 'tensions' between publishers and repositories and thought it "unlikely that either institutional or subject-based repositories could by themselves provide a satisfactory model for a research communications system that involves the effective publication and dissemination of quality-assured research findings" (Finch, 2012, p.95). However, the aims and objectives of the University of Huddersfield Press suggests exactly that and this thesis will report on this investigation.

1.3.3   The University of Huddersfield Press

The University of Huddersfield Press was first established in 2007 and published a limited number of print titles. In addition, the University Library distributed ISBNs to Schools that wished to publish their own publications, such as working papers from the Business School and post graduate conferences from the Schools of Computing and Engineering and Human and Health Sciences. This resulted in a rather confused situation where some titles were being given a 'University Press' imprint even though they were actually departmental publications. In 2010, a decision was taken to re-establish the University Press. The Press is managed by CLS with an Editorial Board (consisting of board members from across the seven Schools) in place to make decisions on new proposals.

The University repository was considered the ideal means of dissemination for Press publications. It was already discoverable via Google, Google Scholar and library web scale discovery systems, and complied with interoperability standards for metadata, such as the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH) and other publishing standards such as digital object identifiers (DOIs). The set-up and development costs had already been covered and, being a hosted service (with an annual maintenance fee), there are few in-house operating costs apart from staff time to add the metadata.

The outputs and performance of the Press are discussed further below, in the main body of this thesis and in the Business Plan (Appendix 1.1).

1.3.4 The University of Huddersfield repository

The University of Huddersfield was a relatively early adopter of open access, establishing a University repository in 2006. Originally the repository was used to hold university research outputs in full text on open access and it was used as part of the 2008 Research Assessment Exercise (RAE) (Research Assessment Exercise, 2008). In 2007, PhD theses awarded by the University were added and, in 2009, a new policy making this a mandatory requirement was approved by the University Research Committee (University of Huddersfield, 2009). The University repository has been an early adopter of usage statistics (Needham & Stone, 2012) and journal publishing (Stone, 2011a; Stone et al., 2012). However, the University did not adopt an open access mandate until 2015, well after the funder policies came into place, making it a very late adopter in this respect (see Figure 1.1).
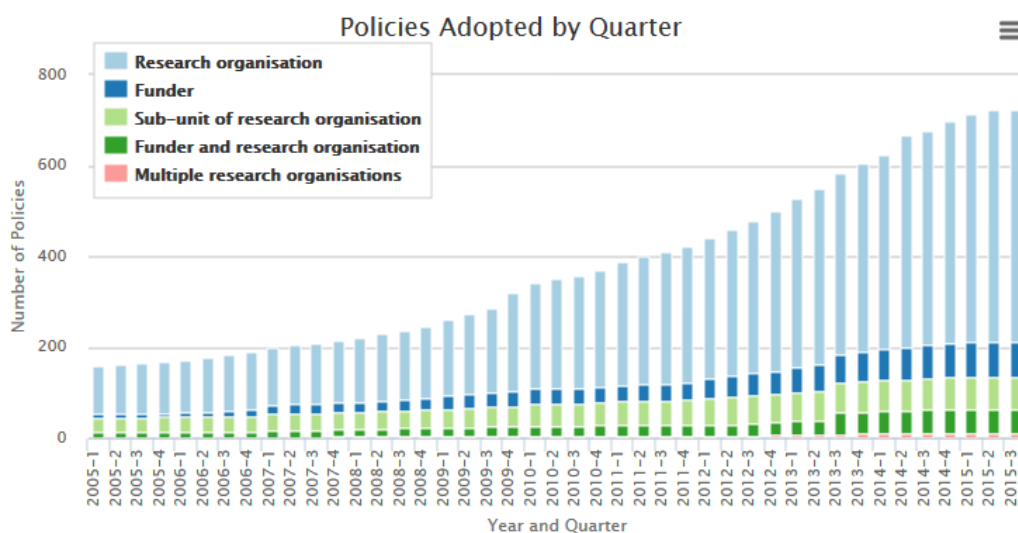
Figure 1.1. Open access mandate policies adopted by quarter (Registry of Open Access Repositories, 2015)

The University repository has become well established, and has been highlighted as setting best practice in a number of areas (Stone, 2008; 2010; 2011b; 2014). It has grown into a very successful repository, achieving 1,000,000 downloads by June 2014 and a further 750,000 full text downloads in the following 12 months.

1.4 Focus of the study

The digital revolution in global research publishing has led to a state of constant flux in the industry for the past 20 years after over 300 years of stability. Hahn states that "[t]here has long been a balance between publishers, researchers, and libraries in scholarly publishing, but all three are now reviewing their historic roles in the dissemination process" (2008, p.9). There are now a number of small scale scholarly publishing initiatives with the library at their heart, such as the University of

Huddersfield Press. The focus of this study is the need for new business models to support these ventures.

This thesis is being written in a period of transition towards open access, both in the UK and worldwide. However, the need to develop a business plan, which embraces both digital technologies and open access has been a constant. Inevitably, the focus of research has been influenced by the changes to the HE research funding landscape since the research began in 2011 (Finch, 2012; RCUK, 2013; HEFCE, 2013, 2015, 2016a), and also the various consultations and reports which have followed (House of Lords Science and Technology Committee, 2013; House of Commons Business, Innovation and Skills Committee, 2013a, 2013b; HEFCE, 2013; Burgess, 2015; Crossick, 2015). The research has also been influenced by other research being undertaken, such as OAPEN-UK (Milloy, 2010) and the National Monographs Strategy (Showers, 2014). This has also resulted in a number of joint research outputs (see Appendix 1.3).

The University of Huddersfield Press initiative, and therefore this study, must reflect on comments, recommendations and implications from the various UK Government reports and inquiries, funder mandates and the wider perspective of open access publishing research, such as OAPEN-UK and other initiatives that have been established independent of the Finch report and the University strategy. In order to do this, the thesis will look at the funding and business models for NUPs and open access publishers in order to underpin research dissemination.

Ultimately, the aim of this study is to innovate in the University and to follow in the footsteps of other NUPs primarily in the United States and Australia by identifying scholarly communication as a core value of CLS and as part of the strategic goals of the university (Perry et al., 2011).

1.4.1   Research questions and aims

This study has one primary research question, which asks whether the University of Huddersfield Press can establish a viable and innovative business model. Therefore the aim of the thesis is:

1. To show how the University of Huddersfield Press can establish a viable and innovative business model

Subsidiary aims are

2. To establish how the output of the Press will contribute to and enhance the University's strategic objectives
3. To indicate how the University Press, as an open access publisher, can contribute to the world of scholarly communication by increasing the literature on new university presses

1.4.2 Purpose and scope

The rationale for undertaking this thesis is based upon the need to better understand the requirements of a New University Press such as the University of Huddersfield Press. The thesis will look at the implications of the funding landscape post-Finch and the consequences of the report on the dissemination of UK research outputs with particular reference to the aims and objectives of the Press. The role of the Press in the 2014 REF exercise will also be considered as part of Chapter 7 and the business plan, which will outline a plan for the period 2016-2019 leading up to the post-2014 REF.

The study will not consider publications published by the Press before or after the period of study (2011-2015). The research will only discuss the three imprints of the Press; monographs, journals and sound recordings. The study will not include discussion of open scholarship such as textbooks (Rogers, 2014) or the future of scholarly publications themselves (De Roure, 2014; Humphreys et al., 2016).

A number of business models for open access monograph publishing will be investigated, with particular reference to those defined by the Crossick Report (London Economics, 2015) and the OAPEN-UK SWOT analysis (Beech & Milloy, 2015). The scope of this thesis will be to investigate these models, along with author attitudes at the University of Huddersfield in the light of the recent changes to Government and funder policy.

In order to understand author attitudes, the study will consider relevant consultations, research reports and other research projects. These are discussed in Appendix 2.1 and 2.2. These appendices are pertinent to the study; as it is important to understand the scholarly publishing landscape (Skinner, Lippincott, Seer & Walters, 2014) and the underlying attitudes of authors to open access publishing. Therefore, an in-depth study of large open access author surveys such as those carried out by the OAPEN-UK project (Milloy & Collins, 2014) and specific publisher surveys, such as the Taylor and Francis Group open access survey (Frass, Cross & Gardner, 2013, 2014) is in scope. In addition, evidence gathered as part of the various House of Lords and House of Commons investigations into open access are also in scope and these will be examined in order to attain a greater understanding of attitudes to open access within the scholarly community.

1.5 Methodology

This thesis is set out in a consultancy report style as described by Saunders, Lewis and Thornhill (2012). There is a longer academic report on the Press and a shorter business case written for the University Press Editorial Board and other senior management in the University. The business plan follows the guidelines laid down by the Research and Enterprise directorate (University of

Huddersfield, n.d.a) with a number of additions based on the SPARC model business plan for open access journals (Crow & Goldstein, 2003).

1.5.1 Research Philosophy

Saunders et al. (2012) comment that research philosophy is "influenced by practical considerations". This is certainly the case for this thesis, where the case study and accompanying business plan are written by the manager of the University Press. Therefore, the research philosophy of this thesis is very much one of pragmatism; the most important method being determined by the research questions, and each research question may require a particular philosophy.

> The pragmatist's interest in what works and how and why it works (or does not) translates into a notion of knowledge which is antifoundational and directed towards problem solving using the data and the understandings available at the time (Kelemen & Rumens, 2012, p.11).

Easterby-Smith et al. (2012) describe a key point of pragmatism in "that any meaning structures must come from the lived experience of individuals". In their essay on pragmatism, Kelemen and Rumens (2012) encapsulate the philosophy behind this research and the subsequent business plan by describing the way pragmatists see the world:

> …it is experience rather than knowledge that reveals the substance of things and knowledge can deal only with various aspects of what experience reveals. Therefore, the starting point of any scientific pursuit of truth starts with experience and must contribute and enhance that experience (Kelemen & Rumens, 2012, p.9).

There are parallels to be drawn here with Schön's (1987) description of practitioners reflecting in action, thus, "knowledge and practice inform and modify each other" (Costley & Lester, 2012, p.259) and this would seem to support the research in a professional doctorate such as this one.

When considering epistemology, this thesis supports an interpretivist philosophy. There is a need to understand the role of the different social actors in the research cycle. Indeed this is a very powerful argument as academics may play different roles in the research life cycle, and as such, they will have different needs. For example, during the research life cycle, the researcher may start out as a reader, consuming research in order to develop ideas and find an original idea to research. They then become researchers as they carry out the research and finally they become authors who wish to publish their research and have it read. An academic may also have a management role, whether it is internal management of a team or department, or acting as a journal editor or peer reviewer. Finally, an academic has a different role and viewpoint as they progress through the 'seven ages of research' (Table 1.1).

1.	Masters students
2.	Doctoral students
3.	Contract research staff (CRS)
4.	Early career researchers
5.	Established academic staff
6.	Senior researchers
7.	Experts

Table 1.1. Seven ages of research (Bent, Webb and Gannon-Leary, 2007)

Therefore the publishing experience, particularly open access publishing, could be experienced in a different way depending on the 'seven ages of research' model. Bent et al. suggest that "[p]rogression through these different ages is accompanied by a changing attitude to what researchers do and, in consequence, there are differing needs at each stage" (2007, p.85).

It is important for the Press, and therefore the research underpinning this thesis, to understand the different researcher roles and to be able to provide a service to each one. For example, understanding and supporting the role of a writer, helping to market a publication for the author/editor, and making that publication open access in order for the reader to access the research.

The role of the author in this research as librarian/industry expert/researcher/writer and reader helps to establish an empathy with the 'social actors' in order to help them make sense of the publishing world in an open access context. Therefore, this research takes a phenomenological viewpoint in addition to that of the pragmatist (Saunders et al., 2012).

Costley and Lester (2012) suggest that there are three epistemological traditions, which work-based learning can draw upon:

> ...an action-based pragmatism that emphasises the interdependence of knowing and doing, a constructivist and to some extent phenomenological perspective that sees the learner as making sense of situations from an individual and autonomous position, and an action research or praxis-oriented philosophy where there is a concern to create and learn from change through enquiry-driven processes (Costley & Lester, 2012, p.259).

Costley and Lester (2012) point to research by Kitchener and King (1981) regarding reflective judgment and a seven-stage model of reasoning styles. Some of these stages can clearly be seen regarding attitudes to open access and these are explored in Appendix 2.1 and 2.2.

At a practical level, this approach to work-based learning draws on the three epistemological traditions above and is "concerned with working at and extending the leading edge of a professional or organisational field, with significant impacts in both the candidate's profession or community of

practice, and in terms of his or her personal professional development" (Costley & Lester, 2012, p.259).

The research approach in this thesis is one of abduction, that is, an approach that moves back and forth between data and theory. For example, Appendix 2.1 and 2.2 investigate authors' views and use thematic analysis (see below) to establish the key themes before trying to solve the issue of wariness towards open access. In addition, the case studies in chapters 3-6 switch between data and theory in order to build the most suitable business case for the Press. This approach has helped to better define the issues surrounding the future of the Press.

Descriptive research, as defined by Dul and Hak (2008), is used in this study in order to achieve "an accurate profile of events" (Saunders et al., 2012, p.171). This is partly because the definitions of the Press were already in place when the research started. The purpose of this research is not to hypothesis test and then build a new University Press from scratch, rather it is to assess an already functioning Press and design a business plan to ensure that the Press is sustainable in the future. This could then become a hypothesis, which could be tested going forward by others in further research.

The pragmatic approach to the research for this thesis leads to a mixed methods approach (Tashakkori & Teddlie, 1998; Saunders et al., 2012). Thematic analysis (see below) has been used to understand author attitudes in Appendix 2.1 and 2.2, whereas chapters 3-6 are case studies, where multiple sources of evidence are used to inform the findings (Yin, 2014). This methodology supports the aims of the thesis by generating theory, which is discussed in chapter 7 and then developed into a business plan (Appendix 1.1). The benefit of using a mixed methods approach is that the research discussed on author attitudes can be used to inform the case studies over time. Both research methods are then integrated into the final chapter and the business plan. Easterby-Smith et al. (2012) warn that using this approach may lead to one method providing window dressing for the other. However, it is important to understand the issues faced by authors regarding open access publishing and the changing funding landscape (Appendix 2.1 and 2.2) in relation to the development of the University Press and a future business plan. Put simply, the University Press cannot operate in isolation. As Tashakkori and Teddlie (1998) argue, the research question is more important than the method.

It should be noted that chapters 3-6 are not multiple case studies, the four chapters are essentially embedded units of analysis in a single practice based case study (Yin, 2014). It is intended that each case study will provide "a rich picture of life and behaviour" (Easterby-Smith et al., 2012) that will

inform the business plan. This research uses observation, in depth investigations and a personal account of the author's work in developing the Press. As such, the work covers a number of years and much of this is retrospective (Easterby-Smith et al., 2012; Saunders et al., 2012). Siggelkow (2007) notes that the 'unfortunate truth' about case study research is that readers may not be interested in the particular case study. However, the concepts used in this research will give new insight into open access publishing by NUPs and the accompanying business plan will help to shape future thinking regarding this form of publishing. In addition, Dul and Hak (2008) note that "[t]he objective of practice-oriented research is to contribute knowledge of a specific practitioner (not practitioners in general)" (p.217). In this case the 'practitioner' could be described as the author (as University Press Manager), the University (the 'company') or other Universities engaged in New University Presses (the business sector).

This thesis is in agreement with Lawson (2013), that questionnaires and surveys of university authors are not an appropriate method. NUPs and library publishing are relatively new phenomena in the UK and very few authors are familiar with it. This is evidenced by the Government and HEFCE consultations that are analysed in Appendix 2.1 and 2.2.

Easterby et al. (2012) view pragmatism as having a strong impact on grounded theory. However, this approach has not been used for the analysis of the inquiries discussed in Appendix 2.1 and 2.2. This research was done in conjunction with the OAPEN-UK project, which used Grounded Theory in its research plan. However, Siggelkow suggests that researchers can get themselves "tied up in knots" (2007, p.21) in claiming that they have no preconceptions. This author agrees to the extent that, "an open mind is good; an empty mind is not" (Siggelkow, 2007, p.21). Therefore Appendix 2.1 and 2.2 use thematic analysis rather than Grounded Theory. This allows the author to be surprised but also "guided and influenced by some initial hunches and frames of reference" (Siggelkow, 2007, p.21). Indeed, these hunches were used in the cases studies, which, due to the longitudinal nature of the study, had already begun when the evidence from the inquiries was analysed.

Thematic analysis is described as:

> …a process for encoding qualitative information. The encoding requires an explicit "code". This may be a list of themes… A theme is a pattern found in the information that at minimum describes and organizes the possible observations and at maximum interprets aspects of the phenomenon" (Boyatzis, 1998, pp.vi-vii).

Braun and Clarke criticize much of the use of Grounded Theory as "grounded theory 'lite'" (2006, p.81) and argue that although thematic analysis is widely used, there is no clear argument as to what it is and is thus a "very poorly 'branded' method" (p.79). They go on to suggest that a lot of analysis

is in fact thematic, but claimed to be something else. The data in the inquiries covered in Appendix 2.1 and 2.2 were analysed using the 6 phases of thematic analysis, as identified by,

1. Familiarizing yourself with your data
2. Generating initial codes
3. Searching for themes
4. Reviewing themes
5. Defining and naming themes
6. Producing the report

(Braun and Clarke, 2006, p.87)

Thematic analysis and the development of themes allowed the data analysed in Appendix 2.1 and 2.2 to be approached slightly differently. However, each analysis was consistent in the way the themes were determined. This allowed coding for a specific research question (Braun and Clarke, 2007).

On the nature of inquiry, Kelemen and Rumens (2012) use an example from the work of American pragmatist Charles Sanders Peirce:

According to Peirce there are four degrees of clarity:

- First grade. The concept can be identified.
- Second grade. The concept has no confusing parts.
- Third grade. The actions to which the concept will lead are thought through.
- Fourth grade (concrete reasonableness). The concept moves thinking forward on a continuum of past, present and future concepts (Kelemen & Rumens, 2012, p.10).

Thus this thesis will investigate the concept of an open access, library led university press and deliver a business plan for the University Press based on past, present and future concepts.

1.6   Summary and structure of thesis

The nature of this thesis allows the reader to follow a number of different paths. The use of three very distinct case studies means that chapters do not necessarily follow on from each other. Figure 1.2 shows the suggested reading order by chapter.

Chapter 1. Setting the scene

↓

Chapter 2. Understanding today's publishing environment

(Appendix 2.1. Author attitudes)

(Appendix 2.2. Creative Commons)

Chapter 3. Monographs   Chapter 4. Journals   Chapter 6. Music

Chapter 5. Fields

Chapter 7. Discussion and analysis

↓

Appendix 1.1. Business Plan
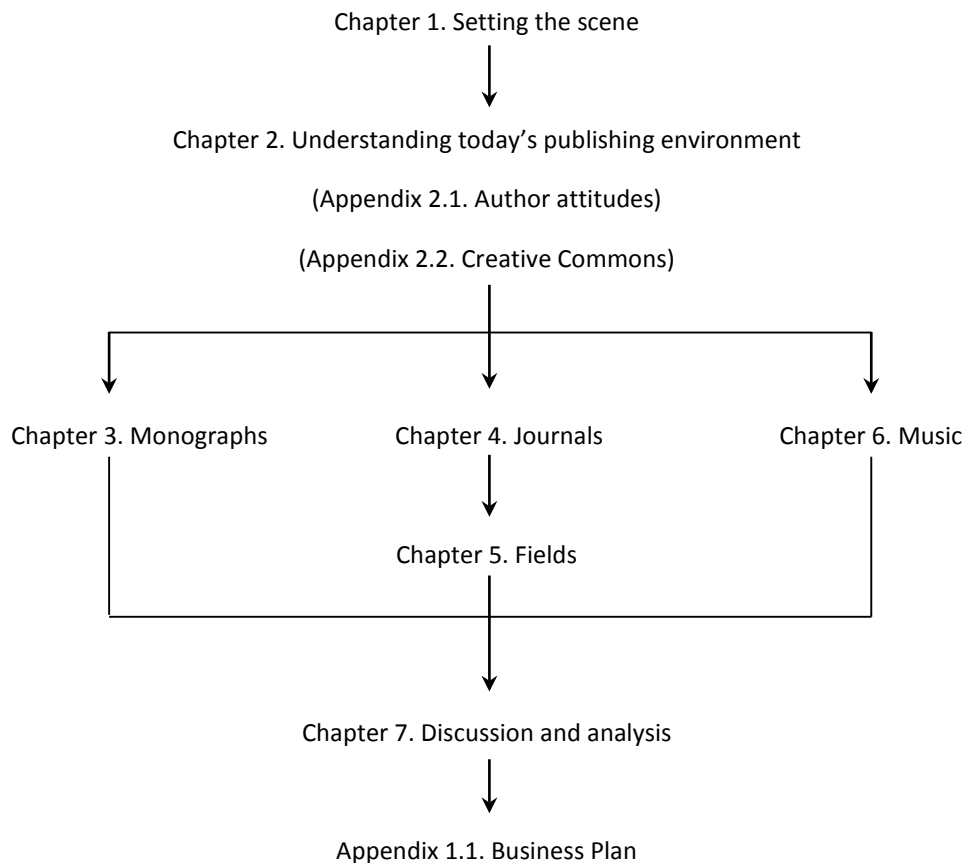
Figure 1.2. Suggested workflow for reading this thesis

1.6.1   Chapter 2. Understanding today's publishing environment

This chapter sets the scene for the thesis by looking at the strategies, drivers and environmental context for the press. The chapter acts less as a background, which is provided by this chapter, but more as an analysis of the environment with relevance to the Press. The chapter is split into a number of discrete sections; the first will discuss NUPs, the role of the repository and the library as publisher, before going into more depth regarding journal and monograph publishing. Business models will be observed in brief (and then in more depth in Chapter 7 and the business plan). Finally a section on discovery and dissemination is included.

1.6.2   Chapter 3. University of Huddersfield Press Monographs

Chapters 3-6 address each of the three research questions in separate case studies. Chapter 3 presents data and findings of research into the Press monograph publishing imitative before discussing lessons learned and outlining future plans.

1.6.3   Chapter 4. University of Huddersfield Press Journals

This chapter presents a case study of the HOAP initiative, which sought to establish a number of in-house peer reviewed journals. It will also discuss the University's participation as a pioneer

repository in the IRUS project, which enables the platform to provide COUNTER level usage statistics. Journals published after the end of the HOAP project are also investigated before lessons learned and future plans are discussed.

1.6.4   Chapter 5. Fields, the University of Huddersfield's student research journal

This chapter differs from Chapter 4 in that it is a case study of the launch of a journal rather than the HOAP initiative. It is a case study of *Fields: journal of Huddersfield student research*, which was developed by the Press and the University's Teaching and Learning Institute in 2014. The rationale for *Fields* in an institutional context is outlined and the process of setting up an online, open access, multidisciplinary journal for student research is then discussed. Particular consideration is given to a rigorous review process and a dissemination strategy.

1.6.5   Chapter 6. Huddersfield Contemporary Records (HCR)

Chapter 6 looks at Huddersfield Contemporary Records and presents a case study of music publishing within the University. As seen in Figure 1.2, this chapter stands independently of the other case studies and therefore begins with a review of the literature specifically on music industry issues pertinent to HCR. The chapter highlights the findings of an internal report to the University Press Board as part of the research for this thesis on the completion of the pilot in 2012. The findings of the report and subsequent actions are highlighted, followed by a discussion of the 2013 interim period during which various innovations were tried before concluding with a suggested business model and workflow for future releases.

1.6.6   Chapter 7. Discussion and analysis

Saunders et al. (2012) describe a danger of this thesis as provoking a 'but so what?' question to the research. However, Chapter 7 draws the case studies together (which is then articulated in the business plan). The chapter analyses the results and findings from the case studies before discussing a future direction for the Press by using programme and publication level planning to address sustainability issues, such as staffing and long term funding. The chapter establishes that the research questions have been fully addressed and then concludes with a number of recommendations before the business plan is introduced.

1.6.7   Substantive appendices

The thesis incorporates a number of appendices, including a full list of peer reviewed publications, book chapters and conference papers that have been written during the research period.

The Finch report states that,

> It is important that in the UK and elsewhere we sustain an environment that supports and encourages innovation of this kind from both new entrants and established players; and that innovation serves the interests not just of the research community, but all the other organisations and individuals who are interested in access to publications reporting the results of research (Finch, 2012, p.58).

1.6.7.1 Business Plan

The Business Plan is attached as Appendix 1.1 and is a required part of this doctorate. The Business Plan establishes a roadmap for future develop of the three imprints of the University Press and includes procedures, policies and other paperwork that have been used to develop the Press.

1.6.7.2 Author attitudes

Appendix 2.1 discusses a number of recent author attitude surveys over the past five years before looking in depth at the HEFCE consultation on open access in the post-2014 Research Excellence Framework. The research uses thematic analysis to identify themes in the questions regarding open access monographs in order to dispel some of the more extreme comments and rumours as well as to reassure academics about open access publishing. This section is a reworked and expanded version of the research published as *Guide to open access monograph publishing for arts, humanities and social science researchers* (Collins, Milloy & Stone, 2015a) published by the AHRC and Jisc for the OAPEN-UK project.

1.6.7.3 Creative Commons

A further outcome of the Finch report has been the adverse reaction from a number of learned societies and others regarding the decision to promote a Create Commons CC BY licence for all gold open access papers. This is of particular interest to this study as that is also the Creative Commons licence being promoted by the University Press. Appendix 2.2 examines the written and oral evidence presented to the House of Commons Business, Innovation and Skills Committee inquiry into Open Access and the House of Lords Science and Technology Committee on the implementation of Open Access (both released in February 2013) with specific reference to Creative Commons licensing. Thematic analysis is used to generate themes in the comments, which are then addressed. This is a revised and expanded version of the work undertaken for the OAPEN-UK project and published as *Guide to Creative Commons for Humanities and Social Science monograph authors* (Collins, Milloy & Stone, 2013). This publication was published by AHRC and Jisc and approved by Creative Commons.

1.7　Conclusion

This chapter has introduced the University of Huddersfield Press as a NUP, which aims to publish high quality open access publications and sound recordings. The rise of the open access movement and the recent changes to the UK funding landscape have been used as a backdrop to the focus of the study to show how the Press can establish a viable and innovative business model as an open access publisher.

The research philosophy of the thesis is one of pragmatism, which leads to a mixed methods approach. This chapter has shown how this approach will be used to inform the final chapter and business plan by using a consultancy report style in a series of cases studies and substantial appendices. Finally, this chapter has outlined the summary and structure of the following chapters and detailed a suggested reading order.

Chapter 2. Understanding today's publishing environment

2.0   Introduction

Today's publishing environment is evolving. The industry is having to adapt to the widespread change brought about by the digital revolution of the past 10-15 years. In addition, changes to the funder landscape are beginning to have an effect as open access publishing becomes a viable publishing model in many formats and disciplines. It is important to understand the effect of these changes and the potential impact on author and researcher attitudes in order to give context to the position of the Press as an open access publisher.

The 2011-2020 University of Huddersfield Research strategy (University of Huddersfield, 2011a) commits to delivering an enabling environment in order to develop and disseminate the University's research. The strategy recognises that much of the University's research is funded via public money, for example from HEFCE or RCUK. The strategy also confirms that the Press is one such way in which the University aims to deliver this by expanding "the scope of the University Repository and of Huddersfield Open Access Publishing to renew and develop the influence and importance of digital content" (University of Huddersfield, 2011a, p.7).

The purpose of this thesis is not to question open access as a concept, rather to understand how the Press will become established in this environment. The aim of this chapter is to examine the rise of New University Presses (NUPs) and the open access movement and place it in the context of the Press. It will then discuss the role of repositories and scholarly publishing in the library before looking at specific detail regarding journals and monographs. Finally the chapter will briefly discuss business models, dissemination and discovery.[5] The chapter will not cover the details of music publishing. This will be dealt with separately within the chapter on Huddersfield Contemporary Records as this part of the Press acts as a self-contained unit.

2.1   Setting the scene: university presses

The idea of a university press is not a new one. Cambridge and Oxford university presses were established in 1534 and 1586 respectively (McKitterick, 1992; The history of Oxford University Press, 2013). In the US, the oldest university presses emerged in the latter half of the 19th century and early 20th century (Thompson, 2005). In 1967 there were 60 university presses in North America, many of these were set up with the "aim of advancing and disseminating knowledge" as an "integral

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[5] Sections of this chapter have been adapted from previous publications (Milloy, Stone, & Collins, 2011; Collins, Milloy, & Stone, 2015a; Stone, 2015; Emery, & Stone, 2014b). Section 2.5 is adapted from Stone (2015), which demonstrated examples from the University of Huddersfield's resource discovery system, Summon, in order to show that resource discovery systems act to level the playing field for article discovery.

part of the function of the university" (Thompson, 2005, p.108). The situation has changed dramatically in the UK and US between the 1970s and 1990s with many presses either closed down or sold off as they were deemed commercially unviable (Thompson, 2005).

In a 2004 study, Hardy and Oppenheim (2004) reported that there were 17 university presses operating in the UK. Of the 17 presses, this author suggests that seven could be considered large enough to compete with commercial presses (Cambridge, Edinburgh, Liverpool, Manchester, Oxford, Policy Press (Bristol) and University of Wales). Of the others, many were established in the 1990's. Some of these are now dormant or have closed as they were not considered core to the university's business. The closure of Sheffield Hallam Press in 2003 after 23 years of operation (Hardy & Oppenheim, 2004) is of particular note to Huddersfield given the similarity between the institutions. Others have passed into the hands of commercial publishers, such as the Open University Press, which was sold to McGraw Hill (Anonymous, 2002; Thompson, 2005, p.271). Cond (2014) commented that Exeter, Nottingham, Northumbria, Middlesex, the Open University, Dundee and Leicester all live on as imprints of commercial publishers.

Hardy and Oppenheim painted a fairly bleak picture for the smaller UK university presses as closures and cuts in print runs loomed. However, they saw a crucial role for these presses in the future and it is particularly relevant to this study that they recommended collaboration with funding bodies and the Scholarly Publishing and Academic Resources Coalition (SPARC, 2013), an international alliance of academic and research libraries working to create a more open system of scholarly communication, as key to their success. Regarding open access, in 2011 only 15 of the 130 members of the Association of American University Presses (AAUP) had experimented with open access (AAUP, 2011a; Kwan, 2011). However, Thatcher (2007a) concluded that the smaller university presses were in a stronger position to embrace open access than commercial and society publishers and this could be seen as signalling the rise of the New University Press.

By 2013, Lawson found it difficult to establish how many university presses existed in the UK (Lawson, 2013). Cond (2014), Director of Liverpool Press, suggested that there were 10 other NUPs in addition to the seven larger university presses mentioned above: Buckingham, Chester, Hertfordshire, Huddersfield, Imperial, Institute of Education, UCL, UCLan, Westminster and York. Cond admits this is not a definitive list, indeed Cardiff, Manchester (library press), University of the West of England and St Andrew's University Presses can be added. Cond noted that only UCL and Huddersfield are both library led and had missions explicitly related to open access. Cardiff also

suggested this on their Facebook page (Cardiff University, 2015).[6] Both Huddersfield and UCL are also mentioned in the National Monograph Strategy (Showers, 2014).

Despite a difficult number of years for university presses, the transition to digital output and the rise of the open access movement is allowing NUPs to establish along different business models. Indeed, five university presses were launched in the UK in the 12 months since June 2015 (Lockett & Speicher, 2016).[7]

2.1.1   The rise of the Open Access Movement

The Press was established as a predominantly open access publisher and this is reflected in the University's research strategy. It is important to briefly explain and define open access to put it into context for this study.

The open access movement itself began in the sciences with the foundation of arXiv by Paul Ginsparg in 1991 (Cornell University, n.d.). Open access subject repositories in the humanities and social sciences (HSS) also have their roots in the early days of the movement.[8] The Social Science Research Network (SSRN) (Social Science Electronic Publishing, 2015) was established in 1994 and is frequently listed as the top ranking repository in the world. (Cybermetrics Lab, n.d.). These two pioneering subject repositories were followed by a third in 1997, RePEc (Research Papers in Economics, n.d.).

In 1998, SPARC (2013) was launched by the Association of Research Libraries (ARL) in the US. Its mission is to correct imbalances in the scholarly publishing system that had driven up the price of journals. SPARC (and SPARC Europe) is a library membership organisation, whose membership includes the University of Huddersfield. SPARC describes itself as a catalyst for action. It aims to work with other stakeholders to expand the dissemination of research outputs and to advance "the understanding and implementation of policies and practices that ensure Open Access (OA) to scholarly research outputs", by educating stakeholders, advocating policy changes and "[i]ncubating demonstrations of new publishing and sustainability models that benefit scholarship and academe." The SPARC model business plan for open access journals (Crow & Goldstein, 2003) is a major influence in the Business Plan for this thesis (Appendix 1.1).

In 2000 another major breakthrough in open access came with the launch of BioMed Central in the UK and PLoS in the US. Over a decade later Biomed Central have some of the highest ranking

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[6] There was no website at the time of this research

[7] See 7.4.3

[8] Discussion in Appendices 2.1 and 2.2 regarding researchers' attitudes would seem to suggest open access in HSS was not so established.

journals in their field and both models have shown that open access business models for journals can work. In 2008 Biomed Central was bought by Springer Verlag in a surprising move that saw one of the world's major journal publishers take ownership of an open access publisher (Springer, 2008).

The goals of open access have been set out in a number of statements over the years: most importantly, the Budapest Open Access Initiative (2002), the Bethesda Statement on Open Access Publishing (Suber, 2003) and the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (Max Planck Society, 2003). The statements vary in detail, but the key points are fairly consistent,

> Permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. (Budapest Open Access Initiative, 2002)

There are a number of different definitions of open access, for example 'gratis' and 'libre' open access. These terms are borrowed from the open source and free software communities and are used to describe the extent to which open access removes barriers to reading and reusing 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 journal articles. This is expanded further below to include a definition that works for journals and books.

- **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). Costs can range from relatively low to very high depending on the publisher. 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 OA

- **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.

2.1.2 The role of repositories as 'publishers'

The House of Commons Science and Technology Committee Report (2004), *Scientific Publications: Free for all?* recommended;

> …that all UK higher education institutions establish institutional repositories on which their published output can be stored and from which it can be read, free of charge, online. It also recommends that Research Councils and other Government funders mandate their funded researchers to deposit a copy of all of their articles in this way. (p.3)

Despite finding that institutional repositories would help to improve access to journals, the report recommended "a more radical solution may be required in the long term. Early indications suggest that the author–pays publishing model could be viable" (p.3). In the last 10-15 years, institutional repositories have begun to "ascend in prominence", both in the US (Thomas, 2006, p.33) and the UK where the main push came with the launch of the Digital repositories programme 2005-7 (Jisc, 2008), which kick-started many of today's UK university repositories as well as a network of repository support.

Regarding open access publishing via a repository, Thomas (2006) commented that institutional repositories have never risen to a level where they have started to substitute for traditional publications. However, repositories do include a great deal of grey literature; "[t]hat which is produced on all levels of government, academics, business and industry in print and electronic formats, but which is not controlled by commercial publishers" (Fourth International Conference on Grey Literature, 1999). Borgman (2007, p.48) considered that a 'publication' occurs when a document is 'made public' with the intention that it be read by others. Therefore, it appears that university repositories may have been 'publishing' for many years. Indeed Purdue have digitized over 1,500 technical reports placing them on the Purdue e-Pubs institutional repository (Watkinson, 2014). This almost accidental form of publishing creates a link between open access repositories of previously published work and the publication itself.

Informal publication of doctoral dissertations is another example of repositories playing a 'publishing' role. The University of Nebraska-Lincoln reported a sixty-fold increase in downloads of open access theses versus restricted access theses stating that "[c]learly, there is more to publishing than simply issuing a work, whether in paper *or* electronic form. If potential users remain unaware of a work's availability, then the fallen tree has not made a sound" (Royster, 2008, p.33). An early example of this at Huddersfield is a Ministry of Justice report by Sanderson and Sommerlad (2008). The original report at the Ministry of Justice web site (now unavailable) had a restricted word count. However, the authors referenced a full 181 page report in the Ministry version, which was 'published' in the University of Huddersfield repository and is still receiving downloads. It is now the

only remaining copy. The Purdue experiment has been so successful that the existing Purdue University Press has been extended into the area of grey literature and Purdue e-Pubs now reports to the Director of Purdue University Press and Head of Scholarly Publishing Services, Purdue University Libraries (Watkinson, 2014).

A further link between repositories and publishing was made by Pinfield (2009) when presenting three models linking repositories to journals:

1. Repository to journal
2. Journal to repository
3. Repository to overlay journal

The Repository to overlay journal example (Figure 2.1) could be described as an early example of the repository as publisher model, which went on to be used by the University of Huddersfield Press in 2011 (Stone, 2011a; Stone et al., 2012) and is described in Chapter 4.
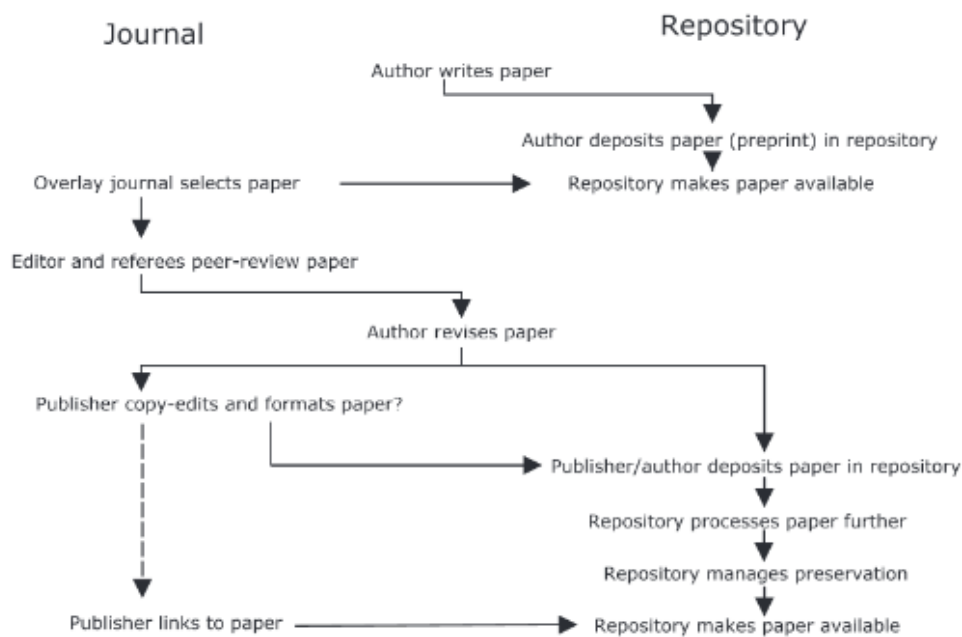
Figure 2.1. Repository to overlay journal (Pinfield, 2009)[9]

Bankier and Perciali (2008) argue that the role of repositories as an author self-archive has not been as successful as originally hoped and that it was time for universities to embrace gold open access by becoming publishers in their own right.

> What if, in addition to an archive, an institutional repository were a place for authors to create and publish scholarly content in the first place? What if it were a showcase for scholars to create, manage, and share their own scholarly profiles? What if it were a platform for scholars to run their own open access publishing operations? What if it provided services to faculty: outreach and education to help scholars navigate the complexities of open access, better understand Web 2.0 and its impact on research dissemination and discovery, and use it to further their careers? (Bankier & Perciali, 2008, p.2)

This is not a view shared by all parties. Harnad, for example, continues to argue that "OA to refereed articles should be the first priority for an IR" (Kennison, Shreeves & Harnad, 2013, p.5). However, Kennison and Shreeves regard repositories as having a shifting purpose, although this does then affect the policy of the repository (Riddle, 2015).

A shift in purpose is certainly a view of many NUPs and library publishers (Daly & Organ, 2009; Bankier & Perciali, 2008; Royster, 2008) who began publishing journals, conference proceedings and monographs ahead of the re-launch of the University of Huddersfield Press in 2010 (University of Huddersfield, 2014). Armstrong (2011) considers that libraries and especially institutional repositories are well placed to support universities in their strategies to disseminate the universities research. However, repositories and university presses both need the buy in and support of faculty in order to be truly effective (Xia, 2009; Missingham & Kanellopoulos 2014). Developments in open access repositories over the past ten years, and particularly the success of the repository at Huddersfield, have meant that the library was ideally placed to support the University Press as a library publisher.

2.2   Library as Publisher

Library publishing can be broadly defined as "the set of activities led by college and university libraries to support the creation, dissemination, and curation of scholarly, creative, and/or educational works" (Skinner, Lippincott, Speer & Walters, 2014; Library Publishing Coalition, 2013). It is often aligned to open access, although this is not always the case (Lawson, 2013). Wilkin dislikes the phrase 'library publishing', as this implies a second division of publishing after 'real' publishers. Wilkins notes that library publishers are in the business of scholarly publishing (Howard, 2013), therefore the term 'library scholarly publishing' is more apt (Emery & Stone, 2014b).

Hahn (2008) found little evidence of academic writing on libraries as publishers before 2008. However, the 21st century is seeing a return to this traditional role of library as scholarly publisher. The Open Access Publishing in European Networks (OAPEN) project reports that "the task of a library has changed from that of a custodial role to that of an active contributor to the evolution of scholarly communication, adding to the role of service producer that of content provider" (Kempf, Adema & Rutten, n.d., p.24), although Lockett and Speicher note that "[n]ew UK university presses were noticeable in their absence in the final OAPEN report (2016, p.322). In recent years, one outcome of the rise of the open access movement is the establishment of small scale university presses, particularly in the US and Australia and now Germany (Bargheer & Pabst, 2016) and the UK. Some, such as Amherst College, have launched new ventures to publish peer reviewed books in HSS disciplines. In justifying the launch of Amherst Press, College Librarian Bryn Geffert stated that "[i]t's time for libraries to begin producing for themselves what they can no longer afford to purchase and what they can no longer count on university presses to produce" (Amherst College, 2012; Schwartz, 2012).

Brown et al. (2007) found that both press and library directors had limited experience in collaboration. However, at the time there were notable early collaborations such as Project Muse at John Hopkins University and HighWire Press, a division of Stanford University (Harboe-Ree, 2007). These projects took advantage of the emergence of digital publishing, but were not set up as open access platforms, although HighWire does support open access[10]. There were also reorganisations. At Penn State the Press has reported directly to the Dean of University Libraries and Scholarly Communications since 2005 (Alexander, 2014; Mattson & Friend, 2014). Hahn (2008) found that there had not been an organized investigation into library publishing. This was despite mounting evidence that research libraries in the US were assuming publishing roles. This is substantiated by regular reports appearing in the higher education press (Steele, 2008; Jaschik, 2007, 2008; UCL, 2015a; Ayres, 2014).

Thomas (2006) found that a growing number of library directors were overseeing the university press, citing MIT, New York University, Northwestern University, Penn State University and Stanford University as examples. By late 2007 the ARL had commissioned a survey of its membership, finding that 44% of the 80 respondents were engaged in delivering 'publisher services' and 21% were currently planning developments, although if smaller universities and colleges were taken into account, the number is likely to have been higher (Xia, 2009). Hahn (2008) indicates that 88% of

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[10] In July 2016, John Hopkins University Press (2016) was awarded a grant of nearly $1M from the Andrew W. Mellon Foundation to develop MUSE Open, an open access platform for monographs in the humanities and social sciences

those that offered publishing services were publishing journals and 71% were publishing monographs – many of these were library-press collaborations. 79% also reported publishing conference proceedings. By 2013, the AAUP survey found that 65% of the 83 respondents regarded library publishing as increasingly important and 62% of all respondents (7% of library respondents) felt that this should be a core aim of the library's mission (AAUP, 2013). In Europe, a 2015 membership survey conducted for the Association of European University Presses (AEUP) revealed that 34.2% of members are linked to a library or libraries (AEUP, 2015).

2.2.1 Publishing services

There is a question as to what 'publisher services' actually means. It is important to note the difference between the library as publisher with regards to post production services (assigning an ISBN, for example), and library as University Press, which implies an active role in the entire publishing process. However, this definition may not be as defined for all library publishers/library services. There are a number of different models for libraries as publishers.

There are many different ways in which libraries act as publishers. For example, they may not all publish the same formats, many publish journals, monographs and conference proceedings, but few carry out all of these tasks. It may not be an exclusively library led initiative either. Many libraries work in conjunction with the university press. For example, at the University of Pittsburgh where the University Library System (ULS) (University of Pittsburgh, 2015) maintains control of the University's e-journal publishing, while the University Press focusses on monograph print publications. There is also collaboration between the two services with regard to monograph publishing. ULS has made digital copies of press monographs available through its Digital Editions programme. At Purdue (Mullins et al., 2012), the institutional repository is an integral part of the Press, rather than a separate entity. At the University of Oregon open access e-journals are hosted by the library (University of Oregon, 2014). Watkinson (2016) views the partnership between a library and a press as a marriage that matters, describing the collaboration between the university press and library at Purdue as being "able to provide more tangible benefits to its host institution, while the Libraries strengthen their reputation as service providers to faculty, not just stewards of bought and licensed collections" (Watkinson, 2014, p.183). In addition, many libraries first become involved in publishing after an approach from faculty for assistance with the production of digital work (Skinner et al., 2014). Indeed this was the case at Huddersfield, where a fledgling Press was approached to assist with an established print journal, which urgently needed to transform its format and its business model in order to survive. This became the Huddersfield Open Access Publishing (HOAP) project (Stone, 2011a) and is discussed in depth in Chapter 4. The Press at Huddersfield has developed alongside other NUPs and has adopted a similar portfolio of journals and monographs, all published

via the University repository. Conference proceedings have also been discussed, although, as yet none have been published. Thus, the Press can take solace in that it has developed organically along very similar lines to other presses in much larger institutions in the US.

2.2.2 Publishing across different disciplines

In relation to the disciplines that drive the demand for library publishing, the 2007 ARL survey found that most partnerships centred on the humanities, with other examples from the social sciences, health sciences and education (Hahn, 2008). This is not unique to the US, in fact the case studies in Chapters 3, 4 and 6 of this thesis will show that the Press has solely published in the humanities, health studies and education disciplines in the period of this research. However, there is also growing interest from the sciences and in developing student research publications (Hahn, 2008) and this will also be discussed in Chapter 5.

2.2.3 Developing a library publishing network

In 2012, a proposal to establish the Library Publishing Coalition (LPC) in the US using seed support from the Educopia Institute was a clear indication that library scholarly publishing had become a phenomenon in its own right. The proposal, which was produced by Katherine Skinner (Educopia Institute), Julie Speer (Virginia Tech) and Charles Watkinson (Purdue University, now University of Michigan), was an attempt to coordinate library publishing in North America by providing centralized leadership to the growing library publishing community with a preference for electronic and open access publishing (LPC, 2012; Chadwell & Sutton, 2014). In February 2013, the Chronicle of Higher Education reported that there were 54 libraries involved in the initial two-year project (Howard, 2013). There are now over 60 US libraries. The LPC website provides a number of resources for members and there have been two forums in 2014 and 2015. In addition, the LPC publishes an annual directory of library publishers. The University of Huddersfield was included as one of only a few library publishers outside of North America in the 2015 edition (Lippincott, 2015).

The AAUP could be described as representing the more traditional university presses in the US, while the LPC has a strong membership of NUPs and open access publishers (Howard, 2013). However, despite a growing surge in the US, the 2013 Ithaka surveys of library directors (Long & Schonfield, 2014) still found that only a small 'minority' of libraries participate in library based publishing, 29% of doctoral institutions and far fewer in baccalaureate or master's institutions. One library director commented that "[t]here are 3,000 academic libraries in the U.S. and most are interested in providing traditional library services in new digital formats rather than adopting mission creep to become publishers, etc." Indeed, the survey itself devotes less than a paragraph to library publishing. However, over 27% of AAUP members who describe themselves as university presses

report to the head of the library (Watkinson, 2014). This view may have changed in many libraries as evidenced by the 2015 LPC directory (Lippincott, 2015).

2.2.4 Growth of library publishers in Australia

Library led NUPs have not been solely restricted to the US. When Louise Adler, Head of Melbourne University Press implied that library run presses only publish works that nobody else would want and that would fail to gain interest from established presses, it provoked an immediate reaction from university librarians (Adler, 2013; Booth, et al., 2013; Missingham & Kanellopoulos, 2014). In Australia, five university presses have been established in the past decade: University of Adelaide, The Australian National University (ANU), Monash University, University of Technology Sydney and the University of Sydney (Missingham & Kanellopoulos, 2014). Australian library publishing has been led by the work of Colin Steele, an early open access advocate and former University Librarian at ANU. ANU E Press (now ANU Press) was established in 2003 and launched in 2004. It concentrates mainly on ANU interests (Harboe-Ree, 2007). Its philosophy differentiates it from traditional university press publisher by supporting:

- Open access publishing
- A centralised repository
- A low-cost, common-good funding models
- Assigning copyright to the authors/creators
- An e-version with print on demand publishing (at a cost).

Missingham and Kanellopoulos (2014) note that this business model has been refined over time, but is based on the principles of rigorous peer review, close engagement with faculty, strategic leadership through an advisory board with representatives from all faculties and a range of schemes that provide financial assistance. Monash University ePress established by the library in 2003, but launched in 2005 has similar aspirations, to:

- Advance scholarly communications by deducing costs and barriers
- Provide a more direct link between writers and readers of such material
- Promote the best of Monash University's research
- Provide a sustainable publishing model
- Provide a body of expertise within the university.

However, Monash separated open access publishing from other publishing initiatives (Harboe-Ree, 2007). The basic principles and philosophy described above have been adopted by many library

publishers including Huddersfield and UCL. This will be discussed further below and concluded in Chapter 7.

2.3   Library as journal publisher

Journal hosting is an area of library publishing that faculty often inquire about (Perry et al., 2011). Perry reasons that there is a clear interest and expectation from the community that the library should be involved in journal publishing. But the question is to what degree? In the case of both journals and monographs, there is a niche that libraries can fill by publishing well regarded titles that lack the support to be taken on by larger publishers. These titles may not provide a sufficient revenue stream to support a more costly publishing model.

There have been a number of library-led projects to establish scholarly open access journals and conference proceedings. Around three quarters of the 43 libraries that answered a 2011 SPARC survey (Mullins et al., 2012) took part in library journal publishing. However, the majority of these titles were less than three years old. The HOAP platform at Huddersfield was being developed around the same time. Purdue University's e-Pubs Journal Publishing Services (launched in 2006) reported publishing 10 open access journals in 2011, consisting of six school-affiliated journals (two of which are student journals). Considering Purdue is highlighted in the SPARC report as an example of library journal publishing, HOAP is not too far behind, having three journals in 2011, five in 2013 and potentially over 10 in 2017. The Purdue initiative also has similar goals to the Press at Huddersfield in that it "seeks to provide faculty with non-commercial, Open Access publishing venues, and the Press seeks to align itself more closely with the research, teaching, and outreach focusses of the University" (Mullins et al., 2012, p.9).

Dyas-Correia (Perry et al., 2011) describes library publishing programme capability as varying greatly between libraries. Kennison (Perry et al., 2011) cites the services offered by the Center for Digital Research and Scholarship (CDRS) at Columbia University Libraries/Information Services as:

- Journals hosting, e.g. platform hosting, updates and enhancements
- Advice on digitization of print back issues
- Integration of blogs and wikis
- Copyright consultation
- Design
- Other elements as required by journal editors.

This is offered as a scalable service and only so many new titles are taken on each year. This is an important point to make regarding the sustainability of any such service, which relies on staff

already employed in other areas of the service. However, Perry states that it is difficult to fully support library publishing without more staff (Perry et al., 2011). This point is identified in the literature (Kosavic, 2010) and will be discussed further in Chapter 7. The CDRS offer six levels of service outlined in Table 2.1.

Service level	Outline
Free bare-bones service	Installation of software and ongoing hosting
Free basic service	The above configuration and hosting plus journal logo and colour palette
Simple service	As above, with consultation and training
Simple service +	As above with extra support, this includes a fee for the basic build and mock-up
Extended service	This is a more comprehensive version of simple service +
Premier service	Builds upon the extended service

Table 2.1 Center of Digital Research and Scholarship (CDRS) levels of service (Perry et al., 2011)

The simple service plus is the most popular service for CDRS journals, although it has to be said that there appears to be little difference in the four services that require a fee. This model has been further developed by Penn State (Mattson & Friend, 2014), who offer 4 tiers:

- Tier 0 – a self-help consultation level
- Tier 1 – Base level where the customer does most of the work
- Tier 2 – Intermediate where responsibilities are negotiated
- Tier 3 – Extensive where a full service is provided

Perry breaks these services up into three smaller steps, describing the library as journal publisher as "not necessarily an all or nothing endeavour" (Perry, et al., 2011, p.197). Perry's three steps are hosting, librarian expertise and journal publishing. In addition, Hahn (2008) describes a number of services that would traditionally be part of the library journals team, rather than a library as publisher venture. For example, advice on moving from print to electronic publication, in addition to post publication services such as metadata creation, digital preservation and ISSN registry. These services could be expanded to include simple hosting and advice, copyright advice, peer review management and full scale journal publishing programmes (Perry et al., 2011; Mullins et al., 2012).

2.3.1 Hosting

Hosting is a relatively cheap and simple option. Essentially the library provides a platform to host new and existing journals and monographs. In its simplest form this may be loading the content into

the institutional repository, not necessarily for preservation. De Groote and Case describe hosting as:

- Promising to maintain the publishing server and installing upgrades in a timely fashion;
- Providing training to those who will be responsible for the journal;
- Providing those responsible with adequate access rights to perform their duties within the journal publishing software;
- Requiring the "publisher" be notified in advance if there was ever a decision to discontinue the hosting services; and
- Noting the host was not responsible for the content or for moderating or managing the journal (2014, p.169).

A more advanced option would be to provide a more customized platform for a journal. Mullins et al. (2012) reported that 57% of journal publishing platforms were hosted by OJS, 36% by DSpace and 25% by bepress.[11] In the UK there are also a number of libraries using EPrints Repository software for journal hosting such as the HOAP platform (Stone, 2011a). A list of UK hosting examples is being developed for the open access community (Sheppard, 2014).

A benefit of the hosting solution is a reduced staff resource for support. In addition, technical support to faculty tends to be supporting the provision of DOIs etc. rather than supporting technical issues with the platform. Another example of hosting and partnering with university presses is Ubiquity Press and its Ubiquity Partner Network (2015). This solution was not available at the start of the HOAP project and is discussed further in Chapter 7.

The hosting option allows universities to coordinate the process and provide additional services as necessary (Xia, 2009). This allows for the potential transfer of titles into the Press (Devakos & Turko, 2007). However, the Press at Huddersfield has developed more than just a hosting platform and this will be discussed further in Chapter 4.

2.3.2 Librarian expertise

An analysis of TERMS: Techniques for electronic resources management (Emery & Stone, 2013) shows that librarians may know more about publishing than they realise (see Table 2.2).

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[11] DSpace and bepress are repository platforms, OJS (Open Journal Systems) is an open access journals publishing platform.

- Licensing
- Copyright consultation
- Knowledge of open access
- Scholarly communication issues
- Publishing issues, such as the importance of metadata, ISSNs, DOIs and A&I indexing.
    - Librarians are experts at metadata and therefore understand completely the role of the correct metadata and adoption of standards in order to aid discoverability
- Author rights
    - Repository managers often advise authors of their rights regarding open access and commercial publishing, so they are well placed to offer the same guidance to university presses who wish to adopt an open access approach
- Discovery including abstracting and indexing services and web scale management services.
    - For example, many 'in house' journals are not at all discoverable. Getting the library involved at this level could help to move them from a departmental website to the repository
- Advice on digitization of print back issues
- Integration of blogs and wikis
- Marketing
    - E-resources managers are often involved in the marketing of new resources, they are also on the receiving end of many publisher communications
- Preservation.

Table 2.2. Librarian expertise in open access publishing (Emery & Stone, 2013).

This is a role that many journals, e-resources librarians and repository managers fulfil on a daily basis. Arguably this is library publishing at its most basic level and would not be covered in Kennison's six levels of service (Kennison, Shreeves & Harnad, 2013). On the matter of discoverability, abstracting and indexing services (A&I's) and web scale management services, many in-house (hosted) journals are not at all discoverable. Getting the library involved at this level could help to move them from a departmental website to the repository. Skinner et al. (2014) agree that publishing is compatible with the traditional skills of the librarian, expanding the list in Table 2.2 to include:

- Long range planning
- Writing policies and contracts
- Understanding of intellectual property rights
- Marketing services
- Keeping track of changing technical platforms
- Soft skills, e.g. relationship building.

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There are additional skills that are required in order to fully understand library publishing. In the US the LPC is going some way to try to achieve this. However, in Europe, this is an area that needs development and will be discussed further in Chapter 7.

2.3.3 Publishing

In addition to the six service levels at CDRS (Perry et al., 2011) or four tiers at Penn State (Mattson & Friend, 2014), Perry (Perry et al., 2011) lists a number of important areas that libraries should consider if venturing into library publishing:

- Providing platform training
- Providing initial set-up assistance
- Providing technical and clerical support
- Creation of journal websites
- Migration of older content
- Digitization of print content, if applicable.

De Groote and Case (2014) add to this list, notably:

- Expectations related to copyright
- Non-exclusive rights to distribute/archive the journal's content
- Stating expectations regarding the development of editorial policies and forming a reputable editorial board
- Expectations related to the frequency/regularity in which the journal would publish
- Requiring the "host" be notified in advance in the event the publisher wished to discontinue use of the publishing platform.

This neatly encapsulates the objectives of the HOAP project, although to this list the following could be added:

- Article layout
- Copy editing
- Creation of metadata
- Registration in discovery systems
- Adoption of key standards, e.g. DOIs, ISSNs, OAI-PMH
- Marketing
- Preservation.

These areas will be discussed in relation to the HOAP project in chapter 4 and also used as examples of the services that are required in the journals business plan and sustainability model in Chapter 7.

A number of case studies are clear as to where the line is drawn between the library as publisher and the editorial staff of the journal. For example, Perry et al (2011) list content and editorial control, such as soliciting submissions, peer review, copyediting, decisions on layout, scheduling and correspondence as editorial roles. Mattson and Friend (2014) also note that although some editors of new journals have experience, many others do not and require support; this is an additional service that needs to be provided. In order to get a greater understanding of content and expectations, Penn State hold an initial consultation. This was also the approach at Huddersfield and a process has been developed independently of the example at Penn State.

Borchert (Perry et al., 2011), sees a number of challenges to the library as journals publisher, namely, time, staffing and expertise. Borchert describes open access publishing at University of South Florida (USF), a university with a very similar shift in strategic direction to Huddersfield, that is, a shift from an undergraduate focus to a research intensive focus as a driving force behind their open access publishing initiative. Similarly to the HOAP project, USF libraries took on open access publishing without any increase in staff. However, if the numbers of journals increase as the University Press gains prestige there is a sustainability issue. This will be discussed in detail in Chapter 7.

The York Digital Journals (YDJ) project found that there were also benefits for the whole library as a recognised partner in journal publishing at the university by bringing the library to the table in a new capacity (Perry et al., 2011, p.202). After consultation with legal counsel, YDJ was identified as a hosting platform only, using a similar model to HighWire Press at Stanford University (Thomas, 2006). However, much of what the York initiative describes is similar to Perry's outline of journal publishing (Perry et al., 2011). This is not surprising as there is a blurring of lines between the library as journal host and a library as publisher. Originally the University of Illinois at Chicago (UIC) Library identified themselves as more akin to an electronic distributor than a full-fledged publisher when reflecting on their journal output in 2007 (Case & John, 2007). While still having a clear definition of hosting and publishing as discussed above, UIC also see themselves as a publishers in the case of one ex BioMed Central journal and finally 'admitted' to being a publisher after indexing content in PubMed Central and assigning ISSNs and DOIs (De Groote & Case, 2014, p.173). UIC now has a new memorandum of understanding between the university and the editor, which is careful not to assign the role of host and publisher.

2.4 Library as Scholarly Monograph publisher

The academic journal has now passed the tipping point into both digital and open access publishing. However, regarding digital and open access publishing, the format of the scholarly monograph remains in "limbo" (Alexander, 2014). At Huddersfield, the original purpose of the Press was to publish open access scholarly monographs. Therefore, it is important to note that there are still many discussions about print versus electronic format and that this has an effect on academics' attitudes to open access.

The OAPEN Report (Adema & Rutten, 2010) on user needs makes an important point regarding the preference for the monograph by humanists. There has been little research on the relationship of the format and user needs of scholars. The monograph is still seen as an essential part of the scholarly process for academics in the arts and humanities (Williams et al., 2009). This view is discussed further in Appendix 2.1.and 2.2 in respect to the evidence given to the House of Lords and House of Commons inquiries and the HEFCE *Consultation on open access in the post-2014 Research Excellence Framework*. HSS authors have been described as a conservative group (Swan & Brown, 2004) and this must be taken into consideration for new technologies and business models as academic perceptions are rooted on historic models (Steele, 2008).

A 2004 circulation study of one university library by Littman and Conway (2004) found a decline in the circulation of print books after electronic versions of the same titles were introduced, suggesting that researchers are keen to engage with electronic content. A survey of 16,000 academics as part of the Jisc national E-book observatory (Jamali, Nicholas & Rowlands, 2009) found the UK academic community broadly in favour of e-books, although this was predominantly about e-textbooks rather than scholarly monographs. The 2012 Ithaka study on UK author attitudes (Housewright, Schonfield & Wulfson, 2013, p.31) updated this research showing that six out of 10 authors often or occasionally used digital versions of academic monographs and only 15% had never done so at all. A third of researchers in the study agreed that they played an important role. The OAPEN-UK project (Milloy, 2010) has furthered this research with a number of research attitude surveys, which will be discussed further as part of Appendix 2.1 and 2.2.

2.4.1 The 'monograph crisis'

E-books are becoming more accepted by academics, but the print format for the scholarly monograph remains an important tool for HSS researchers. There is a strong perception, and some evidence, that selection and promotion committees and authors both believe a print book is more prestigious than one published in electronic format, and so a cycle is created where researchers are dependent upon publishers for their career progression (Steele, 2008; House of Commons Business,

Innovation and Skills Committee, 2013a). Some commentators even suggest universities have effectively outsourced their tenure and promotion decisions to the publishers who commission and select content (Adema & Rutten, 2010).

However, questions are beginning to arise about the long-term sustainability of print publication for scholarly monographs. Library book purchasing budgets have decreased significantly in the past 10 years, both in real terms and as a percentage of overall library budgets (Research Information Network, 2010a; Thatcher, 2007b; Thatcher, 2011; Pinter, 2012; Adema & Hall, 2013). Print sales of monographs have been in decline, partly because library sales account for cost recovery (Thatcher, 2007b). In the US, between 1980 and 2000, "a monograph's average library sales plummeted from around 2,000 copies in 1980, to 1,000 in the late 1980s, to 500 in the 1990s, to a little more than 200 in the early years of this century" (Willinsky, 2009). Penn State found that out of 150 books about literature, 65% had sold less than 500 in 1995 (Thatcher, 2007b). Davies and Greenwood describe a monograph as a book that does not make money (2004, p.162). Therefore, publishing of scholarly monographs is no longer self-sustaining for many publishers as most scholarly monographs are no longer profitable (Steele, 2008). This is not just an issue for commercial publishers. Steele (2003) also notes that net operating losses for traditional university publishing in the US grew from 10.8% in 1998 to 19.7% in 2001, while Missingham and Kanellopoulos (2014) note significant losses for the University of Melbourne Press, a traditional university press.

It is suggested that academics do not necessarily understand global trends. HSS academics taking part in the 'academic spring' boycott of Elsevier journals were not sufficiently aware that a move to open access could lead to the death of the monograph (Steele, 2008; Brienza, 2012, p.167). The link here is that many commercial publishers often underwrite a loss making scholarly monograph operation with profitable journals publishing. These financial pressures are having repercussions for scholarship in HSS disciplines. Willinsky (2009) argues that economic considerations are beginning to determine what can be considered 'scholarship' in various disciplines, while Steele (2008) identifies a trend among some academic publishers to publish more 'popular' books, in an attempt to remain financially viable. Bazerman et al. (2008) suggest that these pressures could even be affecting scholars' decisions about which areas of research to pursue, focusing on areas that they believe will produce publishable content. There was also anecdotal evidence regarding this from Huddersfield authors at the time of the 2010 re-launch of the Press.

Regardless, open access is beginning to gain traction as a financially viable model that could potentially increase readership and avoid the repercussions mentioned above.

2.4.2   What are the benefits of publishing open access monographs?

Advocates of open access monographs suggest that they will benefit researchers outside of academia and wider organisations in the same way as open access journal articles – increased readership and possibly greater impact. However, because open access for monographs is relatively new, evidence is still being gathered to test this hypothesis in order to understand how open access might affect usage and readership. These projects have been progressing at the same time that the University Press is being established. Thus the Press has been fortunate in that is has been able to participate and learn from some of the projects, such as the National Monographs Strategy (Showers, 2014) and OAPEN-UK (Milloy, 2010).

In the Netherlands, the OAPEN-NL project (Ferwerda, Snijder & Adema, 2013) found a positive impact on the usage and discovery of open access books. Open Book Publishers, an exclusively open access monograph publisher has tracked downloads of their titles and found significant usage from countries that generally do not have good access to the scholarly literature (Gatti, 2013). These benefits need to be tested more widely, as they come from a relatively small cohort of books, but the initial findings suggest that open access for monographs could help authors share their research with a wider audience and this is essential to the Press as a way to disseminate the University's research.

2.4.3   Transition from print to electronic (open access) formats

Esposito (2010) suggests that there are five stages to book publishing to describe the move from the traditional model via a range of developments towards new forms of subscription marketing:

- Stage One: selling print books to shops and wholesalers
- Stage Two: selling print books via online sellers such as Amazon.
- Stage Three: where the medium changes from print to digital, sees the press selling e-content via online distribution channels
- Stage Four: development of Search Engine Optimization
- Stage Five: a re-emergence in the subscription model.

Broadly speaking, stages one and two cover the traditional print model. The process of change to stage three has been under discussion for some time. Hardy and Oppenheim (2004) suggested that university presses were in a prime position to use electronic publishing to increase their position in the scholarly communication chain despite nine of the 17 directors surveyed believing that electronic publishing would not improve the presses' publications. However, Brown et al. quoted one prominent library director in the US as saying "[t]he tipping point has tipped to electronic.

Everything needs to be online" (2007), while Thatcher (2007a) discussed the opportunities that open access could bring to university presses. However, things have been relatively slow to progress.

Esposito (2010) suggested most publishers were already participating in Stage Three and this was certainly true for Huddersfield's entry into the market in 2010. However, in 2011, a survey of 129 AAUP member presses, which had a 55% response rate, revealed that many of the members were still running traditional print operations, with 58 presses taking less than 3% of their annual revenue from e-book sales or licences (AAUP, 2011b).

Stage Four is the development of Search Engine Optimization, where books, benefitting from a good PageRank in Google, can be sold on the publisher's platform. This is an attractive option for the smaller press as it essentially cuts out the middleman. For a university press this middleman is often Amazon. While many potential readers will go straight to Amazon, many more will go straight to Google, the advantage here is that costs can be recovered quicker via direct sales through Google, whereas Amazon insists on a 60% discount. For the Press this could actually mean selling at a loss! This is discussed further in Chapter 3.

Stage Five is a suggestion that the direct marketing approach of Stage Four would lead to a re-emergence in the subscription model. However, this is an improbable solution for a press with the ambition of becoming an open access publisher. That said, the membership model used by some open access publishers could be viewed as a subscription of sorts.

New university presses are at a distinct disadvantage regarding Esposito's model in that they may find it difficult to compete with established presses at these stages. Therefore, a different approach may be needed, such as an open access model, an area that many established university presses have yet to gain an advantage in (Esposito, 2011a, 2011b). In the UK, the change to the funder landscape since 2010 makes open access an attractive option.

Esposito's five stages can be modified to describe the transition from traditional print publishing towards an open access model. New formats in Stage Three could include open access, which would mean that Stages One and Two become irrelevant for the open access publisher. This puts the open access NUP at a distinct advantage. In the 2011 AAUP survey, only 17 presses were pursuing a digital strategy that embraced full-text open access (AAUP, 2011b). In the 2014 AAUP survey the number of members offering full-text open access had risen to 27, but this still only represented 21% of presses (AAUP, 2014). Thatcher (2011), a former director at Penn State Press suggests that although parent universities have championed open access journals, there has been no such enthusiasm in extending this to monograph publishing and this appears to be borne out by the results of the 2014 survey.

Therefore, stages Four and Five become essential to the NUP, albeit with a different approach. Amazon and other publisher platforms sometimes cannot cope with open access publishing as they are set up to sell. Open access titles are often listed as 'not in stock'. Direct 'selling' (or open access dissemination) through Google thus becomes essential, platforms such as the university repository rank very highly in Google searches. This benefits the Press if books are published on that platform. Stage Five, the subscription model, also works in this context, albeit not at a cost, rather as a serial publication. Entries of Press books and journals into the Directory of Open Access Books (DOAB, n.d.) and Directory of Open Access Journals (DOAJ, 2015a) allow discovery. Libraries are effectively 'subscribing' to further press publications as they will automatically become available to libraries in their discovery searches. Dougherty (2010) touches on this point regarding the discoverability of e-books for library purchase rather than the discoverability of an open access version.

2.5 Dissemination and discovery

By definition open access content cannot be found by traditional means, such as the library catalogue or commercial vendor sites such as Amazon. Many open access publications are not included in A&I's, and when they are, they are often not versioned correctly. In addition, there is a sense among some academics and library administrators that there is little need to curate open access content not locally created. In many ways, librarians sabotage themselves by not including essential metadata in their repository entries to help aid in the discoverability of their content. Sommerville and Conrad (2014) note that discoverability can best be defined as:

- Successful integration into librarians' infrastructure for content
- Integration across discovery channels
- Relevant results found
- Smooth authentication & usability.

These points readily apply to open access content as well as commercially purchased content. This has important implications for the university press, which must make its content as widely discoverable as possible (Brown, 2013) in order to drive usage and achieve success. The true benefit to open access publishing is when content is provided alongside the commercial content.

While more and more commercial A&I's are including open access content, these are often effectively subject silos, which continue to limit discoverability. Webscale or resource discovery systems have been on the market since 2009 (Stevenson et al., 2009; Stone, 2009). Summon from ProQuest (formerly Serials Solutions), was quickly followed by offerings from EBSCO (EDS), Ex Libris (Primo) and OCLC (WorldCat Local) and these systems are now the leaders in the industry with

almost 9,500 library subscribers between them (Breeding, 2014).[12] Essentially resource discovery systems;

> …harvest all of the relevant sources of data, normalize them into a single metadata schema, and index all of them together in one large union index. This approach offers huge advantages in speed and in the logic that can be applied to the presentation and sorting of results (Gibson, Goddard & Gordon, 2009, p.126).

When first launched, Breeding noted the attractiveness of resource discovery, but commented that "it will only be through the experience of the library users that these products will either prove themselves or not" (Breeding, 2010, p.34). Libraries are now beginning to provide the evidence. As long as each publisher's content is indexed, and this metadata is of sufficient quality, there is no reason why a NUP cannot see some of the gains in usage that data from libraries have shown regarding commercial publisher usage (Stone, 2015; Levine-Clark et al., 2014).

In terms of open access publisher content, DOAJ (2015a) and DOAB (n.d.) are excellent starting places to aid discoverability. In the past DOAJ has been criticised for being less discerning about the publishers it hosted. However, DOAJ encourages all participating publishers to adhere to the OASPA Code of Conduct (2015). DOAB points to open access books that are both published by OAPEN and other open access books that may be found elsewhere. DOAB also provides libraries with the required metadata to create files for loading content into their local catalogues. DOAJ/DOAB are indexed by the large library web scale discovery services. This counters the argument put forward by Xia (2009) that if a journal is not a leader in its field, its usage will be restricted. Research using five years of usage data at Huddersfield (Stone, 2015) shows that there is now a level playing field for library discovery.

For content to be fully discoverable and readily available to the world, it needs to be available via Google/Google Scholar. This is by far the most used discovery resource in academia today and by publishing via the university repository, Press content is searchable through OAI-PMH compliance to potential readers (Franke, 2008; Moore, 2016). In a 2015 survey of UK academics, it was observed that there was growing interest in reaching a wider less traditional audience (Wolff et al, 2016, p.46). Discoverable open access content is one such way to reach the general public and professional audiences.

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[12] There has been some consolidation in the market since research for this thesis was undertaken

2.6 Business models

Library publishing or NUP business models are what makes this form of publishing different from commercial, trade or society publishing. These new forms of publishing rely heavily on subsidies from the library or university research budgets rather than a cost-recovery or profit-driven model (Skinner et al., 2014). This then supports the open access model; "if the upfront costs are indeed fully covered, why would a university press, at least, not wish to dedicate them to the world at large?" (Thatcher, 2011, p.42).

Like academic writing on libraries as publishers before 2008, there is little literature covering the business models of those library publishers, although basic philosophies were in place for Australian university presses at the time (Harboe-Ree, 2007). There has been further discussion in the UK. The Crossick report (2015) developed business models for monographs. In the US, the AAUP report on economic models for scholarly publishing discussed open access as a principle to be "embraced", but only if sufficient business models could be developed (Withey et al., 2011, p.432).

More recently, three US libraries collaborated in an exploration of library publisher models (Mullins et al, 2012) for open access journals (Purdue University); conference proceedings (Georgia Institute of Technology) and monographs (University of Utah). These libraries aimed to build on the work of Hahn (2008) by surveying the state of library publishing in the US in order to use this as evidence of the growth of library publishing and to make decisions needed to secure the future of this form of publishing. The work was conducted mostly between October 2010 and September 2011. Mullins et al. (2012) found that the survey showed a number of library publishing programmes in existence, publishing journals, conference proceedings, technical reports and monographs.

In addition, new models are being proposed, including a global library consortium, which underwrites the cost of producing scholarly monographs, and a campus-based programme owned by the university library (Pinter, 2011; Watkinson, 2011). These models are relatively new and are designed to test concepts for open access publishing, rather than provide a guaranteed solution.

2.6.1 Journal models

The case study of the journal *Numeracy* at USF libraries is of particular interest as it describes a cost-structure model (Chavez, 2010). Like many other library publishing initiatives, editorial duties are not included as these are absorbed in academics' existing job roles. Likewise, administration costs are absorbed in the library budget, which raises the issue of sustainability of the venture if further titles are launched. USF uses the bepress platform to manage the journal and these costs are included in the model. Interestingly this would not be the case for Huddersfield where journals are hosted in the University repository and these costs are supported by a different library cost centre. Other costs

included were the initial set-up costs (in year one only) and archiving costs per year. Chavez revealed that the cost per article for *Numeracy* (based on an average of four articles per issue) was $1,975 in the first year and $1,350 in subsequent years. The suggestion here is that the fixed costs for journal publication will not change in future years, which therefore makes the system scalable and growth sustainable. In addition, there are almost certainly other fixed costs that need to be accounted for if any journal is to observe best practice. This cost-structure model will be applied in Chapter 4 to compare Huddersfield's titles with the example from USF. This will also be discussed further in Chapter 7, which will look at future sustainability and again in the Business Plan.

Open access business models are relatively common in journal publication. Since 2000, "the average annual growth rate has been 18% for the number of [OA] journals and 30% for the number of [OA] articles" (Laakso et al., 2011). By 2009 the share of articles in OA journals had reached 7.7% of all peer-reviewed journal articles. Open access publishing is more common in science, technology and medicine (STM) subjects than in HSS, although some publishers in these areas are beginning to offer open access options, such as SAGE Open (2010) or Bloomsbury Academic (2012).

2.6.2   Monograph business models

Chapter 1 highlighted some of the changes in the UK funding landscape that have direct relevance to the Press. Funder mandates and the Finch report clearly show that the concept and business models behind open access journal articles are fairly well established. However, both Finch and HEFCE recognise that open access monograph business models are yet to be established. In his report to HEFCE, Crossick states that "[i]t 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" (Crossick, 2015, p.4).

Table 2.3 shows some of the other projects regarding open access monograph publication, which have been undertaken since this thesis was started.

Project	Start date	Completion date	Web link
OAPEN-NL	Jun. 2011	Nov. 2012	http://oapen.org/download?type=export&export=oapen-nl-final-report
Jisc's National Monograph Strategy	Jul. 2013	Sep. 2014	http://monographs.jiscinvolve.org/wp/
HEFCE monographs and open access project	Autumn 2013	Jan. 2015	http://www.hefce.ac.uk/rsrch/oa/monographs/
OAPEN-UK	Oct. 2010	Feb. 2016	http://oapen-uk.jiscebooks.org/
Investigating Open Access Monograph Services	Oct. 2014	Oct. 2016	https://www.jisc-collections.ac.uk/Investigating-OA-Monograph-Services/

Table 2.3. Projects to investigate open access monograph business models

Whilst Green and Gold open access are well established in journal models, the academic monograph market is much more complex and far less mature. There are many more issues to overcome in order to establish open access business models for monographs. For example, if the traditional book publishing business model is broken down into 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. Thus, the publishing costs need to be recouped elsewhere and 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. This is discussed further in Chapters 3 and 7.

2.6.3 Sustainability

The AAUP press and library collaboration survey revealed some detail regarding library publishing programmes and business plans (AAUP, 2013). Of the 83 respondents (42 from university presses and 41 from libraries), 35.2% said they did not know about financial expectations for library publishing, while 22.5% said an acceptable loss was allowable (31% did not have a library publishing programme). Free text comments elaborate on this and seem to indicate that acceptable losses included the absorbing of staffing and journal hosting costs into the library budget and open access. This is an almost identical situation to the University of Huddersfield Press as it currently operates.

However, a successful library publishing initiative has a number of challenges regarding sustainability, the key ones being staffing, expertise and funding. As publishing output increases, there will be resulting impact on these areas, which is absorbed into other budgets. Mullins et al. (2012) found that only 15% of libraries surveyed had a documented sustainability plan. The case study report went on to recommend a number of best practices stating that these components are all interrelated and that without a strong integrated sustainability model the concept will not yield a stable funding model.

This thesis contributes to this research from the unique perspective of a NUP at Huddersfield and this is discussed further in Chapter 7.

2.7   Changes to author attitudes

E-journals are well developed as a mode of access and it has long been argued that they have reached their tipping point (Johnson & Luther, 2007). At Huddersfield the tipping point is long past as e-journals now make up well over 90% of the library's journals collection. Furthermore, the Ithaka survey of UK academics showed that over 50% of academics in all disciplines agreed strongly with the statement; "I am completely comfortable with journals I use regularly ceasing their print versions and publishing in electronic-only format" (Housewright, Schonfield & Wulfson, 2013, p.28). This figure did reduce to 40% for humanists. Therefore, the move to open access e-journals is a relatively simple one as the format does not need to change. However, the move from print to electronic access for monographs is still an ongoing debate, and this debate needs to be aired before open access monographs can be fully accepted in some disciplines. In addition, the recent flurry of open access inquiries have produced a large amount of misinformation and confusion around what open access monograph publishing actually means, particularly around Creative Commons licensing.

In order for the Press to publish open access monographs, two important changes need to take place. Firstly, readers need to want to read online, or at the very least want to discover online and be able to purchase a print monograph. Lynch refers to this as the continued "fetishing of the physical book" (Lynch, 2010). Therefore, authors and their learned societies have to want to publish in this format, although not at the expense of the printed book. The second change concerns author attitudes and this is discussed in detail in Appendix 2.1 (Author attitudes) and Appendix 2.2 (Creative Commons).[13]

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[13] These appendices are expanded version of two outputs from the OAPEN-UK project (Collins, Milloy & Stone, 2013, 2015a) and use thematic analysis to pull out themes from various inquiries regarding author attitudes to open access publishing and Creative Commons.

2.8 Conclusion

This chapter has set the scene for this thesis by introducing university press publishing, the open access movement and university repositories in relation to new university publishing. It has discussed the rise of the library as a scholarly publisher in the US and Australia and has drawn parallels with the UK experience at Huddersfield. It can be seen that open access publishing and specifically library publishing is emerging as a real alternative. The chapter has examined different publisher services before discussing library journal and monograph publishing in depth. It has demonstrated that there is still work to be done on business models for library publishing. The chapter has shown that the two formats are at different stages of maturity and complexity and must therefore be treated as separate entities in this thesis.

This chapter serves as an introduction to the case studies on the University of Huddersfield Press monograph publishing (Chapter 3) and journals publishing (Chapter 5 and 6) that follow. In addition, this chapter gives a brief introduction to business models for OA journal and monograph publishing. This will be discussed further in each of the case studies, which will go into greater detail regarding the Press at Huddersfield. Each case study will then examine the lessons learned and suggest recommendations for the future.

The case studies concentrate purely on the Huddersfield experience. However, they will also build on this chapter by including other examples from the literature, where appropriate. As such, the case studies not only inform the final chapter of the thesis and the following Business Plan (Appendix 1.1), but will provide best practice case studies for other NUPs in their own right.

Chapter 3 University of Huddersfield Press Monographs

3.0   Introduction

In 2013, the open access monographs in the humanities and social sciences conference distilled four key messages regarding open access monographs:

- Open access for monographs is not only possible but necessary if we want to be able to innovate, to communicate and disseminate humanities and social science research widely, and to build a sustainable future for the monograph
- Effective quality assurance is key to the successful adoption of OA publishing
- Collaboration throughout the supply chain and across national boundaries will be required
- We must be flexible and willing to accommodate innovative models, not only to sustain the monograph, but for peer review, impact and reputation.
  (Milloy & Ferwerda, 2013)

This chapter will draw on external literature and reflections of experience of the University of Huddersfield Press in order to derive lessons for best practice on future management of the Press.[14] The term 'monograph' is defined before open access business models for monographs are investigated. In addition the research undertaken as part of Appendices 2.1 and 2.2 must also be taken into account as well as the current publishing and funder landscape (Chapters 1 and 2).

Press monograph publications are presented as a series of case studies. These are used to understand the lessons learned from the titles published between 2010 and 2015 for the different stakeholders. These lessons are re-visited in Chapter 7 before being added to the Business Plan with respect to monograph publication.

3.1   Background

The University Press was re-launched in 2010 to publish open access monographs by the then Library Director, Professor John Lancaster. The original idea behind this was twofold; a direct result of the 'monograph crisis' (See 2.4.1) and a way to address issues around academics finding themselves unable to find a publisher to take on a scholarly monograph (Steele, 2008).

3.1.1   What do we mean by a 'monograph'?

Monographs are academic books written on a single research topic or an aspect of a subject. They are usually written by one author and typically aimed at, but not restricted to, a scholarly audience

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[14] Sections of this chapter have been adapted for the purposes of this thesis from previous publications (Collins, Milloy, & Stone, 2015a; Milloy, Stone, & Collins, 2011).

(Thompson, 2005; Williams et al., 2009; Vincent, 2013). For the purposes of this thesis, the definition of 'monograph' will be widened to a broader definition used in a number of recent projects in the UK. HEFCE's Open Access and Monographs 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 (Collins, Milloy & Stone, 2015a; Crossick, 2015). It is important not to be too constrictive in the definition of a monograph. Much of the evidence submitted to HEFCE Consultation on open access in the post-2014 Research Excellence Framework (2013, 2014a, 2014b, 2014c) commented on many different forms of book-related outputs based on researchers' scholarly work. This included book chapters, edited collections, catalogues, critical editions or mid-form publications, which are longer than a journal article but shorter than a typical monograph. The case studies from the Press discussed in this chapter cover a variety of these types.

3.2 Open Access business models for monographs

The report to HEFCE on monographs and open access defined a business model as,

> …a combination of actors and processes (including flows of funds) that carry out the publishing function in a replicable manner at some scale. In other words, to qualify as a business model, the operation has to be a serious attempt to produce books on an ongoing basis for a sizeable readership. (London Economics, 2015, p.5)

A number of questions arise when considering business models for open access monographs for the humanities and social sciences (HSS). Many relate to funding and sustainability. Cockerill (2006) argues that sustainability is not the same as profitability. Declining publisher profits do not equal unsustainable business models. Cockerill stresses that all scholarly communication models depend upon public funding. Moving to an open access Press might simply be regarded as a re-alignment of how public funding is distributed: from monograph purchases via traditional publishing routes to open access publishing by the University and for the benefit of the community.

It is particularly difficult to answer questions about the financial implications of moving to an open access model because relatively little is known about its impact on sales. Most open access business models rely upon income from sales of an alternative or enhanced version of the publication – in print, or PDF, or ePub formats – to support the funding via publication charges (Adema, 2010). The final report of the OAPEN-NL project states that, "Open Access models for monographs differ from the models for Open Access journals, because the Open Access version of a monograph does not substitute printed books in the same way that e-journals are substituting printed journals" (Ferwerda, Snijder & Adema, 2013).

In 2007, the American Association of University Presses (AAUP) painted a "grim picture" of open access monograph publishing (Kwan, 2011, p.27). However, Snijder (2010) finds no relationship between accessibility and sales, and earlier research is mostly anecdotal (Kline Pope, 1999; Littman & Connaway, 2004; Snijder, 2010; Pinter, 2012). The National Academic Presses (NAP) has been operating since 1994 offering free online versions of its printed books. NAP has found that this method has allowed it to succeed in both its missions, to give away content and to increase sales (Jensen, 1999). Kwan (2011) encapsulates the issue for the AAUP in her observation of Canadian University Presses. Much of the infrastructure in 'traditional' presses is set up around a print-based business model, therefore those presses are not agile enough to switch to an open access model.

The Open Access Publishing in European Networks (OAPEN) project explored some of the challenges and issues surrounding the publication of open access HSS monographs at an international level (OAPEN, 2010). This project found several important challenges to open access monograph publishing. It concluded that while national boundaries are irrelevant to open access publishing in terms of access, there are critical components such as the funding model, which must be investigated at a local level to reflect the differences between the education and research systems of European countries. The experiment also concluded that the "main obstacles for the development of Open Access eMonographs in the HSS are cultural and institutional" (Adema & Rutten, 2010, p.5). These barriers are discussed in depth in Appendix 2.1 and 2.2.

A number of projects and initiatives have investigated how open access might work for monographs. These projects include Jisc's National Monograph Strategy (NMS) Roadmap (Showers, 2014), HEFCE's Monographs and Open Access project (Crossick, 2015), the Jisc Collections/OAPEN Investigating OA monograph services project looking at a centralised OA monograph service for UK universities (Ferwerda, 2014), OAPEN-NL (Ferwerda, Snijder & Adema, 2013), OAPEN-UK (Milloy, Stone & Collins, 2011) and the Knowledge Exchange landscape study of open access monographs (Knowledge Exchange, n.d.). All projects began with a clear understanding that open access for monographs may need to work in a very different way from open access for journals. The projects began reporting in 2013 and will continue to report throughout 2016 and 2017.

The OAPEN-NL project was the first of these projects to report (Ferwerda, Snijder & Adema, 2013). The OAPEN-NL and OAPEN-UK projects work along similar lines. The Dutch project ran for a period of 12 months, whereas the UK project covers a period of five years. OAPEN-NL matched 50 open access monographs in various subject areas. These were matched with similar works, which were sold using traditional routes to market. The study found no evidence that open access books influenced sales. "Books with Open Access editions were sold in the same amounts as the conventional books in the

control group" (Ferwerda, Snijder & Adema, 2013, p.4). Citations were also unaffected, although the length of the study will have influenced this as there was not enough time allowed to elapse in order for citations to build up. There was a clear benefit to usage; discovery of the open access titles measured by book visits in Google books increased by 142% and page views increased by 209%. Thus discovery of open access content was very successful with 144 copies sold and an additional 2,800 downloads. Fitzpatrick (2011) noted that one year, after making a draft of *Planned Obsolescence* available for open peer review, the book received 31,000 pageloads, with over 12,000 unique visitors and more than 3,300 of those returning for multiple visits. Fitzpatrick reflected on this compared with the average monographs sales of less than 400: "[i]f the purpose of publication is getting one's work into circulation, my still-in process manuscript arguably succeeded far better than most finished academic books ever will" (p.189).

The OAPEN-NL project made some very useful recommendations for authors:

- Authors should seek a reputable open access publisher for their manuscript, such as listed in the Directory of Open Access Books (DOAB, 2015)
- When negotiating agreements with publishers, authors should retain their copyright, grant publishers the right to publish under CC-BY or CC-BY-NC licenses, and retain the right to self-archive the published open access edition in a repository after a reasonable embargo period
- Authors should not demand a CC-BY-ND license, unless there are justifiable concerns of controversy or misuse or by third parties.
  (Ferwerda, Snijder & Adema, 2013, p.6)

The recommendations support the comments made in Appendix 2.1 and 2.2 and are important messages to get across to new authors when marketing the Press.

The National Monograph Strategy (Showers, 2014) published its roadmap in 2014, referring to the University of Huddersfield Press as 'seizing' the opportunities of low cost academic publishing. The roadmap covers many aspects, from preserving and digitising current print collections to the need for new monograph business models. Literature and evidence provided to HEFCE has highlighted the lack or immaturity of business models for open access monograph publishing (Eve, 2014; HEFCE 2014a, 2014b, 2014c). More recently the Crossick report (2015) identified six business models for open access monograph publishing:

- Traditional publishing – essentially the model we have today with the established university and commercial presses

- New university presses – new open access university presses, such as UCL Press (UCL, 2015a) and the University of Huddersfield Press and also the Library Publishing Coalition (2013) in the United States

- Mission-oriented open access – Crossick defines these as, "OA publishing projects that are animated by a sense of idealistic or disruptive purpose, sometimes felt to be connected with the wider goals of the 'digital humanities'" (2015, p.62)

- Freemium OA – where a basic version of the monograph text is made available on open access, with premium online versions or print runs being available at a cost. OECD (2015), Punctum Books (2015), Open Humanities Press (2015) and Bloomsbury Academic (Bloomsbury Publishing, 2015) have had some success with this model. OpenEdition (2015) offers a similar service across a number of publishers (although this could also be considered an aggregator model)

- Aggregator/distributor models – essentially platforms, which can enhance the functions of a monograph such as the Directory of Open Access Books (see below). Knowledge Unlatched (2015) and the Open Library of the Humanities (2015) are exploring a library consortium-based model.

- Author payment model – described as the traditional model reversed, where the text is available on open access after an 'author' or funder (which could be a university of research centre) payment, essentially gold open access. Many established publishers now offer an open access option to authors of monographs and, in some cases, edited collections.

In many of these business models publishers generally continue to produce print versions of the book, marketing and selling these as usual. In a set of open access business model SWOT workshops, the OAPEN-UK project discussed these models further (Beech & Milloy, 2015). These will be expanded upon in Chapter 7 in the light of the experience of the Press over the last five years.

3.2.1   The costs of open access monographs

Royster (2008) argues that the direct costs of book-length monographs is in the region of $5,000, publisher's overhead costs in the region of $20,000 and required sales income around $50,000. These figures were unsubstantiated. However, Table 3.1 shows the relative costs to the author/funder of open access monograph publishing as of June 2015. This and research for Ithaka, which suggests "that the smallest presses have the lowest average costs per title" (Maron et al., 2016, p.36), does seem to support aspects of Royster's argument.

Publisher	Author fee
Taylor and Francis	£10,000
Palgrave Open	£7,500 - £11,000
Springer Open	Depends on size of work
Bloomsbury Academic	None
Cambridge University Press	£6,500 for up to 120,000 words
Manchester University Press	£5,900 for up to 80,000 words. Banded costs for longer works
Ubiquity Press	£2,860 - £9,340
Open Book Publishers	Approx. £3,500, but only if funding available
UCL Press	Books of up to 100,000 words: £5000 Books of between 100,000 and 150,000 words: £6000 Books of between 150,000 and 200,000 words: £7000 Add £1000 for colour printing

Table 3.1. Open access monograph publication fees (Correct at June 2015) (Adapted from Collins, Milloy & Stone, 2015a).[15]

The data available indicates that there are three pricing tiers for book-length sized publications of 80-120,000 words. Commercial publishers charge a book processing charge (BPC) of £10-11,000, traditional university presses charge £6,000-7,000 and the new library presses such as UCL charge £5,000-6,000. It is interesting how close the new university presses are to the traditional university presses in this respect. However, determining what these costs are is a complicated issue and is being researched by the study of the costs of publishing monographs project, which began in January 2015 (Maron, 2015). The direct costs of the University of Huddersfield publications will be discussed below.

This raises the issue about who pays the BPC. HSS research grants are often smaller than STEM subjects. Eve describes many of these BPC costs as posing "real, possibly insurmountable, challenges for unfunded research" (Eve, 2014, p.130). Yet monographs are the 'gold standard' for HSS research (HEFCE, 2014a, 2014b, 2014c; Vincent, 2013; Lawson, 2013). The costs of monograph outputs are clearly higher than that of journal article processing charges in the UK.[16] However, it is important to

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note that monographs often take years to complete and there would certainly be an expectation that a number of articles could be completed in the time it took to write and publish a monograph.

Unlike journals, the open access policies of most funders usually explicitly exclude monographs in terms of their open access mandates. However, funders do express support for increased availability and openness of outputs based upon research that they have funded. The Art and Humanities Research Council (AHRC), for example, does not mandate open access for monographs, but if a researcher decides that they want to publish their research output as a monograph via open access, they can include the costs associated with this in the grant as Directly Incurred Other Cost (AHRC, 2012). In 2014, the Wellcome Trust (2014) became the first funder to mandate open access publication for monographs based upon research it has funded, and will pay any associated publication fees. In addition, the Gold Open Access Pilot for post-grant FP7 publications was announced in February 2015 (OpenAIRE, 2015). This €4m fund will enable European researchers to cover the costs of open access publishing. The fund is aimed predominantly at journal articles. However, it will consider monograph publications.

The newly launched UCL and White Rose Presses (UCL, 2015a; White Rose University Press, 2016) provide a fee waiver for academics at UCL and Sheffield/Leeds/York respectively who have books accepted for publication. This is certainly a business model that the Press needs to consider going forward. It should be noted, however, that Huddersfield has never asked university authors to pay BPCs.

3.3   University Press Monograph publications

The Press was responsible for a number of publications before the re-launch in 2010. These are out of scope for this research, but it is important to understand how far the Press has come in a relatively short space of time. The three titles are outlined in Appendix 3.1.

The Press has published 12 titles between the 2010 re-launch and the end of the research period for this thesis in February 2015 (See Appendix 1.1A). The subsections below will discuss each publication in turn, noting success stories, issues encountered and lessons learned. For the purposes of this chapter the publications are listed as 'publisher pays' and 'author/institute/funder pays'. These loosely fit with the models described in the Crossick Report (2015).

3.3.1 Publisher pays

When the Press re-launched it covered the costs of three books that were in development – the titles had been verbally agreed with the authors and it was decided to honour these agreements. Essentially these titles followed the traditional publishing model with the Press (via the Computing

and Library Services (CLS) budget) bearing the full costs of production of a traditional print run, which was to be reimbursed from sales.

3.3.1.1 Explosions in November

The first title, *Explosions in November* by Richard Steinitz, was an account of the Huddersfield contemporary music festival (hcmf//). This was the first work where a full contract was drawn up between author and Press. This was a fairly straightforward royalty contract where the author was entitled to 80% of the publisher's net receipts after production costs were covered.

The book itself was lavishly produced with several full colour plates and a large 'coffee table' design measuring 29.6 x 23.2 x 2.4 cm, which added to the cost of the publication. The whole project had been started long before the Press re-launched. There is no evidence to suggest that an initial budget was set. Additional costs such as pop-up marketing stands were added to the costs of the production. There had not been any work on publicity in the run up to publication. It had been assumed that the work would sell at the hcmf//, where the book was launched in 2011.

This shows the relative inexperience of the Press at this time. Perhaps the biggest error in planning was the fact that the price of the book was set well before any actual costs were known. The recommended retail price (RRP) was set at £30. This followed one of the basic principles of the Press, which was to enable high quality work to be sold at affordable prices. Unfortunately by setting the RRP so low the Press had not taken into account any supplier discounts. Table 3.2 shows the costs of publication against the income from sales.

Expenditure	£18,707.06
Income	£2,660.72
Surplus	-£16,046.34
Copies printed	1,000
Copies sold	144
Review/complimentary copies	22
Stock remaining	834
Production costs per book	£19.13
Average income per item	£18.43

Table 3.2. Costs of publication against the income from sales for *Explosions in November*

At the time it was suggested that any run over 250 copies would be overly ambitious (Willinsky, 2009). However, it was thought that the book could be of interest to everyone who had attended hcmf// over its 33 year history. However, only six copies were sold at the festival book signing and only 66 copies were sold throughout the festival period. A further four copies were sold at the 2013

festival. The book was also taken on by the local Waterstone's and Forsyth's in Manchester. Once again only limited numbers were sold (13 and six copies respectively). Subsequent copies were not required. The large discounts expected by retailers - Amazon receives a 60% discount, Waterstone's a 40% discount - has meant that the average income was never going to meet the cost of production per item, even if stocks had sold out. Going forward, this would not be an issue if cost recovery was not required - the open access model. However, this particular title was intended to make a surplus.

There is no doubt that the book itself was of high quality, a number of review copies were sent out after publication and launch at hcmf// and these were extremely positive,

> …a hugely rewarding story, laced with humour as crises are confronted and (usually) overcome.
>
> (Whittall, 2012, p.118)
>
> In this beautifully produced, thoughtful and at times moving history of the Huddersfield Contemporary Music Festival (hcmf), Richard Steinitz, its founder and artistic director for 23 years, tells an inspiring story.
>
> (Hamilton, 2012, p.74)
>
> …the book will be of interest to scholars and researchers as well as to the lay reader.
>
> (Fallas, 2012, p.68)

However, these reviews did not convert into sales.

The publication of this first title shows a number of clear lessons for the Press. Not least to have a budget and adhere to it, to have an agreed plan and above all realistic expectations for both the author and the Press.

3.3.1.2 Drums and Bass: for tomorrows rhythm section and Grooves for guitar

The second project for the Press was another verbal agreement that had been made with an author before the re-launch of the Press. The concept behind the two titles was to combine a book of performance pieces, one for guitars and one for drums and percussion, with CDs that could be used to play alongside. This publication differs from other Press output in that it is more akin to a trade publication.

With this in mind, the author was keen to have a considerable number of copies printed. However, the print run was strictly limited to 100 copies per book after lessons learnt from the previous publication. Unfortunately, due to a lack of processes in place, the author was allowed to set the

price of the publication at £18 for *Drums and base* and £11 for *Grooves for guitar* before any costs were known.

Title	Drums and base	Grooves for guitar
Expenditure	£1,108.50	£768.00
Income	£290.00	£188.23
Surplus	-£818.50	-£579.77
Copies printed	100	100
Copies sold	23	19
Review/complimentary copies	8	7
Stock remaining	69	74
Production costs per book	£12.05	£8.26
Average income per item	£12.61	£9.91

Table 3.3. Costs of publication against the income from sales of *Drums and bass* and *Grooves for guitar*

The same royalty rate was agreed. However, due to the pricing agreement, costs could not be met by sales and author royalties would never be paid unless the first print run sold out (Table 3.3). Indeed, there was not enough income to pay for a second print run, which may have brought the costs down as the majority of costs are in typesetting and design and CD licensing. The author was consulted about possible reviewers and a number of review copies were sent out, unfortunately only one favourable review came back, this was for *Drums and Bass*:

> Players such as Slash, preach the idea that you get a lot better by playing with other musicians as opposed to yourself. This book is definitely a step in that direction and the promotion of Academic books encouraging you to work with other people is a great welcome. (Anonymous, 2012)

The Press had not yet established a peer review process or a marketing plan. The author was asked to assist in the marketing of both books in order to help increase sales and as a result two suggestions were made. Firstly, a potential partnership with Music Sales Group, a "[d]istributor of books, periodicals and sheet music for both pop and classical artists" (Music Sales Group, 2015) was arranged. This resulted in a distribution deal whereby Music Sales Group sold both books via their online store and to individual music shops via their sales reps in return for a 30% commission rate on the RRP. This was a far better deal than that offered by Amazon or local bookshops (where copies are yet to be sold). 50 copies of *Drums and Bass* and 75 copies of *Grooves for guitar* were sent on a sale or return basis. However, after two years, only eight copies of *Drums and Bass* and seven copies of *Grooves for guitar* were sold and the remaining copies were returned.

Secondly, the Press emailed music librarians at UK universities where appropriate courses were taught. This was in order to get the books onto reading lists. Again sales were relatively poor, with 10 sales of *Drums and Bass* and 11 sales of *Grooves for guitar* via library suppliers Coutts and Bertram over a three year period. This suggests that the books did not feature on any reading lists. This was supported by the almost total lack of personal sales or sales via Amazon despite the author assuring the Press that all students on courses at Huddersfield would purchase both books. It appears that there were no direct sales at all. The book had not been added to the reading lists system, although it did feature in a module handbook under an optional course.

On reflection, there was no clear business case for taking on the publication of these titles and author expectations were not managed. The Press was not prepared for a trade publication such as this and the lack of a peer review process failed to raise issues around quality. As a result, a number of processes have been tightened up around the proposal stage. Furthermore, the Press needs to fully understand and manage author expectations, which will be further discussed below.

3.3.2 Author/Institute/Funder pays

The titles in this section were financed by external funders for the most part. Therefore they have specific relevance for the business of the Press going forwards.

3.3.2.1 Shibusa: extracting beauty

Shibusa: extracting beauty was the output of a Leverhulme Trust award (Leverhulme Trust, 2015) and celebrates a number of artistic endeavours: music, painting and the skill of making in general with particular reflection upon Japanese aesthetics. Authors Monty Adkins (Professor of Electronic Music) and Pip Dickens (formerly Leverhulme Trust Award Artist in Residence in the Department of Music at Huddersfield) edited the work and made major contributions of text and artwork. The book was also accompanied by a separate CD (Adkins, 2012) and art exhibition at the Daiwa Anglo-Japanese Foundation in London (Dickens, 2012; Elwes, 2012). This was the first scholarly monograph that had been wholly produced by the Press. It was also the first to complete the new process. A full proposal process was followed and contracts were issued to the two editors/authors. After approval, an initial meeting was held on 18 May 2012 with the Press, the authors and representatives from Jeremy Mills Publishing (JMP),[17] who were to provide design and printing services. Table 3.4 outlines the publishing schedule. Inevitably, there were issues with the timeline and things became extremely tight. This was alleviated by the decision to move the launch away from hcmf//.

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[17] During the research for this thesis, Jeremy Mills Publishing changed its trading name to JMP. It is now known as D&M Heritage Ltd.

Dates	Action
End of May	JMP to provide revised quote
End of June	Contracts signed (Monty Adkins on behalf of contributors)
End of June	Pip Dickens to provide cover images JMP to work on layout
End of June	Design sign off
Mid-July	Deadline for authors
End of July	Deadline for editing
Mid-August	Deadline for proof reading
Mid-August	ISBN, logos etc. to go to JMP
Mid-August	Press to send details to Nielsen Bookdata
End of September	Approval of proofs
End of October	Deadline for printing
November	Book launch at hcmf//

Table 3.4. Publishing schedule for *Shibusa: extracting beauty*

The entire publication budget was covered by the Leverhulme grant. This meant that unlike *Explosions in November*, the budget had to be capped. However, discussions on the print run in early 2012 proved difficult. A print run of 1,000 copies was initially put forward. In addition it was suggested that limiting to 500 copies hardly justified the time to write. However, a run of 500 copies would have added another £2,000 to the costs. Therefore, it was decided to print 250 copies in the first instance. Table 3.5 indicates that this decision was entirely justified and gives clear evidence that the Press was learning from previous practice.

Expenditure	£3,625.25 (Paid entirely from the Leverhume Trust)
Income	£1,269.46
Surplus	£1,269.46 (Based on grant income)
Copies printed	250
Copies sold	76
Review/complimentary copies	28
Stock remaining	146
Production costs per book	£16.33
Average income per item	£16.70

Table 3.5. Costs of publication against the income from sales for *Shibusa: extracting beauty*

The grant from the Leverhulme Trust allowed the full publication costs to be covered. Therefore, any income from the book contributed to the running costs of the Press. However, it should be noted that the production costs had been calculated in advance and the RRP had been set to match this.

The reasoning behind this was to learn from previous publications and show that this model could be followed and would be successful providing all issues were sold.

Lessons learned at this point include a greater understanding of the proposal process; peer review; production costs and print run numbers and subsequent setting of the RRP (£24). However, sales of the book suffered due to inexperience with marketing. Despite high hopes for the launch at the Daiwa Anglo-Japanese Foundation in London, only 12 copies were sold. Other exhibitions were less successful and one box of books was sent too late for an exhibition due to an administrative error. In hindsight, a marketing plan would have helped. In addition, a programme of proposed exhibitions should have been obtained from Pip Dickens. The Press would then have contacted the galleries in advance. This may have led to significantly more sales.

Review copies were sent out and one particular review was noteworthy:

> This is a fascinating book taking its title from the Japanese concept that revolves around the skilful blending of restraint and spontaneity. Shibusa has a refinement that gives spiritual joy.

> This series of 8 essays, grouped into 3 parts, will appeal to both the specialist and the generalist reader. The artist partners explore the language of art and the relationship it has with this quintessential Japanese concept using the 7 attributes defined by Yanagi Setsu.

> (Waring, 2012, p.11)

There were significant successes for the Press. Twenty-five copies were purchased by the Doshisha Business School in Japan, a number of other copies were sold to library suppliers. International sales not only benefitted the reputation of the Press, but also that of the University. Looking forward, this could be included as part of future Research Excellence Framework (REF) impact and environment statements.

By 2014, sales had dropped off and a paper suggesting that the book be made available on open access was taken to Press Board. This had been resisted at the launch of the book, but by this point both authors saw the benefit of this approach. A Licence to Publish (LtP) was signed and the book was added to the University repository with a CC BY licence on the 1 April 2014. Since then the book has received 515 full text downloads (1 April 2014 – 30 June 2015, see Figure 3.1). There is an interesting spike in usage in October 2014, with 135 downloads, although the authors cannot explain this. Often it is an indication of a citation, review or social media campaign.
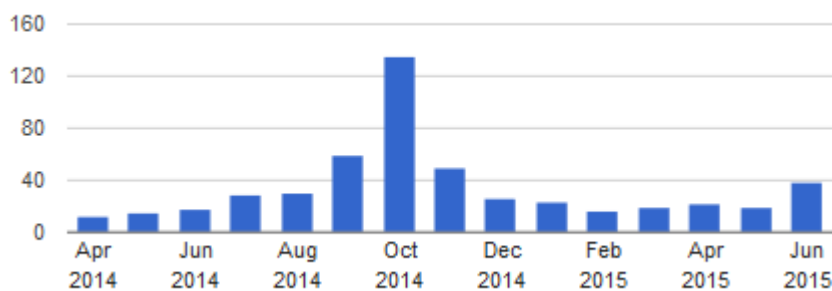
Figure 3.1 Full text downloads of *Shibusa: extracting beauty* since open access launch

This was an early indicator that as a means of scholarly communication, open access was very successful, more so than the print run. Finally it should be noted that this title was submitted as part of the University of Huddersfield's 2014 REF return. This will be discussed further in Chapter 7.

3.3.2.2 *РОТОЯ: Part I transdiciplinary dialogue and debate; РОТОЯ: Part II transdiciplinary dialogue and debate; РОТОЯ review*

The *РОТОЯ* project was something of a departure for the Press. The project is an example of how the Press can help to enhance the impact of the University in the local community in conjunction with School strategy.

РОТОЯ was a partnership established in 2011 between Huddersfield Art Gallery and the University of Huddersfield. It consisted of eight exhibitions, which took place during 2011 and 2012. *РОТОЯ I* and *II* were 16 page exhibition catalogues for the 2011 and 2012 exhibitions. The proposal originally approved by the Press Board was to have these accompanied by two review books containing critical essays about the works. Due to the late running of this part of the project, *РОТОЯ review* was published as a single volume at the end of 2014.

РОТОЯ differed from other Press outputs in a number of ways. Firstly, the design of all three publications was done entirely within the School of Art, Design and Architecture, although the first brochure was designed with Press input. JMP were only required to handle the print runs of the publication. This kept costs to a minimum. All three publications were distributed as free promotional copies. As such there are no relevant sales figures. In addition, because the brochures directly supported the events, open access downloads have been low. Downloads of *РОТОЯ review* have also been low (See Figure 3.2). This is due to the way the Press output has been disseminated online. It was thought that membership of DOAB (discussed below) may change this in the future.

Downloads per month over past year
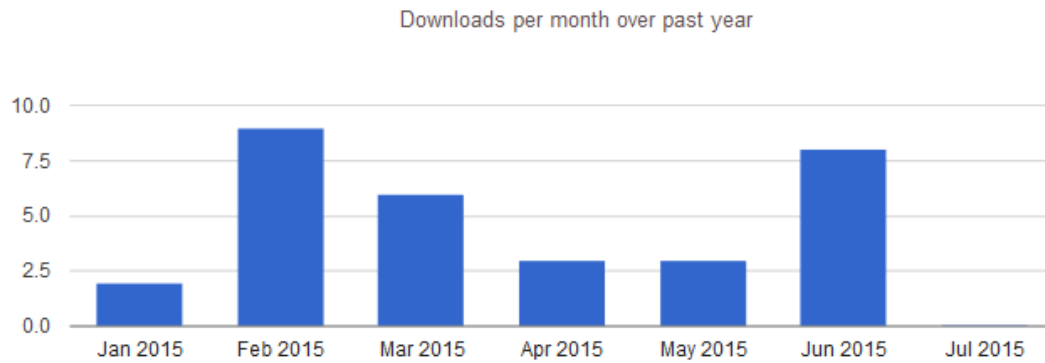
Figure 3.2. Full text downloads of *ROTOЯ review* since publication

3.3.2.3 Slavery in Yorkshire: Richard Oastler and the campaign against child labour in the Industrial Revolution

This title was another publication that was already agreed prior to the Press re-launch. However, unlike the other titles in that category, this title was a result of research undertaken as part of a Heritage Lottery Fund (HLF) grant. Lessons learned from the previous publications had made the Press better prepared for new proposals. However, this particular publication had been project managed by the editors and had not received any strategic direction from the Press. The publication itself was running over two years late due to a large amount of work that had been done on the submitted chapters by the two editors. In some cases there were disagreements about style. This led to a lengthier book than originally planned, and budgeted for from the HLF money. When the book came to be typeset and proofed it was found that a large number of images were not of sufficient quality. In the process of re-submitting them, a number of new photographs were added, which drove up costs significantly. For example two images were purchased from the Mary Evans Library costing £240. The original grant from the HLF was for £5,189.50, the additional work resulted in the book being £2,595.57 over budget, and the shortfall was paid by CLS (see Table 3.6).

Expenditure	£7,785.07 (£5,189.50 from HLF)
Income	£3,876.84
Surplus	£1,312.66 (Based on the CLS contribution)
Copies printed	500
Copies sold	240
Review/complimentary copies	60
Stock remaining	200
Production costs per book	£17.69
Average income per item	£16.15

Table 3.6. Costs of publication against the income from sales for *Slavery in Yorkshire*

This overspend resulted partly because the Press did not manage the project and the authors were left to their own devices. The Press had had no contact with the project until November 2011, by this time the authors had agreed a quote with JMP. This proved to be inaccurate because the authors had not had any guidance. In addition, the authors had not been approached about open access and had set a price of £17.50, discounted to £15 for certain groups because it sounded reasonable. There was also a print run of 500 copies, well over what the Press would have advised had it been more proactive at this point.

This was another lesson to be learned for future publications. It is necessary for the Press to keep tighter controls on budget. If authors are the recipients of a research grant, which enables publishing, this should be controlled by the Press, not the authors. This would help to achieve the best value. In addition, the Press needs to manage the process closely rather than following the author's plan (see 3.5).

Another very positive lesson learned was what can happen if authors buy in to the marketing of their title. In previous examples, the assumption was that either the book would 'sell itself' or that the Press was able to run a largescale marketing campaign. The author/editors of *Yorkshire Slavery* were very active in the local history groups in the region. Stock was taken to a number of local history events and sold at a special price of £15 per copy for local history society members. The RRP was negotiated up to £22 by the Press in order to protect against supplier discounts. Therefore, discounts worked out at £14 per copy to local bookstores in Huddersfield and Halifax and £13.20 for sales via Amazon. The revised RRP meant that the 'discounted' cost worked out in the Press's favour. In addition, a number of sales to library suppliers and the local public library were made at the RRP of £22 or the Press sales price of £20. This helped recover the funds contributed by CLS and make a small surplus, which helped to offset losses in other areas and Press administration costs.

The book was also reviewed by Malcolm Chase (University of Leeds) in *Yorkshire Archaeological Journal*;

> This attractive book deserves a place on the bookshelves of anyone interested in the history of nineteenth-century West Yorkshire.
>
> Collectively the contributors set the stage for what should be a renaissance of interest in Richard Oastler and the populist Tory discourse of which he was so notable a proponent.
>
> (Chase, 2014)

This may have accounted for library sales and some of the orders via Amazon, at least one copy was sold to a customer in the States.

The book itself was never made available on open access, but the preface and first chapter were added (Hargreaves and Haigh, 2012). Usage in Figure 3.3 shows that this has been successful with 785 downloads between December 2012 and June 2015. As sales drop three years after publication, there does seem to be a case in making the whole work open access, although this is something that the authors have not been receptive to. Again, this is a lesson to be learned in negotiating a LtP, which would contractually agree this from the beginning of the process.
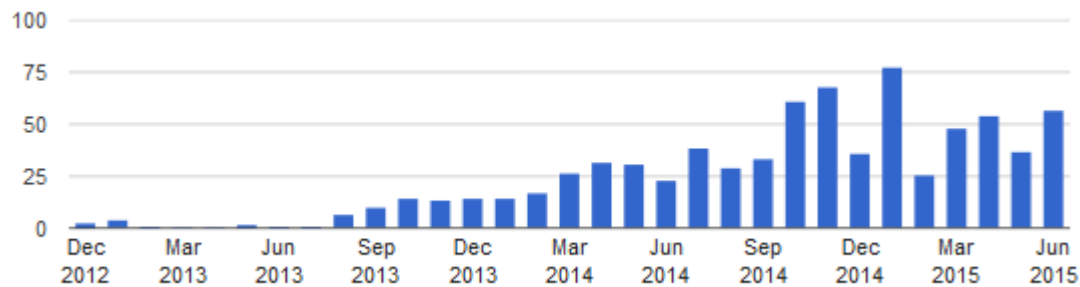
Figure 3.3 Full text downloads of *Slavery in Yorkshire* chapter since publication

Making a title available on open access after publication could be seen to impact on those that had already purchased the title. What would be the readers' reaction if they found that a title they had purchased in print was available for free electronically? There is little evidence from the OAPEN-UK experiment to suggest that this was an issue.

3.3.2.4 Noise in and as music and Overcoming Form: reflections on immersive listening

During 2012/13, as part of the preparations for the University of Huddersfield's REF submission, the Press was approached by two sets of contributors with proposals for books that would be submitted to the REF.

One of the editors of the Noise publication contacted the Press after being impressed by *Shibusa*. The reasons for proposing the title were that the process might be easier to control than through a traditional publisher. Indeed, the speed of publication that the Press could offer was of particular importance regarding the REF submission deadline of December 2013 (Cassidy, personal communication, October 2012). The original idea was to publish a set of conference proceedings from a conference organised for autumn 2013. However, the REF deadline required the book to be written in advance and launched at the conference. The conference itself was an extension of a similar conference held in New York in March 2013. A list of international contributors was already at hand and impact for the REF was thought to be guaranteed.

A full proposal was submitted and approved by the Press Board. The editors of the work acted as peer reviewers for the contributions. Costs were underwritten by the department enabling the book to be published on open access. It became the first Press publication to do this. As part of this process all chapter authors signed an LtP and the whole book was published with a CC BY licence. It was also agreed that the title would have a limited run of 100 copies. This is further evidence to show that the Press was learning from each publication and was able to put lessons learned into action for each new title.

Expenditure	£2,252.75 (supported in full by the department)
Income	£1,731.08
Surplus	£1,731.08 (based on departmental contribution)
Copies printed	100
Copies sold	83
Review/complimentary copies	14
Stock remaining	3
Production costs per book	£12.11
Average income per item	£20.86

Table 3.7. Costs of publication against the income from sales for *Noise in and as music*

Table 3.7 shows that in this particular case the limited print run and the open access option proved successful. Sales at the conference launch and the 2013 hcmf// accounted for 42 of the 83 sales. Other sales were made to library suppliers and direct to customers in the UK, United States, Australia and Argentina. This was effectively down to the marketing of the authors who contacted their networks. The title also received favourable reviews in the journal *Tempo* (Bhunnoo, 2014).

Figure 3.4 shows that the title was immediately popular on open access and still receives steady downloads every month. This supports the views of Fitzpatrick (2011) regarding the circulation of scholarly work.
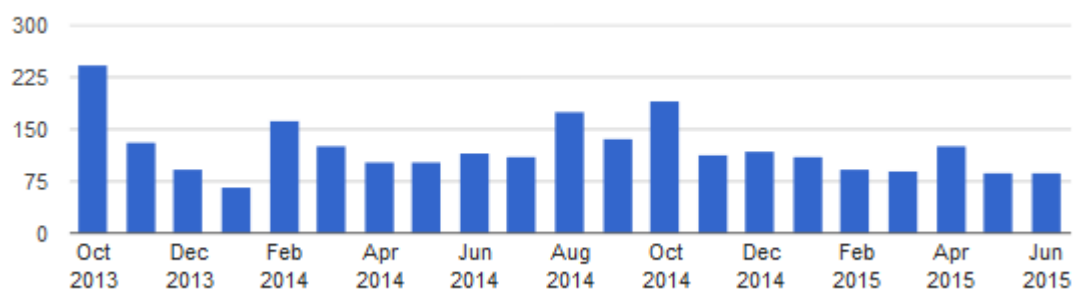
Figure 3.4 Full text downloads of *Noise in and as music* chapter since publication

The vast majority of print copies were purchased within the first 12 months of publication. However, despite the title being one of the biggest sellers, there were issues around how the Press was perceived to be marketing the title. This created friction between the Press and one of the editors. On reflection, it appears that the success of the title through sales and online downloads may have clouded the original aim of the project, to publish a high quality scholarly work in time for the REF deadline and to recognise its impact in the research community. To this end, the title achieved its aim. One of the issues was the availability of the title on Amazon. As a result of this a great deal of pressure was put on the Press to spend the income of the sales on a further print run of 100 copies. The issues with Amazon were soon rectified. However, to date only one copy has been sold in this way. Indeed, there have yet to be any sales of the reprint. In addition, the reprint meant that the Press lost revenue as costs were higher than the income received.

This does raise serious issues for the Press when developing new publications. In this case, the editors were given a great deal of control over how the book was published. Despite rigidly sticking to their own budget, there were two issues that arose from the amount of control the Press allowed. Firstly, there was a perception that the costs that were put up by the Department meant that the final word was with the editors and not the Press. This then caused friction when the actions of the Press were not approved by the editors and did not help when discussions over Amazon become difficult. The lack of control exerted by the Press impacted on the second issue. The editors were responsible for obtaining reviews. However, only one review was published and the Press was unable to get the full details from the authors. This disjointed approach had an impact on the marketing of the title. It could be argued that this may have had a bigger impact on sales than issues around Amazon. This highlights an ongoing issue. A library-led Press was seen by its contributors as more of a service than a fully-fledged publisher. This issue needs to be tackled as part of the Business Plan, which needs to set out clear roles and responsibilities between author and publisher.

Overcoming form was published in a very similar way to *Noise in and as music*. The proposal was accepted in March 2013. The book itself composed of four extended essays and six prints commissioned especially for the book. Again, the authors signed an LtP and the book was made open access on publication.

Expenditure	£982.90 (supported in full by the department)
Income	£235.00
Surplus	£235.00 (based on departmental contribution)
Copies printed	100
Copies sold	22
Review/complimentary copies	11
Stock remaining	67
Production costs per book	£11.04
Average income per item	£10.68

Table 3.8. Costs of publication against the income from sales for *Overcoming form*

Table 3.8 shows that this title was by no means as successful as *Noise in and as music*, with only 16 sales coming from the 2013 hcmf//. Figure 3.5 indicates that the open access downloads have been relatively low. However, the point of this title and the original intension for *Noise in and as music*, was that the Press would produce two peer reviewed monographs for submission to the REF and to demonstrate their academic value. In this respect both titles fully achieved their aims. Chapter 7 will discuss this further as part of section on sustainability of the Press and as part of the Business Plan.
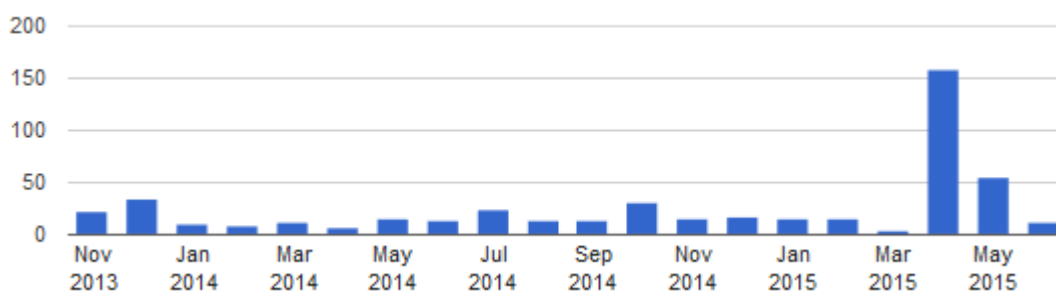
Figure 3.5 Full text downloads of *Overcoming form* chapter since publication

This particular title was not marketed at all. This may have affected both sales and downloads and is a clear case in point as to why the Press needed a full marketing plan with each title.

3.3.2.5 Bhangra: Mystics, music and migration

Up until this point, the Press had either published titles from senior academics or titles that had been agreed before the re-launch of the Press. *Bhangra: Mystics, music and migration* marked a departure from this and shows how important the Press can be for first time authors and the institutional reputation of the University.

The author proposed the title after encouragement from his supervisor, a keen supporter of the Press. The proposal was to convert an MA by research into a monograph publication. If accepted, costs were to be covered by a £6,500 grant from the HLF, plus a contribution from the School of Music, Humanities and Media. The proposal itself was exactly what the Press had hoped to attract in relation to student work. However, a number of changes were sought by the Press Board and reviewers before the proposal was accepted. This is an important point to note. Even with costs fully covered, the Press insisted on peer review procedures being followed. This was also the first publication that used the new marketing plan (Appendix 1.1F) designed to give more rigour to the marketing process following on from previous publications.

The author worked tirelessly with JMP in order to produce a very lavish publication. JMP themselves worked hard to keep the book within the budget. A further grant of £1,500 was paid to the Press to cover the considerable cost of postage for complimentary copies. To date 61 copies have been sent to academics and contributors around the world. It is unfortunate that the publication has not been made available on open access, however.

Despite a comprehensive marketing plan and a great deal of commitment from the author, sales have been disappointing, with only 29 copies sold. 12 were sold to library suppliers, the remainder via direct sales or Amazon. The author gave interviews on the BBC's Look North and the BBC Asia Network. However, both of these opportunities failed to convert to actual sales. Events in Huddersfield and Birmingham also failed to convert to sales and the Press was also unable to get Waterstones to stock the book.

Like all Press publications, sales were not necessarily the desired outcome and the book itself was very well received. Indeed the media publicity was of great value to the University itself and showed how the Press could support student research publications. A strategy that fulfils the remit of the Press to publish first time authors.

3.3.2.6 Huddersfield's Roll of Honour: 1914-1922

The final title of the twelve monographs to be published between 2011 and 2014 is further proof of the diversity of models and proposals received by the Press. *Huddersfield's Roll of Honour* represents the life's work of J. Margaret Stansfield. It is a detailed account of 3,439 service personnel from Huddersfield who lost their lives during the First World War, with a preface by HRH The Duke of York KG and an introduction by The Reverend Paul Wilcock who brought the project to the attention of the Press.

The title already had the backing of senior staff in the University as a contribution to the University's remembrance of the centenary of the outbreak of the First World War with a view to donating an amount to the Royal British Legion. However, this also meant that the book followed the pattern of earlier publications, where the Press did not have overall control of the publication from the outset. For example, a proposal was not received and the peer review process had not been agreed. A marketing campaign was arranged with the Huddersfield Examiner to serialise the book before the Press was brought in.

An initial publishing timetable was agreed in January 2014, which included a 13 June launch date. In March 2014 a LtP and contract had been drawn up for the widower of Margaret Stansfield. However, this was a year after the book had first been brought to the attention of the Press. By May 2014 proofreading of the book had still not been finished, the introduction and preface had not been completed, copyright on all images was still to be cleared, and title was yet to be decided upon. At this point a revised timetable was agreed (Table 3.9). There was as much as five weeks recovery time built into this timetable. This was required due to issues with images and the quality of the text submitted to JMP.

Dates	Action
16 June	Manuscript and images handed in to JMP
7 July	Typeset proofs sent to the University
28 July	Proof corrections returned to JMP
11 August	Proof returned to the University
26 August	Proof corrections returned to JMP
8 September	Proof returned to the University
19 September	Proof signed off for printing
17 October	Final books ready

Table 3.9. Publishing schedule for *Huddersfield's Roll of Honour*

The book was successfully launched on 3 November 2014 and sales have been reasonable in comparison to other books from the Press and comparable to expectations for scholarly monographs. However, once again sales fell short of the expectations. This underlines the need to manage author expectations at an early stage.

A marketing plan was produced and the launch event sold twenty-one copies (many of the attendees at the event had complimentary copies), but the Huddersfield Examiner did not serialise the book, although it was covered in a pull out edition. Waterstones decided not to stock the book, in fact only two copies were sold to a local bookshop in Halifax. Sales to library suppliers and direct

sales to Amazon were also poor. The majority of sales have come direct to CLS or via the University online store.

Expenditure	£14,812.30
Income	£5,198.94
Surplus	-£9,613.36
Copies printed	1000
Copies sold	263
Review/complimentary copies	26
Donation to the Elland Royal British Legion	600
Stock remaining	111
Production costs per book	£14.81
Average income per item	£19.77

Table 3.10. Costs of publication against the income from sales for *Huddersfield's Roll of Honour*

The LtP for *Huddersfield's Roll of Honour* featured a number of clauses that had not appeared in previous licences or contracts. Firstly, there was a clause to allow the Huddersfield Examiner to serialize the work, although this was never taken up. Secondly, regarding Royalties there were two important clauses:

> The Press shall pay to the Licensor any royalties on sales of the Publication at the Royalty Rate (as defined below); the Licensor directs the Press, on his behalf, to pay all such royalties to the Poppy Fund of the Elland Greetland and District Branch of the Royal British Legion (registered charity no. 219279), or to such equivalent charitable body as the Licensor may otherwise direct in writing.

and

> In this clause 9, "Royalty Rate" shall mean all proceeds from sales of copies of the Publication received by or credited to the Press after taking into account the Press's publication costs (including costs associated with the development, production, printing and proofing of the Publication and trade discounts). In recognition of the request of the Licensor for the Press to pay any royalties to which he is entitled to the Royal British Legion in accordance with clause 10a above, the Press agrees to waive its right to recoup its publication costs up to and including an aggregate amount of £16,000, with the result that only an initial aggregate net amount of £5,000 (excluding VAT paid on such sales) will be recouped by the Press from sales before royalties are paid provided always that this waiver will only remain in force whilst the Licensor's direction to pay the royalties to the Royal British Legion or equivalent charitable body remains.

However, since it was later found that the University was unable to donate proceeds of the book to the Royal British Legion, the Press Board later decided to donate 600 copies, which equates to

£12,000 if the books were priced at £20 per copy. Therefore, after this 'donation', there are only around 100 copies of the book left in stock (Table 3.10).

The final clause in the Licence to Publish concerns open access:

> The parties agree that the Publication will be embargoed for electronic publication on this basis for the first 12 months following the date on which the Publication is first published as a hard copy.

Essentially, the title is embargoed for twelve months and after this date it will be made available on open access. It will prove interesting to note if this effects sales, which have slowed to a trickle in 2015.

Like the previous title, the value of *Huddersfield's Roll of Honour* was not in sales, but in the ability of the Press to publish a work of local interest that may not have been published otherwise. In turn, this helped to put the University in a very positive light with the local community.

3.3.3   Proposal form

After honouring agreements to publish the books discussed in section 3.3.1, a number of questions were asked regarding the proposal and acceptance stage. A proposal form for all future submissions was submitted to the Press Board. There have been a number of iterations of the form after each submission was received and improvements were made. The latest version is available as Appendix 1.1D.

The form itself is designed to give the University Press Editorial Board enough information in order to approve sending sample chapters for peer review before a final decision on the acceptance of the proposal. Prospective authors are asked to provide a brief synopsis of the title alongside any supporting work including related journal articles, sample chapters etc. Authors are also encouraged to indicate competing titles and describe the titles' unique selling points. This is in advance of a full marketing plan (discussed below). The two suggestions for peer reviewers are used to follow up the proposal along with any supporting information. The procedure has proved successful in rejecting at least one title, while another never got to the proposal stage after the form was sent. The titles discussed in section 3.3.2 have all used this process. The process itself has been tightened up significantly in its various iterations.

3.4   Marketing and dissemination

It can be seen from the case studies above that the monographs published by the Press have followed a number of business models, including traditional print runs, open access with print and print with embargoed open access. In each case the marketing of the title and dissemination of the

open access version are key to getting the title into the public domain. Gatti describes dissemination as a very small but critical part of the processing process, "[t]here's no point knowing if you can't tell people" (Gatti in Milloy & Ferwerda, 2013).

3.4.1 Marketing Form

The proposal form features a small section on marketing (Appendix 1.1D). However, it quickly became apparent that more work was needed on this front. Unlike many established publishers, the Press did not have a managing editor for each publication and had little capability for running a full blown marketing campaign (this is discussed further in Chapter 7 regarding the Press's sustainability). Therefore, the best way to market what are in the most part, niche works, was to tap into author networks. A separate marketing form was designed in order to capture the expertise of the author. The form includes sections outlining what the Press, central marketing and author are expected to do (Appendix 1.1F). The marketing form states that, depending on the method of publication, the Press agrees to:

- Assign an ISBN and register the title with Nielsen BookData
- Ensure a PDF of the title is deposited in the University Repository on open access
- Register the title with the Directory of Open Access Books, where the title meets the criteria
- Make the title available for purchase on the University Online Store (print copies only)
- Notify local book stores of publication where applicable (print copies and local interest only)
- Make a number of copies available for review
- Notify University Central Marketing upon publication.

Central marketing are responsible for general marketing, such as:

- Send details to relevant academic news sites
- Promote over relevant social media channels
- Include the book in the next available issue of Discover, the University's in print and online research magazine
- Contact national media outlets
- Pass the information to the PR team for consideration of a news story.

Finally, the author is expected to work with the Press on marketing the work by supplying information as required and help identify relevant contacts.

One such way of reaching author networks is via social media (Brooker in Milloy & Ferwerda, 2013). However, there is evidence to say that many researchers at the University of Huddersfield have not

yet engaged in social media (Stone & Collins, 2013). The Press is now collaborating with the Central Marketing Office to run two staff development courses for researchers and academic staff, *Open Access Publishing: increase your audience* (Beech & Stone, 2014) and *Practical hints and tips for research impact* (Beech & Stone, 2015a), which introduce open access, the University Press and online networking via social media.

3.4.2 Suppliers

The majority of sales for Press publications have come through launches and related events, library suppliers and direct sales, either through the University's online store or through the CLS administration team. These sales allow the Press to take 100% of the sales in order to cover costs – library suppliers are not given a discount. At publication an ISBN is registered for each title. For publications that will go on sale (the *ROTOR* project being the exception), the ISBN is registered with Nielsen BookData to ensure the title is picked up by major library suppliers such Bertram and Gardners in the UK.

However, authors have also been keen to see their books featured in Amazon and other supplier's platforms. Registration in Nielsen BookData will ensure that the item is picked up by Amazon, but can result in a minimal record. The Press was registered as a supplier with Amazon, but in 2014 the Press registered to become a vendor. This gave more control over the record seen in Amazon, the downside is that Amazon takes 60% of the sale price of a publication. This reduces the income for print titles. A solution would be to increase the RRP of a book. However, this would go against the principle of the Press to sell copies at affordable prices. In addition, revenue is not the primary business model. However, availability on platforms such as Amazon are important to authors. For example *Noise in and as music* displaying as 'currently unavailable' despite being in print at the press does not promote a good relationship between the Press and the author (see Figure 3.6).
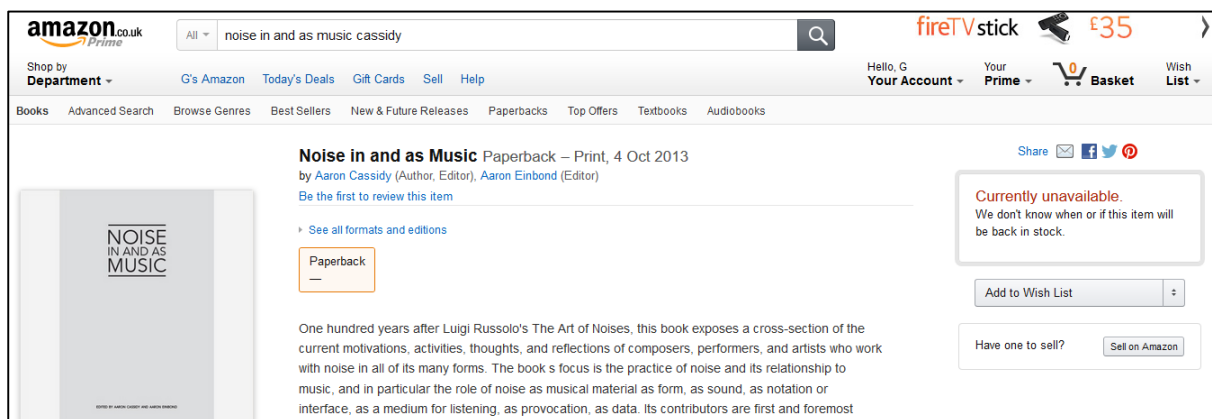
Figure 3.6. *Noise in and as music* record at Amazon

In contrast, *Bhangra: Mystics, Music and Migration* displays as having one copy left in stock (Figure 3.7). In reality, both books are in stock at the University and as soon as an order is placed via Amazon, the books are sent direct to the distribution centre.
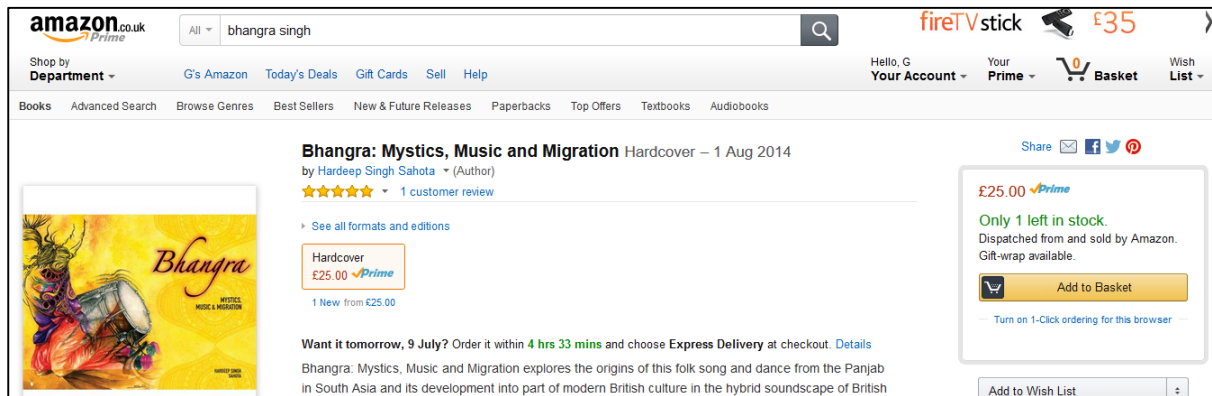
Figure 3.7. *Bhangra: Mystics, Music and Migration* record at Amazon

In addition, *Huddersfield's Roll of Honour* has attracted a review (Figure 3.8), although it appears that this has attracted few sales to date.
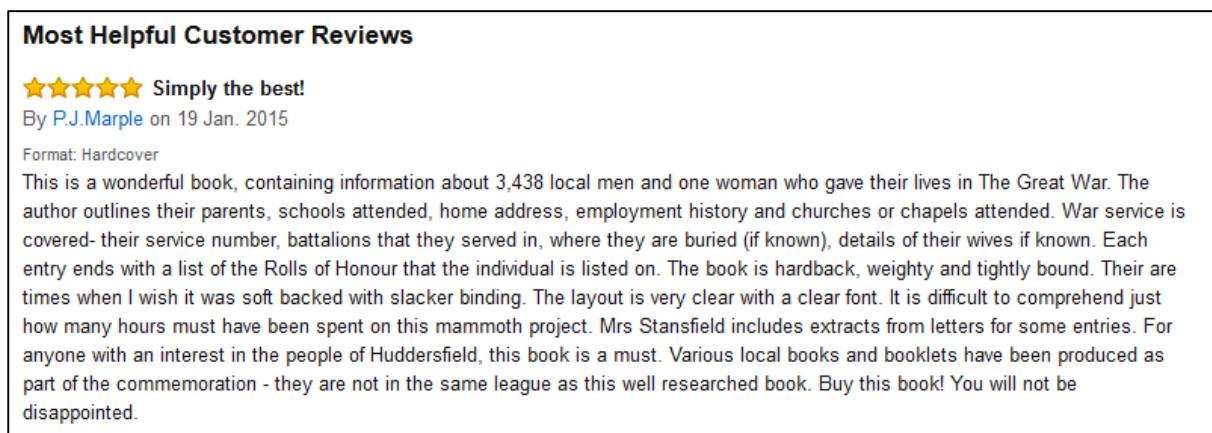
Figure 3.8. Review of *Huddersfield's Roll of Honour* at Amazon

The next logical stage for the Press is to look into Fulfilment by Amazon (FBA), where the Press stores its publications at Amazon's fulfilment centres and they pick, pack, ship, and provide customer service across Europe.

In February 2015, the Press was approved as a Waterstones supplier though the wholesaler Gardners books. This lists the Press output for sale at Waterstones.com (Figure 3.9) and also allows the Press to make a case to submit publications for consideration by Waterstones stores. However, both *Huddersfield's Roll of Honour* and *Bhangra* were rejected after submission.

Figure 3.9. *Slavery in Yorkshire* record at Waterstones.com

3.4.3 Open access discoverability

Steele (2008) reported that the ANU E press received 1.16 million PDF and HTML downloads in the first eleven months of 2007, with global downloads such as Australia (the home nation), United States, New Zealand, United Kingdom and Fiji in the top five downloads. Clearly, there is more that could be done to enhance the discoverability of Press monographs. This will further increase the prestige of the publications by ensuring that they are seen as high quality peer reviewed publications.

Chapter 2 and Appendix 2.1 discuss the importance of using the DOAB for discovery. The inclusion of the Press in DOAB has two main benefits. Firstly, because of perceptions of prestige of open access publishers (HEFCE, 2014a, 2014b, 2014c; Collins, Milloy & Stone, 2015a), the Press needs to go the extra mile to show its academic integrity. In order for a publisher to be approved for inclusion in DOAB, 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.

Figure 3.10. University of Huddersfield Press entry in DOAB (DOAB, 2015)

The second advantage is that all DOAB titles are listed in web scale discovery systems. Therefore, if a library enables a link to DOAB then Press monographs will become discoverable with direct links to open access content (Figure 3.11). In August 2014, the Press was successful in registering for DOAB.
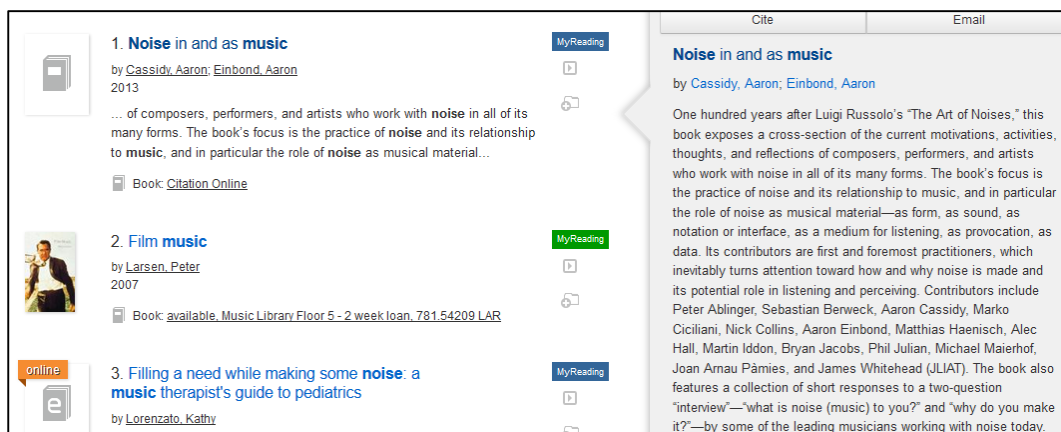
Figure 3.11. *Noise in and as music* record on the University of Huddersfield's Summon web scale discovery system

In July 2015, DOAB listed 107 open access publishers from around the world. However only 28 University Presses are listed and of these only seven are UK based (Table 3.11)

Overseas University Presses	UK university Presses
Amsterdam University Press (226 books)	Cambridge University Press (4 books)
ANU Press (353 books)	Edinburgh University Press (2 books)
Athabasca University Press (93 books)	Liverpool University Press (8 books)
Central European University Press (38 books)	Manchester University Press (94 books)
Duke University Press (5 books)	Oxford University Press (19 books)
Firenze University Press (89 books)	University of Huddersfield Press (6 books)
Leiden University Press (13 books)	University of Wales Press (3 books)
Purdue University Press (2 books)	
Rutgers University Press (1 books)	
Stockholm University Press (3 books)	
Temple University Press (1 books)	
Universidad Carlos III de Madrid (85 books)	
Universitätsverlag Göttingen (209 books)	
University of Adelaide Press (45 books)	
University of Calgary Press (61 books)	
University of Michigan Press (30 books)	
University of Rochester Press (1 books)	
University of Tartu Press (17 books)	
Utah State University Press/ Computers and Composition Digital Press (8 books)	
Utah State University, University Libraries (97 books)	
V&R unipress (1 books)	

Table 3.11. University Presses listed in DOAB (Correct at June 2015)

3.5   Lessons learned

The case studies above highlight a number of issues, which have been encountered during the first five years of the Press. Many of these issues have been partly resolved as each new publication was produced. These issues are described in Table 3.12 in relation to major stakeholders, in detail below and also the Business Plan (Appendix 1.1).

Stakeholder	Issue
The Press	Owning the process
	Sustainable processes
	Review of production methods
	Marketing
Readers	Understanding reader habits
Authors	Managing author expectations
	Contracts and licences
	Commissioning new content
The University	Understanding value

Table 3.12. Lessons learned from the monograph case studies

3.5.1   Owning the process

Monograph publishing has been an iterative process for the Press. Each publication has introduced a new process to be understood and a new issue to resolve. However, there is yet to be a publication where it could be said that the Press owned the whole process from inception to publication. Indeed, even some of the later publications have reintroduced issues precisely because the Press did not manage the entire process. This is an important area to be addressed in the Business Plan and will be discussed further in Chapter 7 regarding programme level verses publication level planning.

3.5.2   Sustainable processes

The previous point centres on the need for the Press to take a systematic approach to new content by building this into future plans. However, this is very much governed by the capacity of the Press to move forward in this way. Further refinement of processes and the development of a more organised publications plan are largely dependent on issues around the sustainability of the Press. In order to do this, the Press needs to grow its reputation and its authors and to do this on current staffing levels is already a challenge. At one point in 2013 three books were being planned, published and promoted at the same time and this put a strain on staffing and relationships with authors. It also accounts for some of the issues that happened during the process. In order for the Press to be more sustainable, it requires stability in funding and a small increase in staffing. This will be developed further in Chapter 7 and the Business Plan, where a funding model will be presented.

3.5.3   Review of production methods

The Press must strike a balance between a successful business model and the requirements of its authors and readers. Readers may prefer the print copy to a PDF (De Vries, 2007; Pinter, 2008, Wolff et al., 2016). However, the more users purchase mobile devices and EBook readers, "the more likely it is that the demand for printed material will drop, perhaps precipitously" (Kwan, 2011, p.45). The Press must be prepared for this and at the very least, it needs to offer a more user friendly e-book experience.

The Press currently uses one supplier for its monographs. JMP is a traditional printing press and distributor and as such provides a very high quality service for print. If the Press is going to deliver a better experience on mobile devices XML production is required in order to produce ePub formats that can be used on PCs, Android, iOS and Kindle devices. Print on demand is also required in order to reduce costs. This is a potential saving for the initial outlay. Print on demand would allow a small number of copies to be produced for marketing purposes (to be included in the initial costs). Additional copies could then be printed when the demand was there from sales. There is a strong

business case to look at other suppliers in order to reduce costs and increase efficiencies for future publications.

3.5.4 Marketing

The introduction of the marketing plan has improved the way the Press and its authors approach marketing. However, when describing the five stages of book publishing, Esposito (2010) describes an 'acute marketing problem'. Esposito describes the need for modern presses to use Search Engine Optimization (SEO). The lack of SEO and a wider Press marketing plan may account for the relative lack of sales and downloads even after media coverage. Aigran accuses open access book publishers of not knowing how to promote free to view books (Milloy & Ferwerda, 2013). This accusation has some grounds regarding the Press and this needs to improve. It should be noted that positive media coverage for Press publications is very good for the University's institutional reputation. This will be discussed further in Chapter 7.

3.5.5 Reader habits

Reader habits are directly related to a review of production methods. Lynch (2010) argues that for the majority of monographs, mass printing and print distribution is just not working. This argument is backed up by the figures presented by Willinsky (2009) and discussed in Chapter 2. However, Lynch also balances this against the desire from many readers to read a paper copy as well as the inevitable move towards digital consumption of monographs.

If the press can create high quality, peer reviewed monographs that sell in 'reasonable' numbers (100-200 copies) and are fully open access, achieving reasonable downloads and citations, then the monograph side of the operation can be declared a success.

3.5.6 Managing author expectations

This is an area that has caused some concern in the above case studies. Many of the decisions of the Press have been made after pressure from authors. It can be seen from the case studies that very often, these decisions, although made with the best intentions, were not evidence based. The biggest issue has been the assumption that titles were going to sell in large numbers, resulting in unrealistic print runs.

This is a symptom of the way the Press is positioned in the University and the way in which titles have been funded. In many cases it appears that the Press has been viewed as a service, rather than a fully-fledged publisher. Often there has been a certain amount of frustration expressed by the authors that 'their' money was not being spent in the right places. This certainly influenced the size of the print runs in the face of evidence regarding sales.

These issues could be put down to teething troubles of a new Press, which may disappear after sufficient prestige is built up. However, this could also be related to the long term future of the Press regarding funding. There has been no medium-long term funding for the Press over the past five years. Authors have been relied on to bring funding with them, therefore it is entirely fair when they want to play a larger part in the publication of their work. Indeed, this is to be encouraged. However, funding stability would allow the Press to act with more confidence. Therefore the Business Plan needs to take this into account, and the authors need to be well briefed using the evidence from the case studies.

3.5.7 Contracts and licensing

Creative Commons licences and the need for a LtP are discussed extensively in Appendix 2.2. Best practice regarding licences has improved with every publication. However, until the Press moves to its aim of being a fully open access publisher, different contracts and licences will exist with each book. A basic LtP was established early on. The template, shown in Appendix 1.1E was agreed between the Press and the University solicitor and establishes an exclusive right to first publication. The author retains the right to licence the work to others. Royalties are not included in the LtP, but are agreed in the contract between the Press and the author.

Looking forward, a standard Creative Commons licence (CC BY) and LtP need to be used consistently along with a contract, which outlines the role of the Press. This will then support the Press in issues described in section 3.5.6. This needs to be incorporated into the Business Plan to ensure consistency for future publications, as well as continued membership of DOAB.

3.5.8 Commissioning new content

Chapter 2 discussed the establishment of small scale university presses, particularly in the US as a result of the open access movement. One such Press, Amhurst College Press, have described four types of authors that they wish to attract:

- Technophiles, eager to produce work that cannot be produced in print
- Mid-career and late-career faculty who do not have a tenure decision riding on their next publication, and who are thus willing to take a risk with a new publisher
- Idealists committed to open access; and authors who are not satisfied with an artificially circumscribed audience, i.e. who want a potential audience larger than that of faculty
- Students living in the shadows of the 200 academic libraries that purchase their books. (Anonymous, 2014)

Many of the publications discussed above were submitted from mid-career researchers and idealists. Technophiles may be more difficult to attract until the Press reviews its production processes.

Attracting student submissions is a largely untapped area. However, *Bhangra: Mystics, music and migration* is an example of what could potentially be achieved. Using grey literature and more specifically PhD downloads could provide the Press with a rich vein of monograph content. [18]

VanDuinkerken and Kaspar (2013) highlight the concerns of the American Historical Association about universities making their students' PhDs available on open access:

> …university presses are reluctant to offer a publishing contract to newly minted PhDs whose dissertations have been freely available via online sources. Presumably, online readers will become familiar with an author's particular argument, methodology, and archival sources, and will feel no need to buy the book once it is available. As a result, students who must post their dissertations online immediately after they receive their degree can find themselves at a serious disadvantage in their effort to get their first book published; it is not unusual for an early-career historian to spend five or six years revising a dissertation and preparing the manuscript for submission to a press for consideration.
>
> (American Historical Association, 2013)

From the point of view of the Press this is an opportunity. Indeed, in Germany, it is mandatory to publish a PhD after achieving a doctoral degree (Bargheer & Pabst, 2016). There is a world of difference between a PhD and a scholarly monograph that may result from the research. The University already makes PhD theses available on open access, it is also ideally placed to publish quality work by the University's postgraduates as peer reviewed monographs. Sustainability of the Press through a commitment to funding would allow the Press to set up a PhD publication programme. However, Harris warns that a hurdle in the Australian Research Council funded 'From thesis to book project' "was the relatively slow receipt of manuscripts from the selected doctoral students" (Harris, 2007, cited in Steele, 2008).

3.5.9 Understanding value

Value and impact of the Press must be judged in more than sales and online usage. The value of a title such as *Bhangra: Mystics, music and migration* and *Explosions in November* in getting regional and national media coverage is difficult to assess. If the reputational value to the University brand as a result of this coverage is better understood, sustained funding of the Business Plan may be more easily achieved. Chapter 7 investigates the impact on the 2014 Research Excellence Framework (REF) of a number of the case studies above. This is then used to justify further support from the

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[18] Appendix 3.2 includes a definition of grey literature and goes on to describe other potential grey literature found in the University Repository.

University in the Business Plan. Increased staffing (also covered in chapter 7 and the Business Plan) would also allow further investigation of the Press's impact and value to the University.

3.6   Conclusion

Discussion of the case studies above shows a clear development path from the pre-2010 publications (Appendix 3.1) to the latest publications five years after the re-launch. Monograph publication is now better planned and orchestrated. Use of proposal and marketing documents have streamlined the procedure, while registration with suppliers and online platforms have helped dissemination and displayed a mark of quality.

There are a number of challenges ahead for the Press if it is to expand the monograph operation and be both sustainable and successful. The Press is establishing itself in the history and music disciplines and this prestige needs to be built upon. There are further opportunities in thesis publishing and other growing areas of research.

Pinter (2012) observed that there are almost as many business models as initiatives. However, this creates an opportunity for the Press. It can pick and choose the right model for open access monograph publication. It can be seen from the case studies above that different business models may be required depending on the particular book being developed. This is something that the Press is still to achieve and needs to be set out in the Business Plan (Appendix 1.1) and is discussed in Chapter 7.

Chapter 4. Huddersfield University Press Journals

4.1 Introduction

This chapter takes an in depth look at journal publishing within the Press and the use of an institutional repository as the basis for this. It looks at how the Huddersfield Open Access Publishing (HOAP) Project (University of Huddersfield, 2011b) was used to launch a number of successful journals. The HOAP project is evidence of how a pragmatic approach to the development of the Press can help to develop a sustainable service. The project, which was not planned as part of the original aims of the Press, is of interest as a case study in itself.[19]

The success of HOAP and the resulting journals platform has become an important part of the Press. The outcomes of the HOAP project, and the lessons learned from each individual journal launched following the project, have helped to build the reputation of the Press in the University and wider community. Editors and authors have begun to approach the Press in order to establish open access journals. Analysis of these new journals as case studies of their own, form the second part of this chapter. The chapter concludes with a discussion of the lessons learned in order to recommend how they can be taken forward as part of a more sustainable Press.

4.1.1 The Huddersfield Open Access Publishing (HOAP) Project

The original concept for the journals imprint of the Press came from the HOAP Project, a Computing and Library Services (CLS) project in conjunction with the School of Education and Professional Development and the Research and Enterprise Directorate at the University.

In 2011, the author on behalf of the University of Huddersfield submitted a proposal to Jisc as part of the Information Environment Programme 2009-11 (Jisc, 2011). The HOAP platform aimed to develop a low cost, sustainable open access journal publishing platform using EPrints institutional repository software. The initial inspiration for the project came from a project at the University of Glasgow (2005). The bid was successful and the project was awarded £25K to develop the journal publishing platform. The project had a very short duration, running from May-October 2011 (see Appendix 4.1).

The aims and objectives of the Jisc project had three main outcomes, two are directly relevant to this thesis.

1. To convert the University journal, *Teaching in Lifelong Learning*, from a print subscription model to an open access e-journal. A specific front end was proposed, with content being

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[19] Sections of this chapter were published in Stone (2011a), Needham and Stone (2012) and Stone et al. (2012). The section on DOIs is an updated version of the section published as Stone (2009).

hosted in the University repository. As part of this work, a re-write of the notes for contributors section and a move from copyright transfer to a Licence to Publish (LtP) model was also required. In addition, adherence to industry standards such as membership of CrossRef (2015) and the Committee on Publishing Ethics (COPE) (2015) were to be investigated, as was submission to the Directory of Open Access Journals (DOAJ) (2015a)

2. An audit of the University's journals was also undertaken to assess the suitability of adding additional existing titles to the platform in the future. Perry et al. (2011) recommend that this is the first thing that needs to done when establishing the library as a journal publisher. However, in the case of HOAP, the *Teaching in Lifelong Learning* Journal and establishment of the platform was the primary objective.

Thus the HOAP project supports the primary aim of this thesis, to show how the Press can establish a viable and innovative business model – in this case open access journal publishing. The full outputs and outcomes of the project are listed in Appendix 4.1. Of specific interest to this thesis are the outcomes around moving a print only subscription to an e-only open access journal. The project also aimed to:

- Develop a culture of open access publishing within the University
- Create a community for early career researchers to publish.

These particular outcomes will be demonstrated in the case studies of new titles that have followed the HOAP project.

The project also supports a subsidiary aim of the thesis, to contribute to scholarly communication on open access publishing. The project aimed to develop a toolkit for other institutions to use, including some of the outputs of the project including details of new workflows, a Licence to Publish template and guidelines for new title proposals.

Regarding the sustainability of the Press, the project also set out to attract a wider audience for journal readership, both nationally and internationally via open access thus benefitting future readers and contributors.

Successes and lessons learned from the project as well as the development of the platform post project will be discussed below.

4.2   Developing the platform

The HOAP project attempted to bring together the two systems of delivering open access research via repositories and journals (Yiotis, 2005). The project developed a low cost, sustainable open

access journal publishing platform using EPrints institutional repository software (University of Huddersfield, n.d.b) in order to "support the production and dissemination of research in new ways" (University Leadership Council , 2011). As stated above, the principal aim of the project was to develop the platform to convert the peer reviewed University journal, *Teaching in Lifelong Learning*, from its existing print subscription model to an open access e-journal. This effectively became the pilot study for the development of a journals platform for the Press.

4.2.1 Software

The HOAP platform is essentially an 'overlay journal' on the EPrints platform. That is a presentation layer for content that is 'published' via the University repository (Lawson, 2013, Morris et al, 2013).

Open Journals Systems (OJS) is the most popular open access journals system, developed by the Public Knowledge Project, a non-profit organisation that originated at the University of British Columbia (Willinsky, 2005). Kosavic (2010) reports that a strength of the OJS workflow is the author submission process and peer review management, which is an integral part of the software suite. OJS is typically implemented in-house and maintained locally, which has implications for staffing. For example, a hosted solution does not require the same technical support compared to a local implementation of open source software.

Xia (2009) found that many research libraries used OJS software, whereas smaller academic libraries used Digital Commons from bepress (2015). The bepress platform is a centrally hosted proprietary solution service for open access journals used by a number of universities such as the University of South Florida (USF) (Perry et al., 2011) and Wollongong in Australia (Daly & Organ, 2009). It is also the most used platform for university presses who preserve their content in Portico (2015). Editors provide a logo to bepress and are then trained on the use of the platform. There is a submission process where authors submit a paper online, this process allows the editors to assign reviewers and look after all administrative aspects of the journals.

There are other alternatives to library publishing platforms, most notably, blogging software, such as WordPress (n.d.). However, dissemination and stability is not of high enough quality for an academic journal.

The Repository option may be seen as more of an in house solution. However, it exploits systems that are already in place, including the EPrints repository. In addition, an exploratory project had been started at the University of Glasgow (2005). A criticism of repository systems is the lack of a sophisticated back end when compared to systems such as OJS and bepress, but they are potentially a more cost efficient hosting solution. In addition, the very nature of the repository platform concept

is one of dissemination and usability. Journals published in this way could blend into an existing repository or as a standalone publication or suite of publications as well as benefitting from the discoverability via Google (Scholar) and web scale discovery platforms and this fits in well with the use of the repository for monograph publications.

Due to the potential for improved discovery and usage tracking amongst other factors such as the use of an already existing system, it was decided to use EPrints software. These factors are expanded upon below.

4.2.2   Designing the landing page

The project needed to give the landing page of the pilot journal, *Teaching in Lifelong Learning*, the look and feel of a 'real' journal, but at an affordable cost. Journal publishing at the Press needed to be cost effective and sustainable if the project was going to move into a fully-fledged service. Indeed, without additional journals, *Teaching in Lifelong Learning* itself had to be viable going forwards.

A number of subscription and open access journal landing pages were examined in order to produce a basic specification document for EPrints. After discussions with EPrints, the project provided a basic html file together with the appropriate branding. The pages were kept relatively simple so that they could be reproduced for other journals allowing the process to be scalable. The idea was to allow each title to have its own branding on the landing and contents pages (Figure 4.1). This helped to keep the costs down for future journals, limiting financial outlay for new titles to set up costs only. This was done by using the specification designed by EPrints in the background as a template for all titles, thus creating an affordable model for new titles.
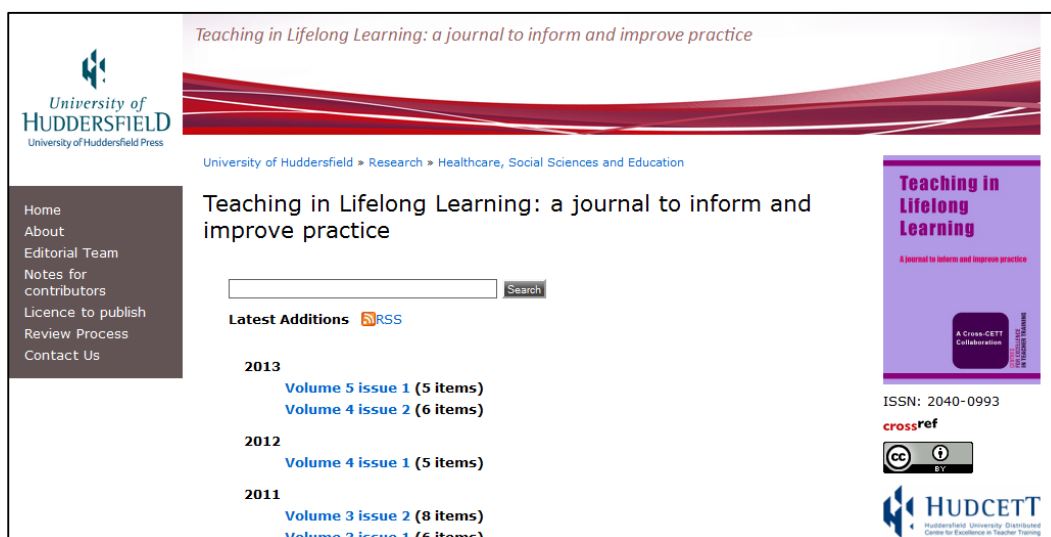
Figure 4.1. *Teaching in Lifelong Learning* landing page

In order to make Press journals scalable, time was invested in creating a technical solution for the 'back end'. This was done by allocating a significant amount of the project funding to EPrints to develop automated processes. The Repository software references the journal ISSN, year, volume, issue and page numbers in the articles when they are uploaded into the Repository using established processes. Thus, the first article of a new issue automatically creates a new entry on the landing pages as shown in Figure 4.2. Each subsequent issue will therefore be listed on the journal pages as a new content page (Figure 4.1). The efficient workflow allows an entire issue to be uploaded in approximately 30 minutes. Therefore, new titles can be added very quickly once the necessary sections have been provided, the process itself costs around £750 per title as a one off cost.

Figure 4.2. *Teaching in Lifelong Learning* content pages

The articles themselves maintain the standard repository branding (Figure 4.3), but each one also links back to the journal's landing pages on the platform. This simplifies the process and aids discovery. The article only has one instance in the repository and can be discovered through the repository, journal landing pages, via Google (Scholar), and other indexes such as DOAJ (once the journals are registered). This is vital in order to be retrieved from web scale discovery systems.

Figure 4.3. *Teaching in Lifelong Learning* article page

4.3   Adding content to *Teaching in Lifelong Learning*

In addition to creating a new landing page for the journal, the project was also tasked with adding

the back run of articles that had already been published in the print volumes. At the time of the pilot

this meant that a further 42 articles from Volumes 1, 2 and the first issue of Volume 3 needed

preparing. Part of the project included the adoption of industry standards in order for the journal to

be comparable with other titles. One of the standards adopted was CrossRef. The fact that there was

project funding from Jisc allowed specific time to be devoted to understanding the requirements of

open access journal publishing. This essentially fast tracked much of the work on the journals

platform for the Press. Without this initial project funding, it is likely that the Press would not have

been able to produce the titles in this case study during the research period, if at all. Therefore, the

Jisc project was very much responsible for journals becoming such an important part of the Press.

4.3.1   CrossRef and Digital Object Identifiers (DOIs)

CrossRef was incorporated in 2000; its mission (updated in 2007) to "enable easy identification and

use of trustworthy electronic content by promoting the cooperative development and

application of a sustainable infrastructure" (CrossRef, 2009, p.14). Specifically, there were three

main elements, "the depositing of article metadata in the CrossRef database, the submission of the

references in those articles for the purpose of obtaining their DOIs, and the creation of links using

those DOIs" (Pentz, 2001, p.21).

The DOI itself was conceived originally by three trade associations in the publishing industry as a

"generic framework for managing identification of content over digital networks, recognising the

trend towards digital convergence and multimedia availability" (International DOI Foundation,

2015). The DOI can be described as the telephone number of a journal article. However, like any

telephone number it needs a directory to be discovered. In the case of scholarly content this

directory service is provided by CrossRef, the official DOI link registration agency for scholarly and professional publications. Each record in the CrossRef database consists of a triplet: {metadata + URL+DOI} in order to facilitate resource discovery (CrossRef, 2013).

Since the foundation of CrossRef, over 4,968 publishers and societies have participated, contributing to a database of over 74 million articles and other content items (books chapters, data, theses, technical reports) (CrossRef, 2015). This resource has proved crucial to resource discovery in that citations listed in journal articles and institutional repositories have become instantly traceable. Essentially, without CrossRef and DOIs journal articles are not discoverable. For this reason it was seen as essential that the Press followed best practice and registered as a CrossRef member.

4.3.2 Processing the content

Membership of CrossRef added a layer of complexity to the processing of the backfiles. All references in journal articles deposited via CrossRef must be linked (CrossRef, 2012). The Press was required to go back through all the archived PDFs and add DOIs to each reference where appropriate. Approximately 200 DOIs were added in this way. In order to be sustainable going forward it was decided that the notes for contributors section of the journal pages should be rewritten to request authors to supply DOIs where possible. (University of Huddersfield, n.d.c). The process of checking the DOIs is now part of the workflow, as is the creation of new article level DOIs and the instruction to authors.

4.3.3 Improvements to the repository interface

Work on the HOAP platform allowed a number of improvements to be made to the repository interface. For example, the 'bookmark and share' toolbar now displays as a default, allowing users over 330 ways of sharing the content via social media (Figure 4.4). It is hoped that this will aid dissemination, although this cannot be measured.

Figure 4.4. University Repository bookmark and share toolbar

Figure 4.5 University Repository metadata display

In addition, the metadata display was improved to show references on a separate line instead of a free text box. DOIs are also displayed. However, these do not work as hyperlinks (See Figure 4.5). Once again, this will aid discovery via search engines.

4.3.4 Licence to Publish and Creative Commons

The move from a subscription model to an open access model required a complete review of *Teaching and Lifelong Learning's* notes for contributors. For example, authors were asked to assign the copyright to the Press for the print version of the journal. The pilot was keen to follow the ideals of open access, so it was decided that the journal should adopt a Creative Commons Attribution License (CC BY). A new LtP replaced the previous copyright transfer agreement and was added to the platform (Appendix 1.1H). To a certain extent, work on the LtP for HOAP helped to develop the licence and contract for monographs. The LtP has now been used for every new journal title launched since the HOAP project.

4.3.5 Publishing Ethics

The project also investigated publishing ethics. Appendix 2.1 and 2.2 demonstrate that since the publication of the Finch report there has been much discussion around the perceptions of open access publishing. Parker (2013) notes that "[w]hilst there has been some debate about the

implications of open-access for the social sciences and humanities, there has been little if any discussion about the implications of open access for ethics" (p.199).

In order to establish best practice for open access publishing, the project investigated membership of COPE (2015). Founded in 1997 by a group of medical journal editors, COPE now covers all academic disciplines. It is a forum for editors and publishers of peer-reviewed scholarly journals to discuss all aspects of publication ethics (Rees, 2012). It also advises editors on how to handle cases of research and publication misconduct. The Press successfully applied to have *Teaching in Lifelong Learning* accepted as a member of COPE. Membership has resulted in an extra item in the notes for reviewers for the journal (Figure 4.6), which refers to the *COPE Ethical Guidelines for Peer Reviewers* (Hames, 2013).

Figure 4.6. *Teaching in Lifelong Learning*. Notes for reviewers

4.3.6 Dissemination

In order to increase dissemination and the prestige of the journal, the project aimed to submit the journal to DOAJ (2015a). Despite numerous attempts, this was not possible during the life of the project. The implications of this will be discussed below. However, the team did receive a request for the title to be included by JournalTOCs at Heriot Watt University (2015). JournalTOCs is the largest, free collection of scholarly journal Tables of Contents (TOCs): 26,708 journals (including 9,366 fully open access journals and 11,005 hybrid journals) from 2,556 publishers. Nearly 10,000 journals and 1,500 publishers were added between December 2013 and July 2015.

4.3.7 Cost benefits

Like many journals, *Teaching in Lifelong Learning* relies on voluntary contributions for the editorial role and peer review. Income was originally derived from subscription, a contribution from the

Huddersfield University Distributed Centre for Excellence in Teaching Training (HUDCETT) and the University's Teaching and Learning Institute (TALI). Figure 4.7 shows 70% of the expenditure of the original print based journal went towards the printing, postage and stationery costs associated with a print only copy. Thus, the move to an open access model, although meaning a loss from subscription income, actually resulted in a reduction in the amount of contribution from HUDCETT. Furthermore, a move to open access increased the potential dissemination of the journal, which at the time was only subscribed to by a relatively small number of FE colleges. Given the aims of the journal to disseminate the work of early career researchers from around the UK, this contribution is seen as an investment for future research and is in tune with the objectives of the Press.
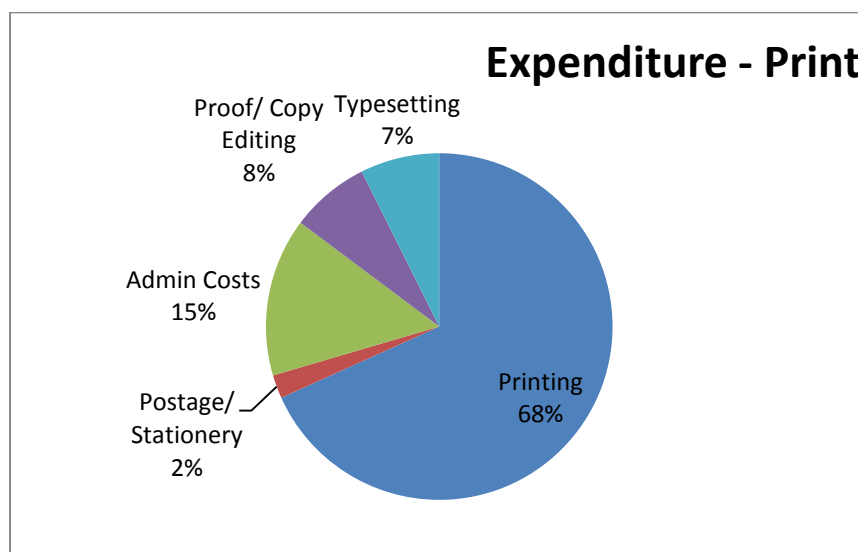
Figure 4.7. Total expenditure for *Teaching in Lifelong Learning*

Improvements to the workflow from Volume 4 onwards have resulted in considerable time-savings compared to the time taken to prepare for the print issue. For example, the layout of PDFs has been simplified from two columns to one in order to improve the online reading experience. Typesetting is more work intensive, however, as DOIs have to be added to all references and checked for accuracy. Publication is almost instantaneous, with an entire issue ready to go live within a couple of hours.

Table 4.1 shows the recurrent costs per annum to the Press of the HOAP platform based on direct costs to the Press. These costs include membership of various open access organisations (DOAJ, SPARC Europe and *OASPA*). It should be noted that membership of DOAJ and inclusion of a title in DOAJ are two separate things, and membership cannot be used to lobby for the inclusion of a new title. Portico membership covers journal preservation.

Membership	Recurrent Costs
CrossRef membership	£220
COPE Membership	£190
DOAJ membership	£400
DOIs per article	£50
Portico publisher membership	£210
SPARC Europe membership	£1,430
OASPA membership	£200
Total	**£2,800**

Table 4.1. Recurrent costs (rounded up to nearest £10) (after Chavez, 2010, p.6)

Typesetting and copy editing, the only 'inescapable costs' (Fisher, 2008), are paid for by HUDCETT. Other 'intellectual costs' (Fisher, 2008), such as peer review and editorial management, are provided free of charge. Repository costs, including the platform and staffing, are resourced by CLS. Fisher (2008) estimates that the costs to an open access press using 'Open-Source-Based-Publishing' would be around $1,200 per year for 50 articles, rising to $4,000 a year if XML conversion and copyediting were included. Costs for the HOAP project were covered by the Jisc project funds in 2011. In addition, there is a one off set up charge of £750 in the first year for new titles – this is a charge for EPrints to set up the journal landing platform. Recurrent costs listed in Table 4.1 reduce as more titles are published, e.g. two journals would cost £1,400 each etc. However, COPE membership would increase to around £700 if more journals were accepted. This is expanded further in the Business Plan (Appendix 1.1L).

A downside to this model is that administration costs will increase as the Press publishes more titles. These are included in the current workload of CLS staff, but there may be an impact on the ability to sustain this as the Press becomes more prolific. Passing these costs on to Schools, although small, may reduce interest. This will be discussed further in Chapter 7.

4.3.8 Measuring impact

Placing the journal within the repository allows usage to be measured using the IRStats package (2012). This then gives an indication of the impact of the journal and its articles. IRStats is "a flexible statistics package which allows easy processing of accesses to fulltext documents of eprints" and is an add-on available from the EPrints File repository (Field et al., 2012). IRStats allows the editors and authors to see their own statistics immediately. In addition the impact of a particular volume can be measured over time using the reporting feature on the IRStats administration pages. For example, volume 3, issue 2 had papers downloaded via the repository from 14 countries around the world within 5 months of publication (Figure 4.8). This was used to illustrate the success of the project to Jisc (Stone et al., 2012).
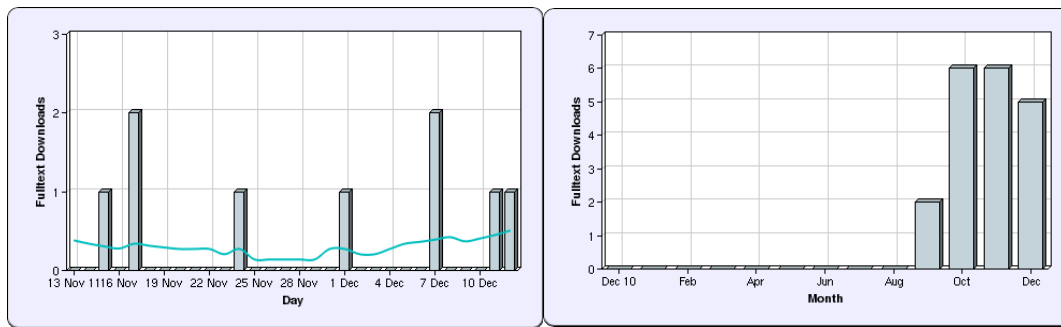
Downloader Countries

Flag	Country	Downloads
	United Kingdom	13
	United States	2
	Brazil	1
	Poland	1
	Malaysia	1
	Taiwan, Province of China	1

More statistics for this item...

Figure 4.8. Usage statistics showing downloads of an article during the Jisc project (Stone et al., 2012)

It is important to note that these downloads were during the project and before any official launch of the electronic version. Since the completion of the Jisc project, there have been a number of developments with Repository usage statistics and these are discussed below.

4.4   Audit of other journal titles

As part of the HOAP project's sustainability planning work package, an audit of the University Schools and Services was carried out during 2011. The audit was carried out to assess whether there were any additional titles already in existence that the Press could take on as part of the project. The audit revealed a further five journals in existence, in addition to a number of annual reviews (see Table 4.2).

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Journal Title	Description
Mental Health & Learning Disabilities Research & Practice	A joint publication between South West Yorkshire Mental Health NHS Trust and the University of Huddersfield, running to eight volumes. Due to funding issues the title ceased
RADAR	RADAR, the Review of Art, Design and Architecture Research, published annually by the School of Art, Design and Architecture. It is compiled to highlight the growing range of researchers in the school and their broad research work and experiences from early career to established researchers. Its intention is to communicate and signal University research both internally and more importantly externally. One of its aims is to act as an open invitation for further collaborations in the education and creative industry sectors
CeReNeM	CeReNeM's (Centre for Research in New Music) research team brings together researchers and artists at the cutting edge of contemporary music performance, composition and new sonic media. The journal is peer reviewed and acts as a forum for discourse surrounding the research projects and activities such as intoacoustics, sound spatialisation, digital interface technologies, improvisation, experimental performance practice, composition, sonic art, new notations, the study of musical perception, temporality, cross cultural aesthetics and interdisciplinary collaborations
North American Journal of Welsh Studies	The North American Journal of Welsh Studies was first published in 2001; it took a break between 2006 and 2010, but has now been re-launched at Huddersfield. It is published on behalf of the North American Association for the Study of Welsh History and Culture, a multidisciplinary association of scholars, teachers and individuals dedicated to advancing scholarship on Welsh studies
Teaching and Learning Matters	An internal newsletter from the Teaching and Learning Institute (TALI).

Table 4.2. Additional titles published by the University in 2011

In order to grow the Press journals offering, it was decided to move two titles, *Mental Health and Learning Disabilities Research and Practice* and *RADAR* onto the HOAP platform. These titles were assigned article level DOIs and the references were subsequently altered. A further reason for adding these journals to the platform was to preserve their content: most titles were only available from School web pages. In the case of *Mental Health and Learning Disabilities Research and Practice* this proved rather fortunate. After the title was added to the platform an error was made during the

re-branding of the School of Human and Health Sciences website and the entire journal was deleted without a prior back-up being made.

The Press was less successful in attracting the other three titles to the HOAP platform. The *North American Journal of Welsh* Studies (North American Association for the Study of Welsh History and Culture, 2014) was a well-established journal using OJS software. OJS was also used by other projects on the Jisc Campus-based publishing strand (Jisc, 2011; Webster, 2011). After a meeting with the editor, it was agreed to collaborate on best practice, such as sharing notes for contributors and the LtP. There was agreement in a TALI Board meeting to move *Teaching and Learning Matters*. However, this was never followed up. In hindsight this was a good outcome for both the journal and the Press as *TLM* is more of an internal newsletter, which accepts news items of 300-500 words and does not conform to the aims of the Press. The title has now been discontinued. Discussions were held with the editors of *CeReNeM*, subsequent work on the re-launched title is discussed below.

4.5 Lessons Learned from the HOAP project

The launch of the HOAP platform and the relative success of the Jisc project, especially given the funding available, has had a very positive impact on the Press and the journals publishing culture at the University of Huddersfield.

At the launch event for HOAP's sister project, SAS Open Journals (Webster, 2011), Damien Short, Institute of Commonwealth Studies, gave a presentation on the questions that face the editor of a prospective new journal, given the potential future impact of new open access journals in the sector. The original guidelines for the preparation of journal proposals took inspiration from Short's presentation. The guidelines have been continuously updated, the most recent version is included in the Business Plan (Appendix 1.1G).

4.5.1 Cultural Change within Huddersfield

A wider implication for the University was a fundamental change in the understanding of the potential of the University repository. The HOAP platform not only provides an interface through which both original and archived peer-reviewed content can be delivered in a sustainable open access format, but is also a means of delivering specialist content to specific academic audiences through a traditional journal front-end. The HOAP project made a number of recommendations regarding open access journal publishing in order to precipitate cultural change:

- That an advocacy model be developed to encourage Schools and research centres in the University to consider using the HOAP platform to publish journals

- That the University Research Committee encourage all Schools and Research Centres at Huddersfield to identify and plan potential research journals that could be launched on open access via the HOAP platform. These journals could take the form of in-house research journals enabling early career researchers to get a foot on the publishing ladder or collaborative titles with other universities and research centres

- That the University Press Board request the journal editors of all University journals to present papers identifying how their journals could be incorporated into teaching and learning. For example, to develop understanding of the role of published research for undergraduate and postgraduate taught courses.

It is important for the Press to go out to potential new editors and put this message across. In reality, much of this work is yet to be completed, although a number of new journals have been successfully launched since 2011. The titles discussed in section 4.6 are evidence that this message is being understood by researchers in the University. In addition, the Business Plan (Appendix 1.1) puts forward a plan to grow open access journal publication at the Press.

However, the launch of additional titles raises sustainability issues and the time taken to do the work required. In addition, this raises the question of funding. The HOAP project recommended that the Press continued to offer financial support to its journals by funding membership of organisations such as CrossRef, DOAJ and COPE in order to establish best practice (see table 4.1). Issues around sustainability and funding are discussed in Chapter 7.

4.5.2 Usage statistics

As described above, the HOAP project used the IRStats module (IRStats, 2012), enabling the repository to track full text downloads. Between 2009 and 2011 the University repository was also invited to participate in the PIRUS2 project (Shepherd & Needham, 2011) and IRUS-UK (Needham & Stone, 2012), which developed COUNTER compliant article level metric (AR1) for Repositories (COUNTER, 2014).

The repository's usage statistics gives the Press a competitive advantage as other repository software and open access journal software often lack reliable statistics (Needham & Stone, 2012). Article and journal level usage statistics are reported to the Press Board as a measure of success or otherwise for a given journal. In addition, authors like to know that their article is being accessed. Journal editors can use this data to track successful issues and articles. This then allows them to identify hot topics and potential special issues. This is explored further regarding new titles below.

As open access journal publishing at the Press becomes more established and usage increases through dissemination via the various discovery tools available, more work is required on the development of statistical analysis. Analysis of usage will also show potential return on investment for the journals. For example, a cost per download figure could be established by measuring usage against the on-going production costs of a journal.

4.5.3 Social media

Staff at the University of Huddersfield have been experimenting with social media and web 2.0 tools and technologies since 2005 (Stone & Pattern, 2012; Stone & Collins, 2013). Consequently it was decided from the outset of the project to encourage reader comments, ratings and social tagging as part of the publication process. This has been partly achieved through the bookmarks and sharing features of the existing repository (Figure 4.4), RSS feeds and automated tweets for new articles. However, the project wanted to go one step further by encouraging authors and readers to use social media. This was based on the recommendations of the 2010 report, *If you build it, will they come? How researchers perceive and use web 2.0* (Research Information Network, 2010b) and discussions at the 4th ALPSP International conference (Küster, 2011). After a considerable delay, the repository implemented the SNEEP (Social Networking Extensions for EPrints) (Clifford, 2009) suite of social networking extensions as part of a new release of EPrints software in 2014. This allows readers of the journal (as well as all other repository content) to comment, tag and make notes once they log in. As yet there have been no known comments received. However, this may be "destined for predictable failure" (Fitzpatrick, 2010, p.167) as there is no incentive for commentators to participate in the process and the comments serve no identifiable purpose. The SNEEP plugin may yet prove to be a failed experiment.

However, the Press should not disregard the need for engagement in social media going forward. Full engagement with social media could compliment usage statistics and will give the Press a better understanding of its publication output and impact.

4.5.4 Discovery

Discovery is essential for the survival of the Press. Many departmental in-house journals are not particularly discoverable. However, one of the benefits of having a library-led Press is that librarians understand discovery (Perry et al., 2011; Emery & Stone, 2013; see also 2.3.2 Librarian expertise). Tools such as the University repository, discovery services and indexes and Google Scholar are used every day by librarians, both in information literacy sessions, but also behind the scenes such as set up and administration and the addition of metadata.

Press journals benefit from being included in the repository. It is indexed in Google/Google Scholar as well as library web scale discovery systems. However, this requires institutions subscribing to these products, to actively seek out the repository and enable openURL linking for the articles to be located in search results. *Teaching in Lifelong Learning* is included in JournalTOCs, however, none of the Press journals are indexed in relevant abstracting and indexing services. Therefore, one of the objectives of the HOAP project was to include the *Teaching in Lifelong Learning* journal in DOAJ whose stated aim is to:

> increase the visibility and ease of use of open access scientific and scholarly journals, thereby promoting their increased usage and impact. The DOAJ aims to be comprehensive and cover all open access scientific and scholarly journals that use a quality control system to guarantee the content.
>
> (DOAJ, 2015b)

It is therefore essential for Press journals to be accepted in DOAJ. Since 2011, the selection criteria for DOAJ has been refined and the submission criteria is far more rigorously controlled (see Table 4.3).

Selection Criteria	
Coverage	• Subject: all scientific and scholarly subjects are covered • Types of resource: scientific and scholarly periodicals that publish research or review papers in full text • Acceptable sources: academic, government, commercial, non-profit private sources are all acceptable • Level: the target group for included journals should primarily be researchers • Content: a substantive part of the journal should consist of research papers. All content should be available in full text • All languages
Access	• All content freely available • Registration: Free user registration online is acceptable • Open Access without delay, e.g. no embargo period
Quality	• For a journal to be included it should exercise quality control on submitted papers through an editor, editorial board and/or a peer-review system
Periodical	• The journal should have an ISSN (International Standard Serial Number, for information see http://www.issn.org). Online journals should have an eISSN

Table 4.3. Selection criteria of DOAJ (2015b)

In November 2014, the Press was informed that *Teaching in Lifelong Learning* had been successful in its submission under the new criteria (DOAJ Team, personal communication, November 26, 2014). The journal now has its own landing page in DOAJ (Figure 4.9) and in 2015 was awarded the DOAJ Gold Seal for outstanding best practice (DOAJ, 2015c)

Figure 4.9. *Teaching in Lifelong Learning* landing page in DOAJ (DOAJ, 2015d).

One of the key advantages of submitting Press journals to DOAJ is to maximise discovery. DOAJ is indexed by all of the major discovery services (Vaughan, 2011). Therefore inclusion in the directory will lead to further opportunities for discovery in those systems, which accounted for 86% of the UK market in November 2013 (Spezi et al., 2013). Thus, it is hoped that usage statistics will rise when further journals are indexed.

It should be noted that because the Press does not use XML, articles cannot be uploaded automatically into DOAJ. The metadata therefore needs to be loaded manually to generate content pages. Franke (2008) recognises that the manual input of metadata into services such as DOAJ is not as efficient as XML or (X)HTML mark-up, which could increase the potential for discovery and speed up the process of deposit into DOAJ. Morris et al. (2013) suggest that remaining with a standard copy edited version, which is then converted to PDF only is a false economy as without an XML conversion the content cannot be repurposed or updated into other formats at a later stage.

It must be a priority for new titles to be submitted to DOAJ after the first issue of the second volume is published. XML is a longer term goal for the Press and warrants further investigation regarding the benefits verses increased costs.

A further goal of the Press is to get a number of journals indexed in resources such as Scopus (Morris et al., 2013). One of the future aims of the Press must be to get the journals through the minimum criteria for selection:

- The title should publish peer reviewed content

- The title should be published on a regular basis (i.e. have an ISSN that has been registered with the International ISSN Centre)
- The title should have English language abstracts
- The title should have references in Roman script
- The title should have a publication ethics and publication malpractice statement.
  (Rew & Holland, 2012, p.2)

While these criteria are fairly straightforward to meet, Scopus also advises that journals need to show evidence of the following:

- A track record of publication and citation over at least two years, and preferably longer
- Evidence of consistency and frequency of publication on time
- Evidence of a reasonable volume of material per issue.
  (Rew & Holland, 2012, p.7)

Furthermore, Scopus provides some indicators as to why many university journals do not get through the peer review process:

- Their primary purpose is as a repository for material generated within the institution or by authors affiliated to the institution. The quality threshold for acceptance of papers is thus relatively low
- They cover a very broad subject range
- They lack the competitive drive for the selection of papers which is enjoyed by more widely sourced journals
- They have a narrow authorship, from within a single institution.
  (Rew & Holland, 2012, p.8)

The Press needs to work with its editors in order to reach the required level of acceptance.

4.5.5 Preservation

Li and Banach (2011) describe this as a significant problem facing libraries. A 2005 Cornell survey found that only around one third of institutions surveyed had "developed, approved and implemented digital preservation policies" (Kenney & Buckley, 2005). By the 2011, this number had increased to 51.5% of respondents (Li & Banach, 2011).

Material produced by the Press, where the repository item is the version of record is not true preservation. The example of the *Mental Health and Learning Disabilities Research and Practice* journals' accidental deletion from the School's website demonstrates why journal preservation is important. The title has ceased, but usage continues to be strong (see Figure 4.10).
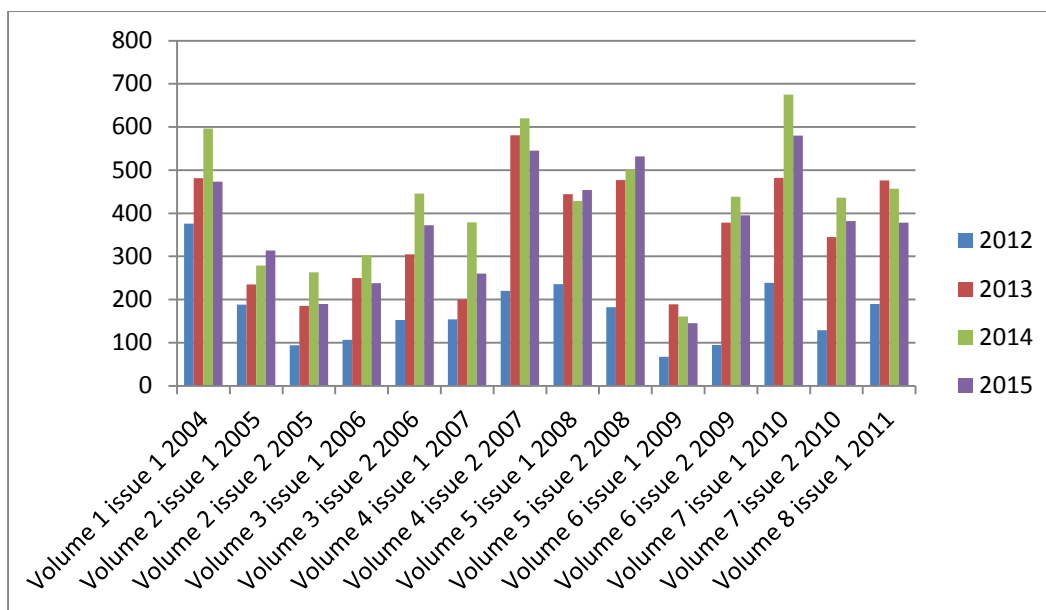
Figure 4.10. *Mental Health and Learning Disabilities Research and Practice* usage statistics

The University Library is a library member of the digital preservation archive Portico as an insurance policy against post cancellation access or catastrophic loss of access to publisher content (Computing and Library Services, 2014). Portico has nearly 1,000 library subscribers and archives the content of over 200 publishers. It was as a potential publisher member, that Portico approached the Press in 2013 with a proposal for membership and subsequent preservation of the Press journal articles.

After an initial testing period, where the latest issue of *Teaching in Lifelong Learning* was successfully loaded according to the Portico specification requirements, all journal issues were then loaded onto Portico. In October 2013, Portico issued a press release on their website, "Portico is pleased to announce that University of Huddersfield Press has entered into an agreement with Portico to preserve its e-journals. Through this agreement, University of Huddersfield Press ensures that its e-journals will be available for future generations" (Portico, 2013). This was then picked up by various current awareness newsletters (UKSG, 2013) and in itself proved useful publicity for the Press.

Table 4.4 shows that of the 190 publishers listed in Portico in December 2013 (at this point Huddersfield was the most recent University Press addition), only 32 are University presses. A little under 17% of the publishers. The Press is only the sixth UK university press to be included, and certainly the first UK open access only press to have its content preserved. In fact, the press was the fifth largest open access publisher in Portico. Membership of Portico establishes the Press as a publisher with serious intent. However, it is important to note that other preservation systems are available and that OJS software automatically integrates with LOCKSS (Lots Of Copies Keep Stuff Safe) (Perry et al., 2011).

University Press	No of titles preserved	Open access publisher	OA Platform
Butler University	1	No	
Cambridge University Press	119	Some hybrid titles and gold OA articles	
Central Michigan University	1	No	
CUNY Graduate Center Library	12	Yes	OJS
Duke University Press	47	No	
Edinburgh University Press	50	No	
Indiana University Press	31	No	
Johns Hopkins University Press	76	No	
Liverpool University Press	14	Gold OA articles	
Manchester University Press	18	No	
Michigan State University Press	9	No	
MIT Press	34	No	
Oxford University Press	312	Some hybrid titles and gold OA articles	
Pacific University	1	Yes	Digital Commons
Penn State University Press	30	No	
Purdue University Press	5	Some, but not all preserved in Portico	Digital Commons
The Regents of the University of Oklahoma	1	No	
The Rockefeller University Press	3	No	
University of California Press	49	No	
University of Chicago Press	59	No	
University of Huddersfield Press	4	Yes	EPrints
University of Illinois Press	25	No	
University of Kansas Libraries	12	Yes	Digital Commons
University of Minnesota Press	8	No	
University of Nebraska Press	8	No	
University of Nevada, Las Vegas	1	Yes	Digital Commons
University of South Florida	1	Yes	Digital Commons
University of Technology Sydney Library	13	Yes	OJS
Vilnius Gediminas Technical University	7	5 of 7 open access	OJS
Wayne State University Press	10	No	
Western Kentucky University Research Foundation	1	No	
Wichita State University	1	No	

Table 4.4. University Publishers in Portico (Correct at December 2013)

4.6   New journal titles

The Jisc project enabled the Press to fast track its journal publishing processes. Essentially this funder pays model gave a degree of stability to the Press and allowed new titles to be developed. The new titles discussed below have benefitted from fast tracking and lessons learned allowing the Press to develop a culture where new titles can be encouraged.

Bankier & Perciali (2008) suggest that a 'campus-grown' journal offering is best suited to a number of journals types that are unsuitable for commercialization.

- Journals in niche and non-commercial fields
- Journals in emerging fields
- Regional journals
- Student-run journals
- Practitioner journals
- Monograph collections.

Of these types, it will be seen from the journals discussed below, that the practitioner-research journal is a potential strength for the Press and certainly fits the University's strengths too. In addition, the development of these new titles have built on the lessons already learned and this will also be discussed below.

Based on the success and interest generated by the audit of University journals, the project recommended that the University Research Committee encourage all Schools and Research Centres at Huddersfield to identify and plan potential research journals that could be launched via the HOAP platform. The recommendation was that these journals could take the form of in-house research journals enabling early career researchers to get a foot on the publishing ladder or collaborative titles with other universities and research centres. In 2014, the Director of CLS and the Pro Vice Chancellor for Teaching and Learning (and Chair of the Press Board) met with Deans of Schools to generate interest in the Press and a number of titles discussed below have come from these discussions.

4.6.1 *DivergencePress*

The audit of University journals proved extremely successful in tracing the different outputs from the Schools and also in starting a conversation about possible future projects. One of these titles was *CeReNeM*, a peer reviewed journal from the Centre for Research in New Music (CeReNeM). Despite discussion about loading the journal onto the HOAP platform, it became apparent that by early 2013 the journal had been re-branded *DivergencePress* and a specially tailored website had been

commissioned for the new title. Unfortunately, this website did not meet any of the requirements set out by the Press in the HOAP toolkit (Stone, 2011c). Subsequently a meeting was arranged with the key stakeholders in the Centre to agree a number of steps that would have to be completed before the journal could be brought in to the Press portfolio.

- DOIs – CLS staff retrospectively registered DOIs for each article and added DOIs for each reference. Access to the articles was provided and this work was subsequently carried out and the articles now carry DOIs[20]

- Licence to Publish - When the *DivergencePress* website was launched, the copyright was wrongly assigned to the University "All contents of the *DivergencePress* Web Site are: Copyright 2013 by University of Huddersfield and/or its suppliers. All rights reserved". To do this the author would need to have accepted transfer of copyright. However, no licence was ever provided and the website did not indicate that this was the case. An LtP is now provided in the 'about section'. All authors were contacted to sign a license in retrospect to transfer the copyright back to them on a Creative Commons licence (CC BY)

- Committee on Publishing Ethics - As a member of COPE, Press editors must be aware of their responsibilities, such as following the appropriate guidelines and being open about the peer review process. This required a great deal of revision to the web site. However, *DivergencePress* is now open about its peer review process and the notes for contributors have been altered.

These changes allowed the Press board to formally endorse the title and the Press branding was applied to the website. However, this approach was very much against the remit of the Press and has had a negative effect on the journal regarding discoverability. The *DivergencePress* website does not have the same level of discoverability as the established HOAP platform. Furthermore, it is not possible to obtain any usage statistics or preserve the title in Portico. A compromise has been suggested, which would see each article mirrored in the Repository with links via DOIs to the journal itself. This is far from satisfactory, but it would aid discovery and at least provide some usage statistics.

Chapter 3 discussed how the Press needs to own the whole process and manage author expectations. This is another example of the Press needing to exert its authority in the University as a fully-fledged publisher and not as part of a support service. The following titles in this section were all launched as part of the Press and it is suggested that this is a much more robust model going

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[20] See Glover (2013).

forwards. Potentially, if there are further examples such as *DivergencePress* it would be preferable to only offer a full service rather than the above case study.

4.6.2 *Journal of Performance Magic*

In June 2012, the Press received an enquiry from the School of Music, Humanities and Media regarding an idea for a new peer reviewed journal. This was the first new title considered after the end of the Jisc funded project and was a direct result of discussions with Deans and Heads of Research. After a face-to-face meeting with the proposing editor, which discussed what the platform could offer over other publishers/platforms and the cost for the School in setting up the platform a completed proposal form was submitted to the Press in July. The Press Board considered the proposal and asked for a stronger international editorial board. After the revised proposal was approved a new journal landing page was established for the *Journal of Performance Magic* (See Figure 4.11).

The initial landing page featured a call for papers for the first issue, initially scheduled for March 2013. As part of the process the Press and the journal editors followed the HOAP toolkit guidelines – an ISSN was registered and the appropriate pages were written including, about pages, a list of the editorial team, notes for contributors, an LtP and notes for reviewers. The editors were also sent links to the appropriate COPE guidelines on peer review.

Due to delays in the submission of papers, the first issue did not launch until 24 October 2013. However, this launch date coincided with International Open Access Week (SPARC, 2015). The first issue contained five articles (this included an editorial and second call for papers), the second issue published in 2014 contained six articles, again including an editorial and call for papers.

Figure 4.11. *Journal of Performance Magic* landing page
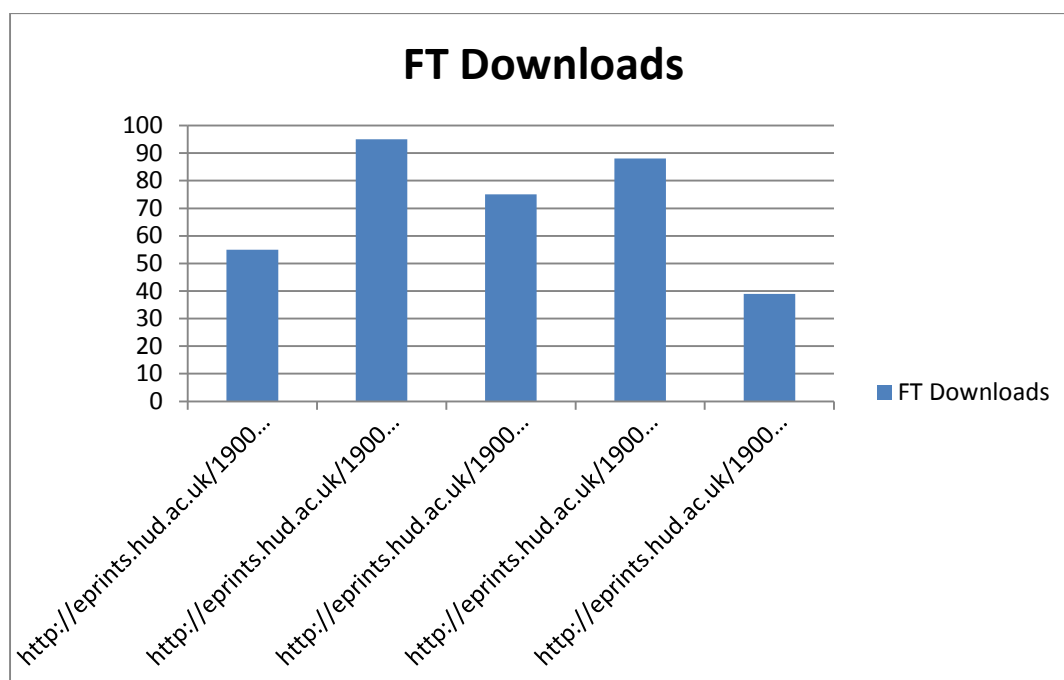
Figure 4.12. Full text downloads for *Journal of Performance Magic* in October 2013

Figure 4.12 shows the full text downloads for each of the articles in the first month after publication. These figures represent just eight day's usage (24-31 October 2013) and as such are very encouraging. There were 352 downloads in total during this period from 29 countries. Based on the cost of the set-up of the journal to the School (£750) this means that each article cost around £2.13 to produce. Naturally these costs do not include the cost of peer review, editorial costs, copy editing or administration costs. The return on investment will increase if usage is maintained and new

volumes are published. Figure 4.13 shows the full text downloads for both volumes of *Journal of Performance Magic* up until June 2015.
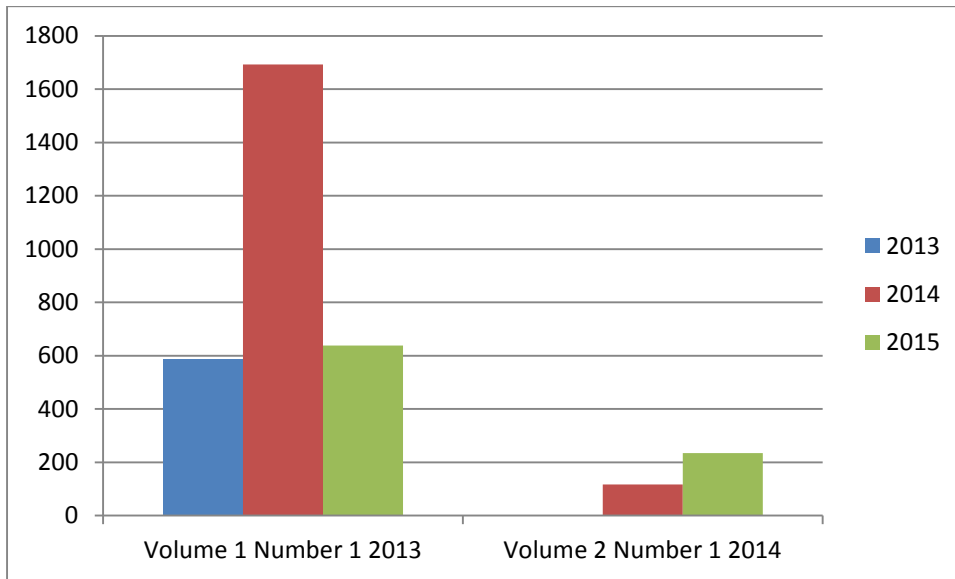
Figure 4.13. *Journal of Performance Magic* full text downloads (first six months in 2015)

The journal was also preserved in Portico and in May 2015 the journal was accepted by DOAJ as a new peer reviewed open access journal (DOAJ Team, personal communication, 2015, May 14). Again, metadata will have to be added by hand, which will add to the administrative burden of the Press.

Despite encouraging usage, the editors of the journal were concerned that there had not been enough submissions. In addition, Figure 4.13 shows that usage for Volume 2 has been much lower than volume 1. A marketing plan was completed in early 2015 and it remains to be seen whether, once put into action, this can encourage authors to come forward. This is another lesson to be learned for future titles. The development of *Journal of Performance Magic* is an effective model that can be used for further titles. However, follow up work is required in order to nurture titles through the first few issues. This becomes an issue of sustainability and will be addressed in Chapter 7 and as part of the Business Plan (Appendix 1.1).

4.6.3 *Postgraduate Perspectives in History*

The HOAP project had considered the possibility of adding conference proceedings to the platform as part of the final report recommendations (Stone et al., 2012). In March 2014, the Press was approached by the History Department at the University with a proposal to publish a new title, *Postgraduate Perspectives in History.*[21] The proposal was to publish five to eight articles from the

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[21] In 2016 this title was renamed *Postgraduate perspectives on the past.*

annual history postgraduate research conference, reflecting a broad spectrum of current historical research from medieval, early modern and modern history as well as public and oral history. The conference itself had attracted papers from European and UK universities.

Funding for the initial set up of the platform was provided by the School, the editorial board consisting of UK academics with three postgraduate research student editors. The first volume was published in December 2014. Five of the 17 conference papers were submitted and subsequently accepted for the first volume and usage has been steady in the first part of 2015 with 244 full text downloads in the first five months of the year. However, since publication there have been issues with the student editorial board and the second volume was very late (and was published after the end of the research period for this thesis). There are issues that must be addressed going forwards and these are discussed further below and in Chapter 7.

4.6.4   Additional titles

The final new title published by the Press during the research period of this thesis was *Fields: Journal of Huddersfield Student Research*. This particular title will be discussed in detail in Chapter 5.

Two further journals proposals were submitted and accepted in 2014. However, they were published after the research period for this thesis. *Identity papers* is a multidisciplinary journal from the university's Academy for British and Irish Studies. The first volume published in April 2015 and featured work on integrated education in Northern Ireland, Islamophobia, grooming and ethnicity and Romani Britishness. One of the papers from the first volume received very encouraging media coverage including the *Irish News* (Doyle, 2015). The second proposal, the *British Journal of Pharmacy (BJPharm)* has issued a call for papers in 2015 and will publish in 2016. These two new titles illustrate the success of both the marketing of the Press journals imprint to faculty and the ease at which the processes are beginning to work. Both titles also highlight examples of marketing, which will be further discussed below.

4.7   Further lessons learned

Many of the lessons learned directly from the HOAP project were incorporated into processes during the setup of the new titles discussed above. However, there are a number of further lessons learned, which need to be considered.

4.7.1   Amendments to the proposal form

The new journal proposal form (Appendix 1.1G) could be further improved combining the sample criteria set out by Mattson and Friend (2014) at Penn State and suggestions made by Morris et al. (2013). These improvements to the current form would be relatively minor. The addition of an

online submission form for new suggestions would also be a logical step forward (Penn State University Libraries, 2011).

4.7.2   Journal editor contracts

Throughout the process of developing the HOAP platform and portfolio of titles, a potentially significant risk remained unidentified by the Press Board. Contracts and LtPs existed for monograph and journal article authors. However, no such contracts had ever been issued for journal editors. Riddle asks whether peer reviewed journals published via institutional repositories should have clear content policies, asking questions such as "[w]ill the editor be required to be a faculty member at the institution?" (2015, p.63) Perhaps more importantly, the Press must implement an editor agreement to protect the journal from moving if an editor moves to a different university. At the moment, the Press has no such agreement. Furthermore, a contractual agreement would also be needed if an existing journal was transferred to the Press, such as a local society journal (or even *DivergencePress*). This would also protect the Press if journals transferred out to a commercial publisher. For example, Utrecht University Press lost 10 years' worth of open access investment when one of their journals became a subscription based journal at Cambridge University Press (Werner, 2015). Morris et al. (2013) give a comprehensive checklist of points for the Press to use in establishing a journal editor's contract and this needs to be combined with advice that the Press has already received from colleagues in the US (Watkinson, personal communication, September 11, 2014).

4.7.3   Marketing and ongoing support

As can be seen from the new journal titles discussed above, internal marketing has been very successful with a number of new titles accepted by the Press Board and subsequently launched. The Press has been able to support limited marketing of these titles. For example, in order to market the call for papers for *BJPharm* a short animation was produced to run at conferences in 2015 (Figure 4.14).

Figure 4.14. Screenshot from short animation for the forthcoming *British Journal of Pharmacy* *(BJPharm)*

However, publicity, such as that received around the inaugural issue of Identity Papers (Doyle, 2015) was not followed up. Furthermore, current titles are not marketed sufficiently and this can be seen in the relative sparseness of some issues. For example, despite good usage, *Journal of Performance Magic* has had difficulty attracting authors. This in part is due to a lack of appropriate staffing and threatens to effect the sustainability of the Press journals imprint.

4.7.4 Sustainability

This chapter has highlighted a number of issues of sustainability. The number of journals published by the Press adds to the administrative burden of staff who are completing Press tasks in addition to their day-to-day duties. Furthermore, the increased number of titles mean that marketing plans and potential reviews and audits of exciting titles need to be carried out (Morris et al., 2013). New proposals are also quite labour intensive. This is an area that the Press must address and will be discussed further in Chapter 7.

4.8   Impact on the wider community

Impact on the wider community is important for the reputation of the Press. The HOAP project established a project blog (University of Huddersfield, 2011b) and used the #hoapp hashtag throughout the project; this was a useful way of measuring impact in the community as the project progressed. A number of the project Tweets have received positive comments from colleagues and organisations around Europe, such as the University of Manchester, the Vienna University of

Economy and Business and the SAS Open Journals project. Indeed, the invitation to add the *Teaching in Lifelong Learning* to JournalTOCs came from a comment on the project blog.

One of the subsidiary research questions for this thesis is to indicate how the University Press, as an open access publisher, can contribute to the literature on new university presses. One of the outcomes of the HOAP project was a toolkit, which aimed to inspire other institutions to investigate open access journal publishing (Stone, 2011c). It features sections on moving to open access; setting up journal landing pages using EPrints; adding content; dissemination and workflows. The toolkit also gives guidance on how to set up a new journal and includes details on the LtP and notes for reviewers and authors that the project used. The project has received a great deal of international interest; this has resulted in papers and posters being presented at the LIBER conference in Tartu, Estonia and International Conference on Electronic Publishing, Guimarães, Portugal (Appendix 1.3). By June 2015 there were seven institutions using EPrints software to host a number of open access titles, of these, two were using the platform designed by the HOAP project (see Table 4.5).

Institution	Journal title and URL
City University	Learning at City journal
	http://openaccess.city.ac.uk/journal/learning/
University of Central Lancashire	The Journal of Second Language Teaching and Research
	http://clok.uclan.ac.uk/journal/sltr/

Table 4.5. Open access journals using EPrints software

Furthermore, *Teaching in Lifelong Learning*, was highlighted in the 2012 Ofsted report on the School of Education and Professional Development.

> HUDCETT has raised the profile of teacher education and its value and has been particularly active in skills development, especially in e-learning and information and communications technology. A particular achievement has been the publication of a journal to inform and improve practice which is disseminated nationally across centres for excellence.
>
> (Dillon, 2012, p.20)

Chapter 5 will discuss *Fields: Journal of Huddersfield Student Research*. This particular title also fulfils the above aims by making a substantial contribution to the literature on student research journals.

4.9   Conclusion

In 2010, when the Press was re-launched, there had been no discussion regarding journal publications. Indeed, when research started for this theses, the HOAP project had barely started. To have gone from a standing start in July 2011 to publishing seven titles by February 2015 (with a further two planned) underlines how far journal publishing has developed at the Press. Based on the number of titles and their usage it could be argued that journals have had a bigger impact than monographs. These journals have also helped encourage early career researchers to edit and publish in peer reviewed journals. Furthermore, the platform itself has helped the Press launch a number of niche peer reviewed journals that may not have been established via other publishers.

Lawson (2013) found that some academics did not perceive a university journal as having the reputation of other more established journals, even though publishing standards were high. Bankier and Perciali commented that the repository was a vault where papers went to die after the exciting work was done (2008, p.22). However, this does not appear to have been the experience of the Press. Looking to the future, there is certainly potential for the Press to develop from an unknown experiment to a leading set of journals in the practitioner-research area. Chapter 5 will highlight one such case, *Fields: journal of Huddersfield student research*.

Chapter 5: Fields, journal of Huddersfield student research

5.1   Introduction

This chapter will discuss *Fields: journal of Huddersfield student research*. The title was first published by the Press in January 2015 on the HOAP platform. This chapter outlines the rationale for *Fields* in an institutional context. The process of setting up an online, open access, multidisciplinary journal for student research is then discussed, with particular consideration given to a rigorous review process and a dissemination strategy. Year one of the project, which saw the journal go from proposal to fully fledged publication, is analysed and lessons learned are discussed. The chapter is based on an article published in the *Journal of Scholarly Communication* (Stone, Jensen & Beech, 2016). As such the chapter is a significant contribution to the literature.[22]

5.2   The growth of student research journals

The focus on the publication of undergraduate research and the associated development of undergraduate journals can be linked to a push for integrating research into teaching. In the United States, one of the catalysts for this was the *Boyer Commission on Educating Undergraduates in a Research University* (1998). Formed in 1995 on the understanding that undergraduate education had significantly changed, the Commission outlined 10 ways to change undergraduate education, including a recommendation to link communication skills and course work.

> Every university graduate should understand that no idea is fully formed until it can be communicated, and that the organization required for writing and speaking is part of the thought process that enables one to understand material fully. Dissemination of results is an essential and integral part of the research process, which means that training in research cannot be considered complete without training in effective communication. Skills of analysis, clear explanation of complicated materials, brevity, and lucidity should be the hallmarks of communication in every course.

> (Boyer, 1998, p.24)

Following Boyer, Katkin (2003) reported that around one third of institutions in the United States had at least one web based or print journal for undergraduate research. However, in a later survey Lopatto found that 'professional presentation', such as presentations at professional meetings or publication in peer-reviewed journals, were less common, representing only 8% of all presentation types (2009, p.25). A little over 10 years on, the Council on Undergraduate Research (2015) now lists 170 journals in the United States.

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[22] Since the launch of the journal the author has been contacted by the University of Manchester Press in relation to learning from the experiences of the Press and launching their own student research journal.

In the UK, Walkington and Jenkins (2008) suggested that "[u]ndergraduate research findings are rarely disseminated or subject to feedback and comment from a broad audience. For example, the UK undergraduate dissertation is often only read by the student supervisor and the assessors". At the time this represented a gap in the research cycle. The implication is that the research cycle is completed when results are shared via publication and peer review and this may lead to further questions and comments. Student feedback on assignments is limited and does not benefit from the subsequent refining and re-drafting required for the publication process, which closes the research loop (Walkington, 2008). This echoes the call from the Boyer Commission in the United States and is also being realised by many students in the science disciplines (Tatalovic, 2008).

Walkington and Jenkins (2008) proposed nine strategies for mainstreaming undergraduate research publication by building publication into dissertation, course or programme requirements. This work was subsequently used to assess a number of case studies (Walkington, Edwards-Jones & Gresty, 2013) before being updated and enhanced by Walkington (2014).

A 'new wave' of undergraduate journals began in the UK in 2008 (Walkington & Jenkins, 2008). Tatalovic (2008) described this as a growing trend and expected more titles to be established in the coming years. Walkington and Jenkins (2008) provided a snapshot of undergraduate research journals in 2008, listing ten undergraduate research journals in the UK. A 2008 investigation of student science journals in the United States and Europe (Tatalovic, 2008) found that student research journals fell in to two distinct groups: those that were established by students and those that were established by faculty or departments. This appears to be true today (Walkington, Edwards-Jones, & Gresty, 2013). The British Conference of Undergraduate Research (BCUR) website, which lists the current undergraduate research journals in the UK (BCUR, 2015) cites 10 academic led, 13 student led (with varying levels of academic involvement) and three with no information.

While the numbers of student research output and dedicated journals are increasing relatively slowly in the UK, Caprio recognises a "clear movement" (2014, p.148) on the international stage towards recognition of the importance of the publication of student research as a key activity in developing students' written and oral communication skills. In 2012, the Indonesia Directorate General of Higher Education (DIKITI) announced a new policy to make research publication a requirement for all students in order to increase scientific publications and improve the quality of degrees (Rochmyaningsih, 2012). The suggestion from DIKITI was for universities to develop their own e-journals. In the UK, there have been a number of calls to integrate undergraduate research into the curriculum as a way to develop student engagement and a way to closely link teaching and

research (Brew, 2013; Healey, 2005; Healey & Jenkins, 2009; Jenkins & Healey, 2010; Walkington & Jenkins, 2008).

Walkington (2014) states that journals are not the only form of research dissemination and it is worthwhile considering more diverse ways for students to disseminate their research, such as conferences, blogs or Wikipedia articles. With the creation of BCUR in the UK, the opportunity for students to present their work has increased and this will be discussed further below. BCUR was created in 2011 by Professor Stuart Hampton-Reeves and was modelled on the (US based) National Conference on Undergraduate Research (NCUR) (Walkington, 2014).

5.3   Undergraduate research journals in the UK

Appendix 5.1 shows the undergraduate research journals in the UK. Of the 27 titles (26 excluding *Fields*, which was added in early 2015), only 17 are peer reviewed, the others are mostly 'showcase' journals for various schools and faculty. Two of the 17 are peer reviewed by postgraduates and one is peer reviewed by undergraduates. Two further titles appear to be archived, the last issues being 2012 and 2013. It was noted that many of the journals in the Tatalovic (2008) study only featured the best undergraduate work. This is what differentiates fully peer reviewed student research journals from the titles that perform a purely marketing function without any peer review.

In a survey of political science journals (Mariani et al., 2013), two thirds of respondents used student editors. 77% of the journals had a faculty advisor, but only 11% of those who replied had responsibility primarily resting with faculty. Of the remaining 11 titles in Appendix 5.1, a further seven had editorial boards that consist entirely of students or students with an academic editor. One other title has no information. This leaves just three of the 26 titles that are peer reviewed and have an editorial board consisting of academics, these are: *Bioscience Horizons*, *British Journal of Undergraduate Philosophy* and *British Undergraduate Journal of Ophthalmology*. Thus, out of the 26 journals shown in Appendix 5.1, only three titles have academic peer review.

The *Surrey Undergraduate Research Journal*, which launched in March 2015, does appear to be a similar title to *Fields*. "It is a multi-disciplinary refereed online journal which has been established to showcase the high quality work and research produced by both Undergraduate and Post-Graduate Taught (PGT's) students across the University of Surrey" (University of Surrey, 2015). However, peer review is undertaken by postgraduate researchers.

Therefore, it does appear that the approach of *Fields* as a peer reviewed interdisciplinary title with an academic-only editorial board for University of Huddersfield students is unique in the UK. The

only university-based interdisciplinary title that is peer reviewed exclusively by academics appears to have been dormant since 2012.

5.4   Institutional drivers

In 2013, the new University of Huddersfield Teaching and Learning Strategy was published. The strategy describes six enabling strands, the first of which referred to students as researchers. This strand made direct reference to "Three peer-reviewed taught-student academic journals, promote and celebrate student work in Social Sciences, Arts and Humanities, STEM" (University of Huddersfield, 2013).

The concept of an undergraduate research journal at Huddersfield came from a number of informal discussions from different areas of the University including the University Press, Computing and Library Services (CLS) in general, the Dean of Graduate Education, the Research and Enterprise Directorate and the Teaching and Learning Institute (TALI). An early draft of the Teaching and Learning Strategy had, in fact, prompted a paper co-written by the author in April 2013 (Appendix 5.2). This in turn helped to shape this part of the strategy and create the institutional driver. By publishing a journal of student research as part of this strand it was hoped to encourage students to aspire to the highest quality of academic work and to view their work in the context of a research environment. The authors proposed that the University launch a new open access undergraduate research journal along the lines of the title *Reinvention* published by the University of Warwick and Monash University (2015). The uniqueness of this proposal was that the new journal should have a different scope and editorial structure to other existing journals as discussed above.

Implementing and developing a student research journal addresses each of the key areas in the strategy and this is captured in *Fields'* main aims and objectives:

- Showcase work that demonstrates significance, rigour and high standards of research
- An opportunity for students to develop and hone their writing for publication skills and still meet the normal academic standard expected in published journals
- A space for undergraduates who have undertaken extra-curricular research to present their findings to a wider audience and to the benefit of that audience
- Promote the development of a community of people exploring ideas through research
- An effective method of introducing undergraduate students to academic publications.

(University of Huddersfield, 2015b)

The literature shows that the process of preparing and repurposing student work for submission to a specialist student research journal has a number of different drivers to the other outputs of the

Press. Students submitting work are challenged to strive for the highest academic standards of quality and originality. If students pursue a career in academia this will give them valuable experience of the publishing process. In addition the process can enhance employability options and in many areas employees may also be expected to be active in their specialist areas in terms of research and publication.

Whilst it is integral that the journal is in line with the Teaching and Learning Strategy, it is equally important that it is supportive of, and supported by, the 2011-2020 Research Strategy (University of Huddersfield, 2011a), which focuses on providing an enabling environment from which to deliver the dissemination of research, creating a platform for impact.

5.4.1 Benefits to the student experience

It is hoped that student contributions to a peer reviewed journal will enhance the student experience, which is another key institutional driver for setting up a research journal.

However, Gilbert (2004) considers that if undergraduate research is good enough to be published, it should be published in a 'real' journal. This point is supported by research conducted at Anglia Ruskin University by Lawson (2013). Others contest this argument (Walkington, 2012; Tan, 2012) citing benefits in the relationship between students and research advisors; students experienced mentoring and this fostered their professional growth by refining written communication skills. This would not be possible in a 'real' journal using double blind peer review. The opportunity to improve writing skills in a 'low risk environment' or more supportive atmosphere of undergraduate research journals was cited by the editor in chief of the *Journal of young investigators*, a student-led initiative to broaden the undergraduate scientific experience (Kim, 2015). Students found that their writing skills were seen to improve due to the back and forth nature of writing for publication. For example, correcting grammar and style, which had not been done as part of the assignment submission process (Walkington, 2012; Lawson, 2013, p.36). A survey of 20 students required to submit articles to *IMPULSE*, the online neuroscience journal for undergraduates*,* found that the process played a positive role in the laboratory work and that the students felt that they retained more information (Jones et al., 2011).

Reviewer feedback was highly valued by students, indeed, some students found this feedback more useful than that for assignments (Walkington, 2012). The act of writing for publication, rather than writing assignments "encourages students to do their very best work and take on projects that go above and beyond the typical undergraduate paper" (Mariani et al., 2013, p.835). This view is also supported by a 2013 report from the UK Higher Education Academy. The report cited "going public" (Healey et al., 2013, p.68) with students work as a way to raise quality. Students understood that

their peers, academics and professionals would read the work. Walkington (2012) concurs, stating that publication enhanced students' credibility and standing with peers.

Employability, another institutional driver, is also cited as another benefit of student research journals as it can be a useful addition to a graduate's C.V. (Walkington, 2012, Luck et al., 2014). One student who published with *Bioscience Horizons* commented, "[a]t an interview my prospective employer searched for my name on the internet, found my publication and offered me the position" (Luck et al., 2014).

Students at Oxford Brookes University reported a very positive experience, including a sense of achievement, heightened understanding of the research and a sense of ownership. One comment from the module evaluation was, "[b]ecause you are trying to find evidence that compliments/contradicts your own finding, I found myself reading a far greater number of journals/books" (Walkington, 2012, p.553). Another comment from the study on students submitting to *IMPULSE*, "[k]nowing that we would be submitting to IMPULSE made me take greater care in my research and preparation. I read more background information…" (Jones et al., 2011, A87) ties in with research in the UK, Australia and the United States (Stone & Ramsden, 2013; Cox & Jantti, 2012; Soria, Fransen & Nackerud, 2013), which has shown that there is a positive link between undergraduate e-resource usage and attainment and retention. Research at the University of Michigan has shown that retention rates for students who participated in the Undergraduate Research Opportunity Program, which included research presentations and journal article publication, were improved, particularly amongst African American students (Nagda et al., 1998, p.65).

There is a difference of opinion in the literature as to whether student research journals actually advance research. Tatalovic (2008) thought this was doubtful and Gilbert (2004) asks whether any articles in undergraduate research journals will have been cited outside of their home institution. However, Luck et al. (2014) have clear evidence to show that articles in *Bioscience Horizons* are being cited. This may depend on the type of student research journal and as more student research journals are launched, this area warrants further investigation. Many undergraduate journals use student reviewers, often postgraduate students, and Gilbert (2004) questions whether quality control might raise questions with those who may want to cite the article. There is certainly a question of quality control regarding the desire to disseminate all work "warts and all" (Uttley in Walkington, 2012, p.548) versus the quality of the work (Walkington, Edwards-Jones & Gresty, 2013).

Creating a publication that adhered to the standards of a 'normal' journal (Luck et al., 2014) was a key concern when developing the process for setting up a student research journal at Huddersfield. The desire to close the research loop by bringing together teaching and research to allow students to contribute to the academic output of the University (Brew, 2013) was also a contributing factor to the process.

5.5   Launching the journal

In April 2013, a formal proposal (Appendix 5.2) was submitted to the Pro Vice Chancellor for Teaching and Learning, with a view to submitting the idea as a TALI bid to secure start-up funding for the journal under the auspices of the University Press. The initial idea for the bid was to develop the journal front end and guidelines, create a process for review of papers, engage teaching staff/dissertation supervisors and link it to successful writing retreats already held at the University.[23]

The remit of the journal was to publish the best in undergraduate research from the University of Huddersfield. It was proposed to publish one issue of *Fields* per year, with the first papers being commissioned by the editorial board from stand out dissertations in the Schools. Ideally at least one or two papers from every school were to be published up to around 14 articles per issue. Content would be licenced under a Creative Commons licence in order to ensure maximum dissemination, while allowing the authors to retain all copyright and moral rights.

The proposal suggested a launch date of autumn 2014, which included a long lead in time in order to get the necessary structure up and running. However, the project was not taken further until March 2014 when a project team led by TALI began work in earnest on the new title. One disadvantage of the delay was that the literature review above was not actually carried out as part of the initial development of the concept and that the initial strategic project proposal, which was prepared to help the journal process in January 2014 did not include any of the original proposal suggestions. This was soon included in the planning although the lead time had been drastically reduced. This is a lesson to be learned for all new journals and needs to be built into the initial discussion after proposals are accepted. This is not only important to allow for the journals pages to be built, but the first issue papers to be commissioned or a call for papers issues and satisfactory peer review carried out.

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[23] Writing retreats for undergraduate and postgraduates are held in the School of Human and Health Sciences, this bid was also a recipient of TALI funding and was then in its first year of operation (Garside et al., 2015).

5.5.1 Initial development and timeline

The project was developed during 2014 as a TALI project under the leadership of Professor Michael Clarke, one of the University's National Teaching Fellows and Professor Tim Thornton, the Pro Vice-Chancellor for Teaching and Learning.[24] To ensure a suitable process that was fit for purpose and sustainable over time, a cross-disciplinary team was assembled from TALI, CLS, Marketing and Communications, and representatives from each of the seven Schools. It was important to have a combination of experience covering the subject areas, but also academic publishing experience from an editorial and publisher perspective.

The original process timeline, based on existing frameworks for professional and academic publishing processes, predicted a ten month time period. This was later adjusted to a 12 month cycle with publication scheduled for January 2015 and is shown in Figure 5.1.
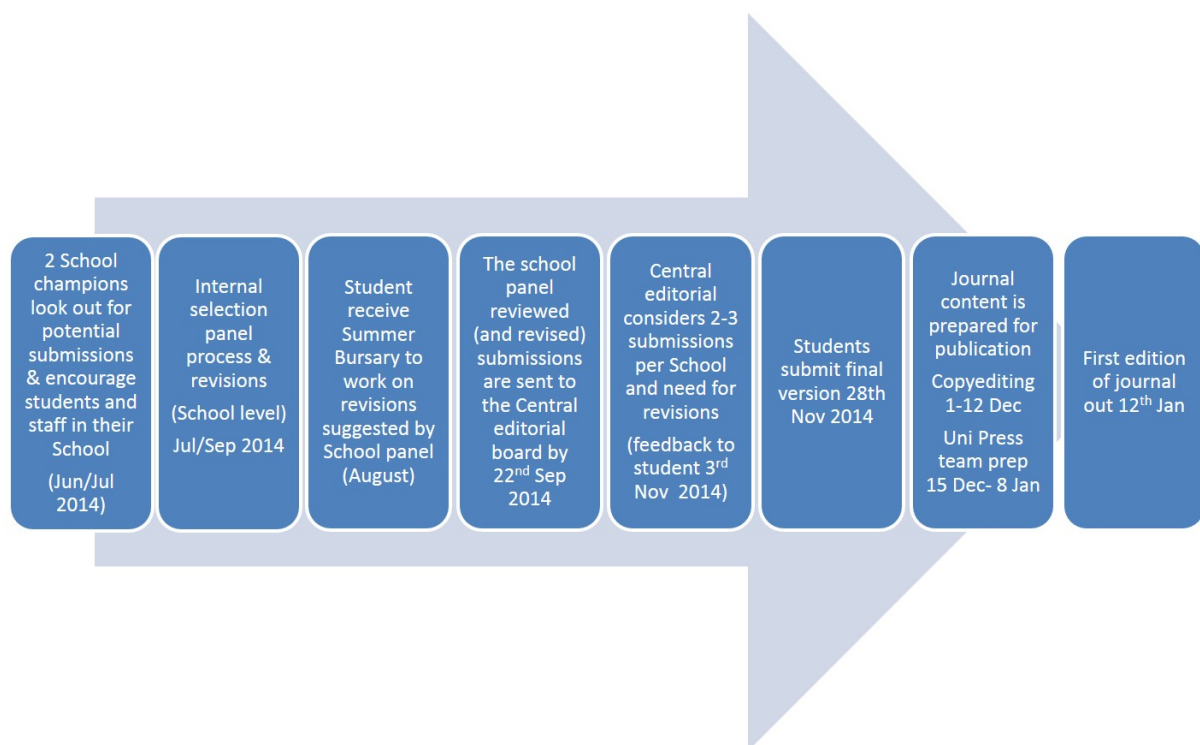
Figure 5.1. *Fields* journal and editorial process

The name *Fields* was decided upon after a student competition and the logo was designed by CLS. Once the name of the journal was decided, two marketing leaflets were produced to raise awareness with staff and students.

Originally described as an undergraduate research journal, during the planning stage it was decided to include taught postgraduate students in order to create an opportunity for all taught courses at

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[24] Tim Thornton is now Deputy Vice Chancellor at the University of Huddersfield

Huddersfield to submit papers. Again, this makes *Fields* a different proposition when compared to other titles.

The existence of an already successful library publishing platform was the catalyst in the development of the journal as this platform was already embedded into the local academic culture (Walkington, Edwards-Jones & Gresty, 2013). As part of the project, the Press estimated start-up and on-going costs and these were included in the project budget in year one (see Table 5.1). The ability to estimate start-up and ongoing costs were due to the financial support of TALI. This gives stability and sustainability to the journal and will be discussed further in Chapter 7.

Start-up costs	- Initial set-up costs for the HOAP platform £600+VAT - Journal cover/branding could be supplied by Computing and Library Services - No additional cost
On-going costs	- Copy editing costs could be neutralised or reduced by accepting papers with minor revisions, e.g. grammar and spelling, which would encourage the authors to refine their own papers. Author guidelines would be provided as an aid - Estimated copy editing of £50-100 per article - DOIs purchased by CLS for each article. References would also be brought up to the CrossRef standards, e.g. DOIs would be added where applicable - No additional cost - CLS to publish articles via the Repository - No additional cost There may be a resource costs for extending the writing workshops to undergraduates (see Garside et al., 2015)

Table 5.1. Start-up and on-going costs for *Fields*

At this point, although the Press Board had seen a draft proposal, a new proposal was sent to the Board and subsequently approved. As a consequence, *Fields* adheres to the standards laid out by the Press. All articles are given DOIs (digital object identifiers) and authors are asked to sign a Licence to Publish. In addition, the peer review process is transparent and made available on the journal landing pages, see Figure 5.2. The press also requires that the editorial board and peer reviewers are also made aware of the Committee on Publication Ethics (COPE) *Ethical Guidelines for Peer Reviewers* (Hames, 2013).
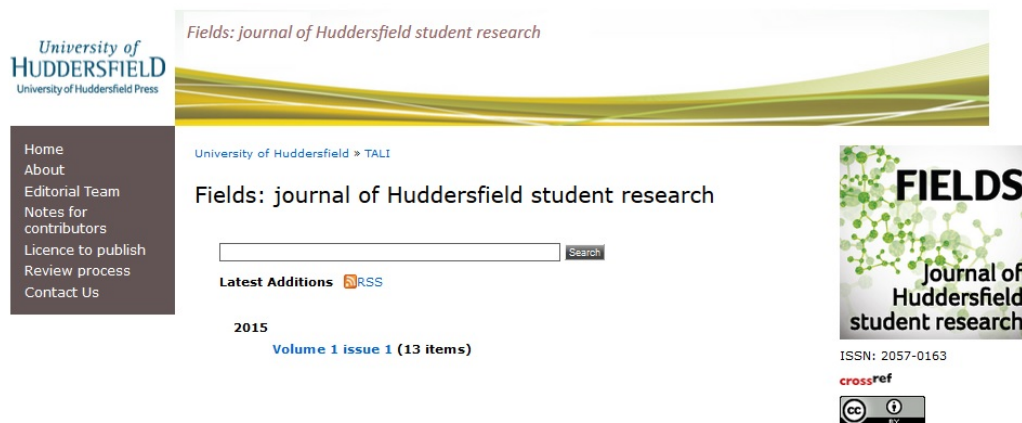
Figure 5.2. *Fields* landing pages (University of Huddersfield Press, 2015b)

5.5.2   Submission and review process

Timescales were very tight due to the delay in establishing the journal, this was also identified in the TALI project risk analysis. This created an issue around the submissions themselves as very little could be done before the School exam boards in June 2014. However, this did give the journal's board several months to finalize the administration. School Teaching and Learning Committees (STLCs) were on board by the end of February 2014 and school champions were also in place. As part of the publication process, an editorial board was established and a process for peer reviewing the student submissions developed in line with other journals and established best practice. However, this left no recovery time if delays were encountered and this needs to be taken on board for future journals.

The way the editorial board was put together was different to other Press titles. With other titles there is an assumption that the editorial board share the same principles as the editor. In the case of *Fields*, the board was established to give balance to the submissions. Representatives were requested from each School. In order to get agreement on key criteria such as guidelines and copyright/IPR across such a diverse range of academics a larger project meeting held in March 2014.

A call for papers was issued in spring 2014. As the journal landing pages had not been set up at this point, a temporary set of pages were created as part of the TALI website (University of Huddersfield, 2015c). In addition a flyer was produced for both students and staff. The TALI website also contained the call for papers, which was open until 26 June 2014. Despite the publicity, students did not submit directly to the first issue of the journal. Instead academic staff put forward student work that they considered to be of a high standard. For future volumes it is hoped that submissions may be initiated by students themselves or by staff who have supervised or marked work or by external examiners.

Another key driver was to ensure a high standard of work published in *Fields*. The review process was reasonably complex in order to ensure that the rigour of *Fields* as a peer reviewed journal was evident. This meant that student's papers may be rejected and this will be discussed below. The first stage of selection of student work was undertaken by a School panel with a minimum of two members of academic staff who had a strong research background and expertise in teaching and learning. The role of these panels was to receive proposals and shortlist two or three pieces of work to be developed further over the summer by the students concerned. The school panel provided feedback to students and worked with them to ensure their submission conformed to the journal requirements. A selection form based on Research Excellence Framework (REF) criteria was developed, which assessed the rigour, originality and significance of each submission. The school panels used this to evaluate student submissions and decide which to put forward to the central editorial board.

The second stage of peer review was the central university editorial board, which carried out a final review of student submissions, gave feedback to students about how to improve their submissions and then decided on the content for the issue. The central editorial board consisted of academic staff as representative leads from subject areas plus the Pro Vice Chancellor for Teaching and Learning and the project lead. TALI and the University Press were also represented on the board as ex officio members. All board members reviewing student submissions took into account the school panel comments and suggestions. Discussion at the editorial board meeting was led by a subject representative lead from the relevant area of work but each board member commented on:

- How far each submission met the criteria for originality, significance, and rigour
- Presentation and readiness for publication of submitted version
- Any further revisions required.

After the editorial board meeting, each subject area representative contacted students about the outcome and any required changes.

5.5.3 Communication and dissemination

To ensure that the journal employed a pro-active stance on communication and dissemination, a marketing strategy was developed and put into place. This tied in with the Research and Enterprise Marketing Strategy and was given the full support of the central Marketing & Communications department. It was developed using the same aims and expectations used for communicating academic work from a staff member. This included positioning of the journal within existing markets to draw attention of the journal's existence to universities and publishers (Beech & Stone, 2015b).

The journal received 970 full text downloads in the first six months after publication from a number of countries around the world. This shows the discoverability of using the HOAP platform and usage is very healthy when compared to other Press journals (discussed in Chapter 4), all of which show fewer downloads in the first six months of publication. Usage statistics on the other students journals discussed above are not available for comparison.

5.6   Evaluation

As part of the pilot project, an evaluation of processes was undertaken. This consisted of meeting with all colleagues involved to discuss and review the process and sending a short survey to students whose work was submitted.[25] This survey was designed by TALI with input from the author and others (Appendix 5.3). The questions in the survey were directly relevant to the student experience and are used in this chapter to evaluate the success of the journal. However, the survey itself is an example of how all Press journals could be evaluated. This will be discussed below and in Chapter 7.

5.6.1   The submission process

For year one of *Fields*, 19 student submissions were selected by the seven school panels. Students were then given feedback on how to develop the work to fit to the journal guidelines and standards. Two students did not complete the required revisions and therefore were not put forward to be considered by the central editorial board. Following the initial peer review from the panels, the *Fields* editorial board decided that a further five student submissions did not fit with the scope of the journal. These papers were rejected and the authors were contacted. On reflection part of the reason for this was that the editorial board felt that the School panels had held back from more rigorous peer review. It was realised that more guidance was needed for the School panels in future years. Therefore, the first volume of *Fields* featured 12 student papers.

Fields was created with guidelines that encouraged non-textual submission, particularly from the Schools of Art, Design and Architecture and Music, Humanities and Media. However, only two submissions of this nature were received and only one of these made it into the first volume. This was a disappointing outcome. The editorial board and two Schools need to establish a plan of action going forward to encourage non-textual submission. However, it may simply be that the quality of the work in that area at that particular time did not make the standard of the journal and in other years this would be different.

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[25] Permission was sought by TALI for all student quotes to be used in the Journal of Scholarly Publishing article. They are reproduced in this section of the chapter. The University ethics panel was also consulted as part of the process.

5.6.2 From submitted work to journal article

As expected, it was challenging for the students to rewrite their submissions and to get to grips with the requirements and terminology of the publishing process. One student commented that:

> It felt like quite a big jump, academically, from dissertation to journal article but the feedback helped a lot with that transition.

Comments received by students supported the literature regarding the benefits of them getting support from academic staff during the process (Walkington, 2012). For example:

> I thoroughly enjoyed the process and the opportunity to be a part of a published journal, the advice and journey of the first and second drafting experience to ensure a perfected end piece. Additionally, it was a great first publishing experience as the University staff were very helpful, and although some of the process was confusing at the beginning, because it was the first time I had produced an extensive piece for a publication, it was a perfect process for learning.

Another student commented:

> The feedback from the school panel was extremely helpful. It not only helped me re-write my submission but encouraged me to reflect on my work.

However, although a comprehensive set of notes for contributors were produced by the team, a review of the process revealed areas that needed to be more detailed. Student authors required more detailed guidance on many areas, including writing an abstract, what to add in an acknowledgement section, the format of figures and copyright of images. Indeed, the copy editing process revealed many unreferenced figures that needed to be further incorporated into the text or removed as appropriate. This should have been identified in the peer review process. A new revised set of notes has now been written and attached to the *Fields* web pages (University of Huddersfield, 2015b).

5.6.3 Timing issues

Walkington found that, "[t]he time taken to get work to publication standard whilst students were preparing to leave, or had already left, the university was challenging" (2012, p.554), and that a number of articles were lost in this part of the process due to author's time commitments. Therefore, it was important to ascertain whether students would be willing to commit to the additional work and whether the student's supervisors would be available over the summer period. In some cases this led to a delay in decision making at School level. It is clear that a timeline with built in flexibility is necessary to a process that supports students with other commitments.

I was very grateful for the flexibility with deadlines, as sometimes I had either my professional work to complete, or academic study.

However, one student highlighted that a more detailed timeline would have been helpful,

...I think I would have found a timeline useful so that I could see at the beginning when the various deadlines would occur (e.g. dates for first draft; revisions; final submission; minor amendments; publication). However, the deadlines set did allow sufficient time to produce the draft and subsequent revisions.

A bursary was made available in two instalments to support students in undertaking the required work in order to edit and rewrite their papers. Students selected by Schools at the first stage received the first instalment of £150. The second instalment of £250 was awarded to students when they got to the second stage of the process and were put forward to the central editorial board.

All students who responded to the feedback survey supported the University offering a bursary to support them whilst rewriting. Four of the students said they would possibly have completed the work without a bursary, but that it should be available to other students who would not be able to support themselves financially,

The bursary was very important to me, as the article experience did take a lot of time to perfect, before submission and afterwards, and was able to support me during this time. The money did allow me more freedom to travel to various places such as libraries for study and better atmospheres to write in.

Another student remarked,

...the bursary was important and helped me rewrite my submission. It was used to purchase books to update references and specify terms.

5.6.4 Impact of rejection

One of the submissions rejected at the editorial board level was from one of the highest achieving students in that year. They had worked closely with staff in terms of revising their work so there was concern that the student had left the University following a negative experience of the process. However, it should be noted that this particular student had difficulties cutting their dissertation down by more than a couple of hundred words. This highlights the issues for some in adapting work written for examination to become suitable for publication.

This was possibly a consequence of the submission process of the first year of the journal where students were selected rather than submitting themselves. This may have led to a misunderstanding that the journal would publish student dissertations in their entirety. Going forward, the central editorial board must emphasize to School contacts that they need to ensure the student

understands that their work (or aspects of their work) has the potential to be developed into a journal article but that *Fields* does not publish full length dissertations.

5.6.5 Differences in disciplines

An issue regarding authorship arose at the final editorial board meeting where the final selection of 12 articles was made. Guidance to the Schools had specified that all the *Fields* submissions were required to be student authored. However, some of the submissions from the sciences included joint staff and student authorship and in one case the student was not the lead author. After further investigation, it was discovered that this was due to the collaborative way much of the data in the papers was used. The School in question considered that student and staff co-authorship would be a more inclusive approach and one that better reflected current disciplinary practices. Walkington (2014) considers that co-authorship is a strategy that could be used. However, when the board was consulted other disciplines considered that co-authored papers would be more appropriate for main stream journals and that any staff contribution for *Fields* should be noted in the acknowledgment section. In the above cases, after discussion with the academic co-authors, one paper was changed to a single author, one paper was accepted with joint authors and one paper was withdrawn.

As part of the group discussion of academic staff, which was held as part of the evaluation process, the majority of the academic staff agreed that *Fields* needed to be clear that it was publishing student work. For future volumes, *Fields* should consider a number of the areas of best practice set out by the student journal, *Bioscience Horizons* (see Table 5.2).

A second concern regarding different disciplines in the journal is the way that references are handled. After discussing with the various School representatives, it was decided that the default referencing system for *Fields* should be APA 6th. However, exceptions applied to chemistry (RSC referencing system), history (Oxford referencing system) and law authors (OSCOLA referencing system) as this is a requirement for accessed work in these areas. However, this has created an issue around the copy editing process. Multiple citation styles lengthen the process. Having four different styles also makes the articles within the journal inconsistent in look and feel. It is suggested that this decision is reconsidered for future issues and to refer to CitationStyles.org for consistency (Citation Style Language, 2015).

Can the student's supervisor be named as an author on the manuscript?
Where appropriate the paper may contain multiple authors to reflect both the intellectual ideas and practical research contributions to the paper, but the student author should accept responsibility for the team.
Supposing the student or supervisor does not agree to the conditions or cannot meet the submission dates?
The conditions are not negotiable. The author and their supervisor/senior academic must agree to the conditions when submitting a manuscript for consideration by the Journal.
What is the supervisor's role?
The supervisor must agree to the submission of a manuscript to the Journal. The supervisor may advise the student but not re-write the manuscript. The supervisor may be a co-author on the paper, but the student must be named first and takes responsibility for the paper.

Table 5.2. Adapted from *Bioscience Horizons* FAQs (Oxford University Press, 2014)

5.7   Lessons learned

Comments from students and staff involved in the process were largely positive. Initial downloads were also encouraging. However, there are a number of areas for improvement highlighted in the discussion above. There are lessons to be learned for future issues of the journal as well as new Press journal titles.

An option for further work at Huddersfield is to consider the adoption of a number of strategies put forward by Walkington and Jenkins (2008) and subsequently extended by Walkington (2014) regarding sustainability, specifically:

- Strategy 1. Build publication into dissertation and honours-level requirements
- Strategy 2. Build publication into course and programme requirements
- Strategy 5. Build the results of publication into the curriculum
- Strategy 8. Make the employability benefits of researchers clear to students
- Strategy 11. Building a culture where students want to participate and expect to be involved.

However, there are a number of strategies that do not currently into the remit of *Fields* or have already been incorporated into year one:

- Strategy 3. Widen what counts as 'research'
- Strategy 4. Widen the forms of publication
- Strategy 6. Involve undergraduate students in the publication process

- Strategy 7. Train postgraduate students as reviewers for undergraduate research journals

- Strategy 9. Make effective use of current and emerging technologies

- Strategy 10. Link publication opportunities

- Strategy 12. Ensuring students submit their work before leaving the institution

- Strategy 13. Ensuring that the publication format can accommodate a large volume of submissions

- Strategy 14. Inviting submissions from partner colleges and pre-honours students

- Strategy 15. Allowing co-production with staff

- Strategy 16. Using a creative commons licence to allow the student to retain the copyright to their work

- Strategy 17. Involving all members of the university community in marketing undergraduate research outputs to new and prospective students.

(Walkington & Jenkins, 2008; Walkington, 2014)

5.7.1 Students submissions

The literature suggests a clear advantage to students in converting their assessed work into an article fit for publication. However, comments from students involved in the process shows that they found this challenging. Informal discussions as part of the School of Human and Health Sciences publishing programme for undergraduate and postgraduates (Garside et al., 2015) have suggested that student assessment should be altered. For example, a number of modules in the University are assessed by students writing journal articles, which are then examined. It is suggested that this is investigated further by TALI. There is also an option of building the following strategies into the student experience:

- Strategy 1. Build publication into dissertation and honours-level requirements

- Strategy 2. Build publication into course and programme requirements

- Strategy 5. Build the results of publication into the curriculum.

These strategies differ from the suggestion of writing articles for examination, but could be equally valid. *Fields* is becoming embedded by inclusion in the student module handbooks and by the use of staff champions.

5.7.2 Author guidelines

Despite efforts made to communicate the aims and scope of the journal as well as the publisher requirements and author guidelines, there were issues with copyediting, writing style/structure,

copyright and permissions. These only came to light late on in the process cycle. It was felt that the majority of these issues stemmed from a lack of effective communication in terms of what was expected of student work at this level. This also links to issues with support to help the students with the conversion and repurposing of their work from dissertation level to academic article.

The *Fields* board agreed that there are measures, which could be considered for the next publication cycle to address these issues and further improve the experience for both staff and students who engage with the journal. This has already been partially addressed by a fully revised version of the notes for contributors' pages as discussed above.

In order to address issues around preparing students for the jump from dissertation writing to article writing, a writing workshop was planned to prepare the 2015 cohort. The workshop was to be based on the current retreat and workshops run by the School of Human and Health Sciences for their ongoing project *Developing a culture of publication.* Now in its third year, this project has successfully re-purposed and published a number of masters' dissertations in academic journals (Garside et al., 2015). This provides a supportive space in which students can raise questions, as well as covering some key areas relating to publication including the importance of copyright and permissions. Thus offering an additional level of support for students and at the same time improving the level of work returned to the journal at the revision stage. A draft programme is shown in Table 5.3.

Programme	Group activity	Individual activity
10.00-10.20	Welcome and introductions Expectations Peer review	
10.20-11.00	Fields guidelines Refining and sharing your research	
11.00-12.30		Individual planning and writing
12.30-13.30	Lunch	
13.30-14.00	Panel Discussion: 'Ask the editor'	
14.00-16.00		Writing
16.00-16.30	Debrief and challenges	
Facilitators will provide advice and read-throughs as required		
Refreshments and comfort breaks as needed		

Table 5.3. Draft writing retreat programme for *Fields*[26]

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[26] This session was held in July 2015 and again during 2016.

5.7.3   Impact of rejection

It should be emphasised to students that having their work put forward to *Fields*, regardless of acceptance, is a success. There will always be a number of articles that will be rejected at the peer review stage. This leads into strategy 11. Building a culture where students want to participate and expect to be involved (Walkington, 2014). Caprio (2014) raises concern that students will have little or no experience of writing for communication and builds on the concept of scaffolding (Walkington & Jenkins, 2008). For example, using poster sessions, student conferences, blogs, wikis, multimedia objects and co-authored (student-faculty) papers to accompany student research journals. At Huddersfield there is some activity here. Co-authored papers in the School and Human and Health Sciences (Garside et al., 2015) and a student research festival to promote, foster and enable students as researchers (Powell & Wormald, 2013). This activity needs to continue and become more effectively joined up. The University is represented at the British Conference of Undergraduate Research (2015) by a member of academic staff and in future years it would make sense to encourage students to take part in the conference. As well as putting forward successful students, those that had papers rejected could also be asked to submit posters, and this may be one way to help with the impact of rejection.

5.7.4   The review process

The journal needs to be very clear about the review process. The review process for *Fields* is complicated but robust. However, it does need to be clear on the landing pages. An example of a clear process is that of *The Undergraduate Exeter*, the University of Exeter's interdisciplinary research journal (University of Exeter, 2014). This journal provides a simple explanation of what is required by student submissions and could preface the notes for contributors section.

In addition, the academics on the school panels also require clear guidance on how to review. Initially it was assumed that they would have experience in this area. However, there have been inconsistences in the review process across the Schools. Therefore, further training and guidance is necessary. This is also something that should be considered for other Press journals in order to ensure a consistent approach to peer review.

5.7.5   Make the employability benefits of publishing clear to students

This links directly with Strategy 8 (Walkington & Jenkins, 2008) and is an institutional driver that was not picked up in the original discussions. *Fields* would also benefit from benchmarking its objectives against other successful student research journals. For example, *Bioscience Horizons* states as one of its objectives, "[t]o illustrate the student skill base to prospective employers" (Oxford University Press, 2014). This could then be used in the internal marketing for future volumes.

5.7.6   Insufficient time allocated in the planning process

There is a lesson to be learned for all new journals and this needs to be built into the initial discussion after proposals are accepted. If the Press is to be scalable, it needs to implement a clear project plan for all new titles once they are approved by the Press board.

5.7.7   Evaluating all Press journals

Appendix 5.3 shows the evaluation questions used by TALI when assessing the student experience. While the questions cannot be used for other Press titles, the concept is certainly transferrable. Chapter 7 discusses the need for a publications and marketing manager as part of the publication level planning process. It is suggested that current journals are evaluated by this post in order to learn further lessons from authors, peer reviewers and editorial teams.

5.7.8   Sustainability

Looking to the future, there is inevitably a question of sustainability. Mariani et al. (2013) suggest that departments should think carefully about whether there are sufficient resources to enable the sustainability of student research journals. *Fields* remains a strategic project and as such has central support and financing, which is essential to maintaining the journal processes. There are timing and sustainability issues which must be considered for future volumes. For example, many of the journals listed above publish five to eight articles a year, whereas *Fields* aimed to publish up to 21 in a single issue. This in turn puts a strain on administration processes. Moving publication to a March/September or March/July/November publication schedule would help with this. However, the current schedule fits well with the academic year. These questions need to be considered as part of a wider evaluation of the Press and its outputs.

5.8 Conclusion

The journal was officially launched on 17 February 2015 by the Pro Vice Chancellor for Teaching and Learning and included a number of presentations by the student authors (University of Huddersfield, 2015d). One of the student authors spoke about their experience in an interview for the University's politics blog, Harold Wilson's Pipe:

> The experience of writing for the journal has certainly been a positive one. It has allowed me to develop publication skills, improve my academic work and take on board different perceptions and criticisms. The opportunity has also allowed me to revisit a piece of work that I am particularly proud of and present it to a wider audience.

> (Burton, 2015)

This view concurs with Tan (2007) who concluded that although undergraduate students would start the process of research insecure and fearful, they would end the endeavour experiencing fulfilment. Burton's comments encapsulate the institutional drivers for the journal. This is also evidenced in the student evaluation comments.

There are also a number of lessons to be learned from the publication of the first volume and these need to be taken forward as part of a wider publication level programme, which will be discussed in Chapter 7.

Chapter 6 Huddersfield Contemporary Records

6.0   Introduction

This chapter will discuss the Huddersfield Contemporary Records (HCR) project, which was established by the University in 2009. The chapter will cover business models in the music industry and the HCR pilot, which concluded in 2012, before considering the findings of the final report and subsequent action based on the recommendations. [27] An interim period will then be discussed, where various innovations were investigated before the chapter concludes with a proposal for a business model and workflow for future releases. This case study follows on from Chapter 1 (see Figure 1.2. Suggested workflow for reading this thesis). It sits apart from the other two case studies as this was a self-contained project that pre-dates the re-launch of the press. As such, the circumstances are different, including commission and funding.

The literature will show that the HCR pilot was a pioneering project. This is an important point to recognise in the evaluation and discussion. Unlike monograph and journal publishing, HCR could not draw upon previous examples of good practice from other university and library publishers in this form of music publishing.

Much of the current literature on the music industry centres on piracy and the decline in sales for 'popular' music (Papies, Eggers & Wlömert, 2011; Bourreau, Gensollen & Moreau, 2012). In a study on early music, Castro-Martínez, Recasens and Jiménez-Sáez found "that there are no studies of interactions between researchers and key actors (among others) in the classic music industry value chain" (2013, p.1280). For this reason, many of the business models and discussions around piracy and licences refer to more mainstream music. The case study from Castro-Martinez et al. offers some valuable insights for HCR, particularly around innovation, the role of researchers in the process and discussion of value chain analysis. This is supported by other literature (Cartwright, 2000) and will be developed further as part of a discussion around the future business plan for HCR.

6.1   Business Models

Developments in the music industry are influenced by technological change. From 78 rpm shellac discs in the 1950s to the rise of the single and album format in the late 1950s/early 1960s, the 8-track cartridge, the cassette, the compact disc and now the shift to MP3s and peer to peer networks (P2P) (Kasaras, 2005; Bhattachrjee et al., 2009). However, throughout this period the music industry has 'seized control' from the artists at the beginning of a contract, taking on the responsibility of the creation and distribution of a product through a recognised supply chain (Kasaras, 2005; Cartwright,

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[27] The final report was researched and written by the author and is attached as Appendix 6.1

2000). Pfahl (2005) describes the creative control of record companies over the whole musical production system as being one that often leads to musicians being left behind as musical fashions change. This is very different to the role of HCR, which is more akin to the idea that "[m]usic is the antitheses of a commodity product. Each song is unique. Artists strive to be distinctive and constantly adapt and innovate their offering" (Bhattachrjee et al., 2009, p.136).

Cartwright (2000) describes the advent of MP3 technology and the arrival of Napster as fundamentally changing this model – consumers are no longer reliant on the music industry supplying the final package. They are now able to download CD quality music via MP3 files in order to create their own compilations. Fifteen years ago, Lam and Tan (2001) successfully forecast that the Internet would become a major distribution channel for digital music and that the industry needed to re-examine its business models, yet it is now struggling to establish online business models (Welsh, 2009; Papies, Eggers & Wlömert, 2011). Physical distribution has been radically reduced and technology has lowered the barriers thus allowing distribution outside of the industry (Wikström, 2013). Tschmuck (2009) finds it 'striking' that the new business models have not originated from the 'traditional' industry but from complete market outsiders such as the computer and the telecommunications/dot.com industries citing Apple and iTunes and Amazon as two examples.

Papies, Eggers & Wlömert (2011) suggest three models to try to combat the effects of illegal downloads:

1. Digital sell through, e.g. iTunes
2. A subscription model to rent music, e.g. Napster 2.0
3. The advertising as a revenue source model, e.g. Spotify.

While conceding that digital downloads remain the most important source of digital income, Thomes (2013) puts forward a business model for streaming services. This 'two-tier freemium model' offers two types of service. Firstly, a free of charge option which is supported by advertising, then secondly a premium service, which charges a flat rate fee and offers extras, such as unrestricted access. The idea of generating high revenues from 'nuisance' advertising in return for cheap or free music streaming and using the high prices of the premium service to push users onto the advertising services is not something that would sit well with the aims and objectives of the Press, nor indeed the University. This model is seen as an effective way of combating piracy as the advertising allows free downloads. However, the view of HCR on matters surrounding piracy may differ widely to the views of the mainstream music industry.

6.1.1 Royalties

Royalties are paid whenever a song is broadcast and in the UK the amount is calculated by PRS for Music (2015a). Pfahl (2005) explains that the amount of royalties being paid is dependent on how many people hear the song. For example, hit songs played on the radio or television may generate many thousands of pounds of royalties. The amount of royalties a recording artist receives will also depend on the contract that they have signed with the record label. HCR itself has never claimed any royalties on behalf of its artists and it is not known how many royalties individual artists have received from PRS for Music. However, as is the case for scholarly monograph payments, it is expected that royalty payments for recording by HCR would be minimal. Using the data currently available, airplay on BBC Radio 3 (at 2010 rates) would receive a royalty payment of £11.04, Classic FM would pay £4.55 (darcysarto, 2012), with a PRS administration deduction of 13.74% and 16.50% (PRS for Music, 2012). Therefore, for a three minute radio broadcast an artist could expect to get £28.57 from BBC airplay and £11.40 from Classic FM airplay. The vast majority of artists do not earn enough from royalties to meet ordinary living standards (Kretschmer, 2005). In a genre such as contemporary music, royalties are likely to be well below this level.

6.1.2 Copyright and Piracy

Music copyright is a very complex area and it is not in the remit of this thesis to explain the various nuances of copyright law. [28] Various aspects of copyright regarding HCR contracts are dealt with exclusively by the University of Huddersfield solicitor. However, the move to new business models and the rise of digital does have an implication for copyright and potentially for HCR. Marshall and Frith conclude that there is a "radical disjuncture between the law and the social practices it supposedly governs" (2004b, p.213). Welsh (2009) argues that the music industry is using outdated copyright systems.

The issue being described here is the rise in illegal file sharing on P2P networks. This is seen by the music industry as a serious problem (Fox 2005, IFPI; 2011). In a study conducted in 2006, Zentner suggests that P2P "reduces the probability of buying music by 30 percent" (2006, p.63), and estimates that sales in 2002 would have been around 7.8% higher if P2P had not taken place. However, further studies see no decline in the supply of new sound recordings (Handke, 2012) and puts the responsibility for declining sales on a failure to adopt new business models rather than piracy (Welsh, 2009).

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[28] For an introduction to music copyright please see Marshall and Firth (2004a), which explains the basic concepts

Tschmuck describes a world before music copyright in the 1800s where, based on the emergence of "professional public concert life and industrialization of music publishing" (2009, p.255), exclusivity clauses were used by publishers to try to prevent composers/artists from opportunistic behaviour in selling their music to others. The case study of HCR shows that exclusivity is not just a practice that is consigned to the history books. However, the role of music publishers and concert promoters as "institutional gatekeepers" (Tschmuck, 2009, p.255) in a pre-copyright world is something that is worth further consideration as a potential model for HCR.

The very nature of downloadable music has led to a different culture around the perception of copyright and theft (Fox, 2005). In 2000, the Pew Internet and American Life project discovered that 78% of users who download music do not see it as theft and 61% did not care if the music was copyrighted (Lenhart & Fox, 2000). There is a growing body of literature that calls for a radical change in the way music copyright is handled. Kretschmer and Pratt argue that the literature suggests a "schism between contemporary cultural production and copyright norms" (2009, p.171) and that this is likely to persist for some time. They also argue that "[w]e can no longer abstract authorship from the market relationships of production, distribution and consumption constituted by copyright law" (p.170), citing the case of Public Enemy's 1988 release *It takes a nation of millions* (Public Enemy, 1988), which extensively used samples. Once these were deemed infringements through case law, Public Enemy had to change their style. Another example is the unreleased JAMMS album, *1987 (What the Fuck Is Going On?)*, which sampled Abba's single *Dancing Queen* in the track *The Queen and I*. The Mechanical Copyright Protection Society (MCPS) ordered the destruction of all remaining copies of the recording following a complaint from ABBA. This was done by setting fire to them in a Swedish field (Greenfield & Osborn, 2013; Smith, 1987).

Bently criticises British copyright law for failing to serve popular music, instead supporting music that fits classical conceptions,

> A composer creates a work by conceiving the combination, structure or arrangement of sounds, and instructs the performer (or more likely a number of performers) through the use of musical notation, the score. The work can be appreciated by some simply by reading the score, but most can only understand the work through witnessing its performance by musicians (or listening, indirectly, to a performance of the work from a recording thereof). Performances may vary, and in turn, so may recordings, but their aim is always the accurate execution of the work. (2009, pp.181-182)

The suggestion is that this way of assigning copyright does not fit with the cultural and dominant aesthetic understandings of popular music and that many artists do not accept the current structure of copyright (Bently, 2009; Kretschmer, 2005). The work released by HCR could be seen to fit

between these two definitions of musical genre. For example, Bently talks about popular music and the importance of 'sound', that is sound created, and enjoyed not as notes (p.182).

New technologies have led to new business models and concerns over piracy. In turn, this has driven the need for new licensing in order for the music industry to maintain its profits. Bhattachrjee et al. (2009) ask what innovation new licensing agreements and digital rights management can play in maintaining this profit. They also ask if the record industry will maintain its grip, or whether artists are beginning to see the benefit of new technologies to sell directly to consumers.

Regarding the negative effects of P2P, there is also a growing body of literature that suggests that file sharing has significant benefits both in word-of-mouth promotion for individual artists (Hammond, 2014) and for minor labels (Bhattacharjee et al., 2007). However, O' Donnell (2006) sees music blogs as a promotional tool rather than a marketing tool. Research on file sharing by Waldfogel (2010) "indicates that much of the music people consume without paying would otherwise not have been purchased" (p.312). This is supported by McGuire and Slater (2005) who suggest more-flexible licensing to allow use on podcasts, video podcasts or blogs as this influences purchases by others. Furthermore, although file sharing may have weakened copyright protection, there is evidence to show that file sharing increases concert ticket demand and concert prices and could be better linked to sound recordings (Oberholzer-Gee & Strumpf, 2010; Berman, Battino & Feldman, 2011; Dewenter, Haucap & Wenzel, 2012). This has real potential for the collaboration between HCR recordings and live performances at Huddersfield Contemporary Music Festival (hcmf//). Taking this idea one stage further, independent musician Jonathan Coulton (Goth, 2007) releases all of his songs through a Creative Commons non-commercial licence (CC BY-NC) and sells them on the web for $1 each, which allows maximum distribution to potential listeners.

Marshall and Frith (2004b) conclude that,

> If it becomes financially unviable to prosecute vast numbers of consumers, or too expensive to keep adding further technological locks because the last one has been broken, then the law will change. And, if that happens, then the structure of the music industry will change too. (p.213)

6.1.3 Innovation

Goth (2007) reports that technical, legal and cultural changes are moving at such a pace that the music industry as a whole is finding it difficult to keep up. Choi and Perez (2007) argue that piracy has affected innovation and business creation through four steps:

1. Online piracy has pioneered the use of new technologies, e.g. file transfer

2. Pirate communities have been a source of valuable market insight as early adopters (see also McGuire & Slater, 2005)

3. Online pirate communities that were once based on the illegal use of copyrighted materials have migrated to become customer bases of legitimate businesses, e.g. Napster to iTunes

4. This has led to online piracy (through technical innovations) leading to innovative business models (Teece, 2010).

Prior to the HCR case study, the early music case study by Castro-Martínez et al. appears to be the only case study that discusses the interaction and resulting innovation between a record company and a group of researchers. This was seen as a "new means of disseminating musicological research" (2013, p.1283). This view is very similar to the way in which the collaboration between HCR and the University Music Department was conceived. The early music case study suggests that "intensive co-operation" (p.1288) between researchers, the record label and the artistic director has led to innovations and that this is not a simple linear knowledge transfer. Co-operation between these players has changed the way researchers conduct research and the way the artistic director and musicians perform the work. The institution acts as a sponsor and assists in the marketing and dissemination including organising events and providing records as institutional gifts.

Innovation is used here to define the successful exploitation of new ideas as part of a process of collective effort (Sayer & Walker, 1992; Wilson & Stokes, 2005). Wilson and Stokes (2005) describe the value chain of the music industry and provide evidence that the two groups in the music industry (the cultural entrepreneurs and the record company) often have different interests and a lack of understanding and miscommunication between the two groups. Much of this is also highlighted above in the discussion on copyright.

6.2 Background to Huddersfield Contemporary Records (HCR)

HCR was established in 2009 as an outcome of a music e-publishing project to investigate the viability of online digital streaming as a means of distributing output. This was in order to enhance the profile of the University's Centre for Research in New Music (CeReNeM) both nationally and internationally and to showcase individual composers and performers. After an unsuccessful bid for an internal Teaching and Learning funding, the project was taken forward by CeReNeM and Computing and Library Services (CLS) on a pilot basis.

Unlike the early music case study at Lauda Música (Castro-Martínez et al., 2013), the record label did not contain an expert in the genre of music. CLS staff project managed each release and also dealt directly with the licensing, finance, cover design, distribution, the University solicitor, the researchers themselves as composers, musicians, conductors etc. and often external organisations

such as hcmf//. The aim of the pilot was to investigate the viability of HCR and to develop appropriate mechanisms and procedures.

Regrettably, the original project proposal and plan from 2009 was not archived. However, after discussions with the staff involved, broad aims and objectives have been reproduced in table 6.1, which shows the number of releases planned in the 2009 pilot.

Year of the pilot	Expected number of releases
Year 1 (2009-10)	3 releases
Year 2 (2010-11)	5 releases
Year 3 (2011-12)	6 releases

Table 6.1 Planned releases by year for the HCR pilot

6.3   Review of the HCR pilot

In 2012, at the end of the 3-year pilot phase for HCR, the University Press Board requested that the author produce a report in order to understand the challenges and successes on the HCR pilot and to inform further work. The report was tabled at a Press Board meeting and subsequently presented to CeReNeM. Section 6.3 is based on the initial report and subsequent recommendations, which were then approved by the University of Huddersfield Press Editorial Board (the original report is attached as Appendix 6.1).

6.3.1   Project Outputs and Outcomes

The 2009 pilot listed a number of outputs and outcomes:

Produce online digital streaming of music output. The original output of the project was to produce online digital streaming of music output. The option investigated was iTunes. However, this proved to be unworkable due to IPR and copyright issues. A third party (HCR) uploading artist's work meant that the costs for licences and contracts were too high and complicated. This is partly because of the iTunes business model, which is set up to maximise profit. Whereas HCR is not creating large enough surpluses required in order to afford this option.

HCR was established during a period of change for the music industry where new sources of income were being exploited (Thomes, 2013). At that time global revenue from digital outputs had grown to approximately 29% in 2010, up 6% from 2009 (IFPI, 2011). Fox (2005) indicates that physical music sales were already in decline well before the launch of HCR and by 2001, based on projected sales, music on the Internet was described as being here to stay (Pfahl, 2005). HCR was originally seen as a digital music project. However, all five releases were available as CD only, further releases have also been CD only.

Produce three pieces of work initially, then up to 10 per year thereafter. Table 6.1 shows that the pilot had an ambitious schedule of releases, although by the end of the pilot only five pieces of work were produced (see below).

Develop appropriate mechanisms and procedures. A CD production plan and production flowchart were developed for the pilot. However, these were not always followed during the project. This led to increased costs and delays in production and release dates.

Joint contribution of funding over the period of the pilot. Provisional funding of £69K for the project from 2010-13 was proposed, comprising contributions from Business and Enterprise, Yorkshire Forward, the Music Department research funds and other external funding. This was to cover salary, production, marketing and website development costs. The initial idea for up to £69K was not pursued and funding for the project has come from CLS and the Music Department research fund. Staff time in CLS was given gratis; unfortunately the hours were not recorded.

Set up and manage cost centre. The cost centre was set up and is still administered by CLS.

Add bibliographic records to the repository/library catalogue. Table 6.2 shows details of the five releases from the pilot. Records were provided in the library catalogue and the items were also placed in the University repository as part of the research output of the University. These records only contain cover art as excerpts of the recordings were not provided, unfortunately this has meant that downloads could not be traced in order to see potential interest.

Release[29]	Library Catalogue URL	Repository URL
Berweck, Sebastian (2009) Extended Piano	http://bit.ly/2izoQE6	http://eprints.hud.ac.uk/8406/
Bellamy, Mary, Harrison, Bryn, Cassidy, Aaron and Lim, Liza (2010) Transference	http://bit.ly/2izsdLt	http://eprints.hud.ac.uk/14914/
Cassidy, Aaron, Barrett, Richard, Johnson, Evan, Hübler, Klaus K. and Lim, Liza (2010) Strange forces	http://bit.ly/2jRfrZF	http://eprints.hud.ac.uk/14916/
Cox, Geoffrey and Marley, Keith (2011) Nothing but the hours	No record	http://eprints.hud.ac.uk/12067/
Sundin, Paulina E., Hellstrom, Sten-Olof, Dodd, Rose, Elison, Barbara, Bernier, Nicolas, Fawcus, Jamie, Thibault, J.F. and Bokowiec, Mark (2011) In search of the miraculous	No record	http://eprints.hud.ac.uk/12246/

Table 6.2. Library catalogue and repository links for the five releases

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[29] For full references on each release, see Appendix 1.1A

Manage contact between the Press and the agent (AWAL). There does not appear to have been any discussion regarding contact between the Press and the agent, AWAL (2015), during the pilot.

Clarify royalties, copyrights. It appears that no contracts were signed between HCR and the artists and no royalties from sales were agreed in advance. It is unknown if the artists themselves received any royalties from PRS for music, indeed it is suspected that not all of the artists were members. Copyright was cleared for the pilot. However, there were on-going issues resulting from the way the pilot reached agreements with the artists and composers. It appears that some of the composers involved started to register their works with other music publishers after the recordings were made. This has resulted in a series of back claims being sent to the University requiring CLS, on behalf of HCR, to pay the MCPS (PRS for Music, 2015a) in retrospect for music that, technically, should be owned by the University. There is potential for this to become a substantial outgoing if composers continue to do this.

Ensure effective branding and marketing. The five releases have a distinct style of branding, which was produced in house by CLS to a high specification. However, neither CLS nor the artists completed a marketing strategy for either the pilot as a whole or the individual releases during the pilot. Records from the pilot show that three review copies were sent out for Extended Piano and seven each for Transference and Strange Forces. There are no details about where the review copies were sent and no information about any reviews that may have resulted. Thus it can be concluded that there has not been a systematic approach to promotion during the project. Opportunities have been taken where they exist, for example at hcmf// where copies of the CDs were available for purchase from the music shop Forsyth's who maintain a presence at the festival.

6.3.2 Distribution and sales

The review of the HCR pilot investigated the distribution of CDs and the income/expenditure for each title. Table 6.3 shows details of the amount produced for each title, the amount in stock after a stock take in the autumn of 2012 and the sales figures recorded in the University's financial system. The gratis copies have been calculated by deducting the known sales and the stock currently in CLS. However, it is also believed that more copies may have been sold than indicated here. Thus, the number of gratis copies should be reduced and the actual sales are probably far higher. The amount still in stock shows that in every case it appears that too many copies were initially pressed. This seems to follow a similar pattern to early monographs, where demand was over estimated and project costs could have been reduced.

CD Title	Produced	In stock	Gratis copies	Sold
Extended Piano	1050	638	396	16
Nothing but the hours	500	425	73	2
Transference	1000	684	295	21
In Search of the Miraculous	500	437	54	9
Strange Forces	1000	703	278	19

Table 6.3 Number of copies produced and their distribution (September 2012)

An example is a discrepancy in the figures for *Extended Piano*. An internal strategy document from the Music Department in 2009 states that approximately 25 copies were sold at hcmf// that year and that 500 were acquired by the performer Sebastian Berweck himself. However, CLS only has a record of postage for 100 copies being sent to Germany for Berweck's use. Indeed, the stock take implies that although 500 copies were never sent, it is likely that more than 100 were sent. A further detail in the strategy document notes that 50 copies of the Berweck CD were produced in order to make the deadline for the hcmf// due to production delays for the whole run. 50 complementary copies were also released in lieu of artists' fees plus two copies for each composer. There is a discrepancy here as the stock in CLS does not match the number of copies thought to have been distributed.

Where figures exist for expenditure (*Transference*, *Strange Forces* and *In Search of the Miraculous*), it appears that production costs are fairly stable, from £1,000-£1,200, depending on the number of copies produced, although there is clearly a large margin of error due to the uncertainties about distribution. Sales are again low and it appears that a large number of CDs are being distributed free of charge. This increases the amount needed to break even on sales for the remainder.

Based on the figures available, each CD/DVD would need at least £1,000-£1,200 in subsidies to break even. The estimate of sales so far indicates that the project does not appear to be self-funding going forward. However, it should be noted that sustainability was never a stated outcome of the pilot. An important point to make when discussing the 'cost' of production is that the recording of the CDs are all done in house by University staff and therefore do not incur charges. The £1,000-£1,200 costs relate to the physical production costs, e.g. mastering and pressing, packaging and design and licence payments to PRS for Music. The issue with back claims from PRS for Music also means that a break even budget for the pilot was not possible, and if this continues, could become a substantial

cost in the future if further claims are received as the University has taken a decision not to pursue back claims for recordings made during the pilot phase.

Further information on total sales transactions that were available (43 in total) shows that Amazon sales account for 23%, the University Online Store for 61% and direct sales for 16%. However, there is a cost for the inclusion of the CDs within Amazon, which has to be added to general expenditure, together with back claims. Amazon fees total £300 a year and this is a recurring expenditure.

6.3.3   Lessons learned and recommendations

While the HCR pilot was not a commercial success, it was a critical success and created a series of very high quality and well packaged recordings. The question posed to the stakeholders from CeReNeM and hcmf// was whether there was interest in the continued subsidy of high quality products of a professional standard that represented the research and artistic output of the department and its collaborators. It was suggested that a more systematic structure was needed for the whole process including clarity in costs, legal implications, web presence, marketing and downloads.

Recording/production. Despite the literature suggesting downloads were the way forward, the initial pilot concluded at a very early stage that iTunes was not a commercial model that would work for future HCR releases. However, alternative methods of digital distribution may be more appropriate. For example, the free iTunesU approach taken at the Institute of Musical Research (2012), although this site was discontinued in October 2012, or via distribution services such as CD Baby (n.d.) who charge a nominal fee per CD and act as an aggregator, distributing to iTunes, Spotify etc. for a percentage of sales.

Procedures developed during the pilot required further refinement and needed to be linked to a co-ordinated plan in order to engage artists and make sure that the correct procedure for obtaining licences was followed for all recordings. This in part was due to there being no firm contracts in place during the pilot, which in turn led to misunderstandings. This approach led to recordings being made that were not correctly licensed, causing delays as they had to be re-recorded.

Therefore, it was recommended that an alternative method of digital dissemination was investigated and, should it be decided that it was a viable approach to use for future recordings, funding was to be sought. A guide to potential costs would be created, which could be used to inform future releases. These costs would have to include production, licensing and other general overheads. All future recordings need to be fully costed in advance and a suitable proposal form developed so that these recordings could be approved by the Press (or appropriate body) before moving forward.

Income/expenditure. The report highlighted the need to reflect on the intended outcomes of any further CD/DVD production for HCR. Based on the first five releases it is clear that the label is not going to render a surplus, or break even. However, if the intention is to produce recordings of special interest that showcase the high quality outputs of University composers and performers, a subsidy would make future recording possible. This subsidy would not only be required to support the production of new releases, but also to account for on-going costs that CLS incur as a publisher. This also assumes that CLS would charge for the administration costs, graphic design of the artwork, licence negotiation, project management and financial management of sales.

It was recommended that business models were investigated further, and that decisions were made as to whether a profit or promotional model was used, or indeed whether there is a balance to be found between the two. For example, 'freemium' models where downloads are free while CD orders incur a charge. The outcome of this recommendation has an impact on the licensing model. A free download/promotional copy model may incur reduced licensing fees and simplified administration costs, while attracting significantly more downloads and therefore exposure for the University than a traditional sales model would. It could be argued that this is worth far more to the University in the long run. In addition, it was recommended that contact be made with other universities and specialist labels, such as Crónica (n.d.) in Porto, Portugal in order to fully understand their models. This particular recommendation and the implications for copyright, licensing, format, distribution and marketing will be explored further in this chapter.

Manage contact between the Press and the agent (AWAL). Lack of information regarding contact between the pilot and the agent (AWAL) mean that it is difficult to draw any conclusions regarding this objective. However, Tschmuck has argued that "[t]he emergence of the Internet, which is part of an overall digital revolution, has challenged all three pillars. Thus, artists and smaller record labels no longer depend on the distribution capacities of the major companies" (2009, p.254). Thus the use of an agent in the pilot has been made largely irrelevant.

Copyright/licensing. It appears that it was not made clear to some composers that they would not receive royalties from the pilot. Given the number of CDs produced and the subsequent sales, royalties were unlikely and therefore this should have been made clear from the start.

Copyright and ownership of the works created for HCR needs to be better understood and defined. Each back claim is in the region of £200 and there is no budget to pay for this. The University must make composers aware of who owns the work (this is an area for further discussion as to whether it is the University or the composer), and this must be supported by senior management in the

University. The University has a choice to either pay or contest each claim. Once the University is clear as to who holds the rights to the work, it can request composers not to publish with other publishing houses. Therefore, it was recommended that it would be unwise to mention royalties for future releases based on sales from the pilot and that the University Solicitor worked alongside HCR to produce guidelines for the ownership of composers work. This would either instruct composers and artists not to publish with other publishers, or that funding is allocated to pay for MCPS back claims. As part of this recommendation it was suggested that contracts were drawn up with composers and artists for future releases in order to be able to contest any such claims and to make composers and artists aware of theirs and the Universities rights.

Further to the above, it was recommended that HCR and the Press investigate the option of publishing scores via a print on demand option. The area of copyright and licensing is explored further below in discussion about the future business model and associated workflows.

Distribution. It appears that the Amazon distribution costs are a substantial overhead for the project and are not converting to a high enough proportion of sales. Unless the £300 per year Amazon fees could be subsidised, it was recommended that this means of distribution was removed and future releases rely on the University's Online Store (University of Huddersfield, 2015e) and direct sales. An alternative distribution model, such as CD Baby was recommended in addition to the investigation of the iTunesU model for free downloads at the Institute of Musical Research.[30]

Marketing. No details on the outcome of marketing opportunities were available, so it cannot be verified whether the review copies were actually reviewed and whether the review was favourable. Either way, potentially positive reviews were not used in any further marketing and certainly appear not to have converted to additional sales. There is also very little detail on the pilot's marketing strategy. Future releases would benefit from the adoption of a business and marketing plan. A lack of understanding of the market has led to an over production of CDs during the pilot. The project was carried forward in part by the enthusiasm of the artists and stakeholders rather than an understanding of the market for sales/distribution of free copies. This has led to 1,000 copies being produced when a smaller number may have been more appropriate. Again, this is dependent on what the stated aims of HCR. For example, HCR may wish to provide promotional copies at events, if this is the case, the licence would need to be negotiated as appropriate.

In addition to a proposal form to approve new releases, it was recommended that each release be accompanied by a marketing plan, which should include aims and objectives for each release and the

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[30] This service appeared to be discontinued shortly after the report and recommendations were published.

potential market, list of possible reviewers etc. It was hoped that composers and artists could use their experience of other recording labels to help with the marketing strategy. Indeed, the composer/artist is often best placed to lead the promotion and marketing in what is often a niche area. It was also recommended that information on whether review copies lead to a review and whether that review is favourable are kept in order to influence decisions on future releases. Finally, the report also recommended an area of the Press website should be developed to support the marketing aims of HCR.

6.3.4 HCR stakeholder meeting

Following the report, an evaluation meeting was held with stakeholders from CeReNeM and HCR in September 2012. From a purely financial point of view it was agreed that the report demonstrated that the current model of CD production was not viable, but the benefits of having products of high quality and artistic merit were of great benefit to CeReNeM, HCR and the University of Huddersfield in terms of visibility and profile.

The important outcome for this meeting of stakeholders was that all agreed HCR should continue for a further three years and be reviewed in 2016. The pilot had been a big learning curve and there were clearly areas that had not been approached in a systematic way, such as licences and that each new release needed a properly costed project plan.

There was agreement that proposals for three further cases studies were to be produced as part of a strategic plan by the end 2012. It was suggested that it was desirable to have a more formal partnership with hcmf//. These three case studies (See Appendix 6.2) would be released as free downloads. In December 2012 notice was also given that a final CD for the HCR pilot project was to be produced using University Research Fund (URF) money. This release from the EXAUDI vocal ensemble (2015) and was due to be released in March/April 2013 (see 6.4.2).

6.4   The 'interim' period

The idea behind the strategic plan and case studies described in Appendix 6.2 was that each project was to be planned in advance in order to allow HCR to budget correctly and to clear any potential rights problems and ask all musicians/composers to sign a Licence to Publish in order to protect against claims from other music publishers.

The final case studies in this chapter cover the interim period between the end of the HCR pilot and the intended submission of a new strategic plan for HCR. Essentially, these were recordings that were already in progress. While not being part of a new strategic plan, their recording and release could benefit from the lessons learned in the pilot.

At the time it was agreed that all future recordings needed to be fully costed in advance and a suitable proposal form developed so that these recordings could be approved by the Press (or appropriate body) before moving forward. However, the strategic plan agreed in the stakeholder meeting was never completed and the first two case studies in Appendix 6.2 were never progressed.

6.4.1 Zeta potential

The third agreed case study was a release of the first two years of hcmf//'s European composers' development project. A full proposal including guidelines was agreed in the stakeholders' meeting. However, in November 2012 it appeared that the project had already moved forward without the knowledge of HCR. This appeared to be repeating the issues that arose from the pilot. An email was received listing licence costs, download suggestions via Bandcamp and other details that should have been sent as a fully-fledged project proposal and not a fait accompli.

It appeared that the tracks had already been recorded without HCR receiving a list of composers' names, whether they were registered with the PRS, details of the tracks, including composer, title, duration in seconds, name(s) of performers or ensemble, date and venue of performance and details of which tracks were to be grouped together as a virtual release.

In addition, it came to light that composers had not been made aware that royalties would not be paid and that some work had already been published by the University of York Music Press (UYMP) (2015). Further investigation showed that 16 of the 24 tracks had already been published in either score or sound recording format (and some cases both) and all had been performed subsequently. Some were even downloadable via YouTube and/or composers own websites. This had very serious implications for copyright and licencing. The information on the track timings was not received until January 2013.

After discussions with the University Solicitor it was agreed to assess the potential risks of HCR continuing with the project as this release was very different to previous releases. HCR was the recording and production company, carrying out those services on behalf of hcmf//, who would be the publisher of the release. This meant that the publishing agreement between hcmf// and HCR would need to contain appropriate warranties and indemnities from both the composer and hcmf// in favour of HCR in order to confirm that each had the right to enter into the publishing arrangements and that there were no prior third party claims. Similar warranties would also be needed to be supplied to hcmf// from the composers. This would address the issue of potential back claims and give hcmf// 'first right to publish'.

On this advice, HCR put the project on hold and requested hcmf// to carry out a due diligence exercise to assess what rights it had to publish the recordings, including consent from other interested parties. The exercise needed to assess what agreements were already in place with composers and performers prior to each of the festivals recordings being made.

It was confirmed that as hcmf// recorded the performances, they owned the copyright to these. However, they did not own the composition, which was owned by the composers unless it has been assigned to a publisher/management company. Therefore, hcmf// needed to establish the following criteria to:

1. Ascertain that there was artists' sign off and to agree for commercial exploitation of the recordings if not in the ensembles' contracts
2. Ascertain that composers were in agreement with recordings being distributed and to establish who owned the copyright to the composition and that the copyright owner had given permission
3. Register the copyright holder of each piece with PPL (2015).

The due diligence described above was carried out and three tracks were removed. In May 2014, 15 months after it was originally planned, Zeta Potential was released via CD Baby as a download only release (see Figure 6.1). It was agreed after discussion with the PRS that the licence needed for the project would be a Limited Online Music Licence (LOML) (PRS for Music, 2015b) at an annual cost of £122 + VAT in perpetuity.
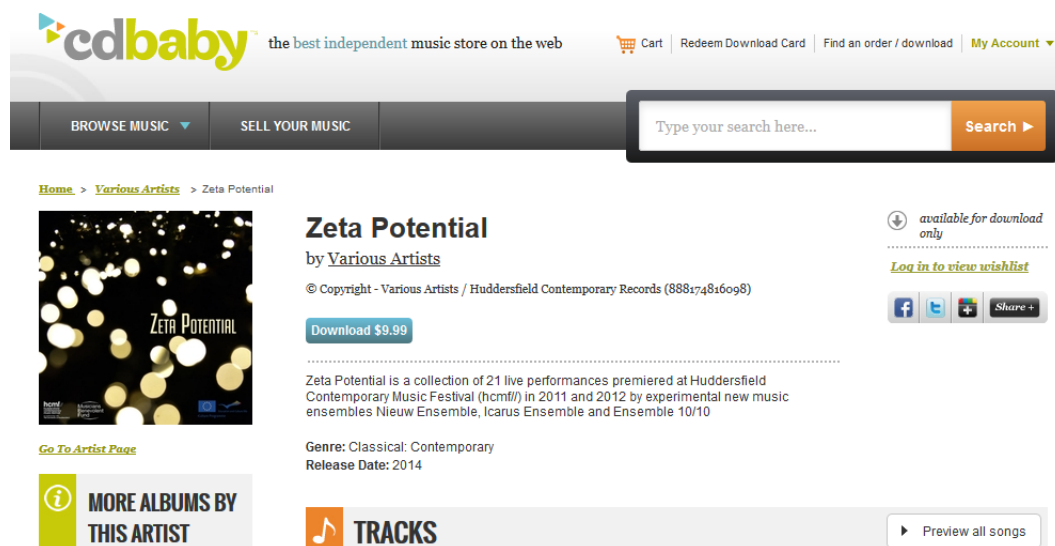
Figure 6.1. *Zeta Potential* download page (CD Baby, 2014)

A press release followed from hcmf// (2014), which was sent to the composers and also Tweeted and posted on Facebook (McWatt, personal communication June 16 2014). The entire recording was

priced at $9.99, with individual tracks priced at $0.99. However, despite publicity to those with an interest in hcmf//, only nine full downloads and six tracks were purchased in 2014. Clearly this was not enough to cover the PRS licence, let alone to share any royalties. There was an initial discussion to make the tracks available via the University repository, but this was later changed in the contract to allow 30 second extracts only and it was decided not to pursue this. If the idea of free track downloads had gone ahead, it would have been interesting to see how they compared to the purchases via CD Baby (See 6.4.3).

6.4.2 EXAUDI

After the agreement to take the three HCR case studies forward, HCR was contacted about another project. The EXAUDI project was a three-stage project, which received £27K of URF money in 2012. The project supported:

> …the development, distribution, and impact of new compositions by Aaron Cassidy & Bryn Harrison written for EXAUDI vocal ensemble. Both works are high-profile commissions: Harrison's work has been commissioned by the Britten-Pears Foundation, and Cassidy's has been commissioned by the PRSF 20x12 scheme for the 2012 London Cultural Olympiad. (Cassidy and Harrison, 2011)

The works were also linked to the tenth anniversary celebrations of the EXAUDI vocal ensemble (2015). It was suggested that URF funding would dramatically increase the impact and distribution of the research connected to the two pieces and would expand the number and significance of the outputs for 2014 Research Excellence Framework (REF) submission. The third phase of the project was the release of the CD by HCR in March/April 2013. However, it was not until the end of February that HCR received further details of the project. This was in the form of an email instructing the CLS graphic designer to produce the CD cover. Once again this did not follow the agreed guidelines for new productions and meant that staff had to put in extra work at short notice.

The work had already been recorded by the time the email was received. This meant that the University Solicitor had to draw up retrospective contracts and around 24 hours of staff time had to be allocated at short notice for the negotiation of the correct licences from the PRS. HCR was asked to meet a very tight timescale, as the ensemble had planned a release concert for 4 May 2013 in London. Despite a flurry of emails between HCR and the music department not all of the information required for the licences was sent through until the end of March 2013. Despite attempts by HCR to hold the pressing of the CD until everything was in place, it went ahead anyway. It also transpired that one of the pieces had already been published by UYMP.

Despite the 2012 review, there were clearly still communication issues and a lack of understanding regarding the length of time the processes took and the need to have the legal side of the process agreed and signed off. However, 1,000 copies of the CD were produced in time for the May concert and the CD was made available via the University Online Store.

The original URF project stated that the release would increase distribution and impact of the research outputs. Clearly, based on previous experience, making the CD available via the University Online Store was not going to achieve this. Sales were steady during summer 2013 because of word of mouth marketing from those involved. It was at this point that a decision was made to approach CD Baby for distribution.

6.4.3   CD Baby

HCR recordings have suffered from lack of sales throughout the pilot. During the review of the HCR pilot, a number of alternative distributors where discussed such as Bandcamp, iTunes and CD Baby. iTunes had been investigated at the start of the project for digital downloads. However, the costs proved prohibitive. Bandcamp was suggested during the review, but stakeholders felt that this was too directed towards the independent/alternative music scene.

CD Baby (n.d.), based in Portland, Oregon was started in 1998 and is now the largest online distributor of independent music, including classical and avant-garde recordings. CD Baby covers the distribution of both physical and digital recordings and is therefore ideal for the current and future needs of HCR. The business model covers warehousing, payment transactions, packing, shipping, fulfilment, and customer service for a one off fee of $49 per release; this includes distribution via Amazon and other wholesale distributors of CDs and DVDs in the United States. Feehan and Chertkow (2010), in their review of D.I.Y. options for musical distribution, recommend CD Baby for those artists that are "relatively unknown and will likely only sell sporadically" (p.22). This is probably a fair reflection of HCR and its sales to date.

As part of their business model, CD Baby charge $4 per CD sale, with the artist or label receiving the remainder. HCR can then set a minimum pay point and automatically receives payment via Paypal within a week each time the account balance hits the paypoint. CD Baby require five copies of each release to be sent to their distribution centre in Portland, one for use in making digital excerpts for the web site and four for immediate distribution. HCR is then contacted when further copies were required.

In June 2013, the University Press Board approved the use of CD Baby for distribution of HCR releases. The initial outlay for the Press was $294 (approximately £180) for the setup of the six

releases, plus postal charges totalling £24.45 for five copies of each of the six CDs/DVDs. Therefore for an initial outlay of approximately £205, 24 CDs/DVDs were made available. Further discounts on releases sold through US distributors meant that even if all items were sold, HCR was unlikely to return a surplus. Additional sales of these CDs would start to show a small surplus. However, the remit of HCR and particularly the EXAUDI project was to increase the distribution of research outputs, not to make a surplus.

Table 6.4 shows sales via CD Baby versus online store sales up to March 2015. These sales represent approximately nine months of availability on CD Baby. A further six copies of Exposure have been sold in April/May 2015, but they do not represent the majority of sales, which are still via the online store. This is probably due to marketing by the artists themselves. There have been sales of the back file, although again, the bulk of sales have come through the online store. CD Baby has clearly increased distribution, but not by significant amounts. Therefore, there is nothing to justify the large number of CDs that were pressed in advance. The demand is not present, even if HCR releases are made available via a large distribution deal. It is important to note that digital sales, had they been available, may have told a different story.

CD Title	Produced	Sold up to October 2012	Sold up to March 2015	Sold via CD Baby
Extended Piano	1050	16	25	2
Nothing but the hours	500	2	5	1
Transference	1000	21	32	1
In Search of the Miraculous	500	9	11	2
Strange Forces	1000	19	32	1
Exposure	1000	n/a	25	2

Table 6.4. CD sales via CD Baby

6.5   A new business model for HCR

While the early music study (Castro-Martínez et al., 2013) discusses the successes of the relationships behind the process, it does not discuss the commercial success or the success of increased dissemination. In a study on open innovation in universities, Razak, Murray and Roberts (2014) found that innovation in universities rarely leads to successful commercialisation. From the case studies above, it can clearly be seen that the project and subsequent releases were also

commercially unsuccessful. Razak, Murray and Roberts (2014) discuss a 'sizeable gap' between the knowledge of universities and business. In the context of HCR, that sizeable gaps still exists. However, this may not have been understood by the researchers who took part in the project as there seemed to be a high expectation that HCR would have a better knowledge of business practice, whereas both parties faced a steep learning curve.

Neither was the project an exemplary example of innovation. The issue here was that there was no project plan at the outset and it appears that both parties had very different expectations. A project plan with concise aims and objectives would have helped to bring all parties together. Pratt (2005) describes cultural industries as being "intrinsically anarchic and individualistic – a quality that defies planning or management" (p.32), but they are also "viewed as commercial in their orientation" (p.32). In hindsight, the HCR project should have been approached as a research project between music researchers and a non-academic partner, in this case CLS. Both partners needed to collaborate and learn from each other. Whereas what actually happened was that CeReNeM treated HCR as a service that they funded. The artists felt that they held the right of veto over HCR. This is why contracts were not signed and strategic documents were never written. The project never achieved co-operation between the players in the way the early music case study achieved (Castro-Martínez et al., 2013). A more formal understanding of the aims and objectives of all parties may have gone a long way to achieve this. Indeed, a further research output from this project could have had a major contribution to the literature on innovation and collaboration.

To a certain extent this is a legacy of both HCR and the monograph publishing side of the Press. Both were set up before the re-launch of the Press and have certainly suffered from a lack of direction. Whereas the journals and Fields sub-project were set up using project plans and had definite aims, objectives and stated outcomes – and both contributed to the literature as research projects in their own right.

The lack of structure behind the collaboration is more akin to an informal collaboration (Olmos-Peñuela, Molas-Gallart & Castro-Martínez, 2014), where one party (HCR) was very much the junior partner providing a service. This situation was highlighted towards the end of 2014. A meeting was called to discuss the writing of a strategic plan in order to implement lessons learned in the pilot project by suggesting new workflows and formats. This was to be detailed in a project plan as part of a £300K URF grant to develop CeReNeM. Rather than formulate this and plan a paper to the Press Editorial Board, the meeting concluded with a decision for CeReNeM to put forward a paper suggesting that HCR should become more autonomous and that decisions, such as selection of

material and contracts be negotiated by the new CeReNeM manager appointed in late 2014 instead of the Press.

Part of the frustration with the Press as a partner came from a perceived lack of sales and marketing from HCR and too much red tape, such as artist's contracts and PRS licences, which were felt to have held up the releases. In addition, there was also a suggestion that CeReNeM pursue a different direction and approach a larger distributor, such as NMC Recordings (n.d.). However, this thesis proposes that that is potentially a backwards step, which keeps HCR on a very traditional model that was been shown by the literature to be outdated. In addition, it is suggested that commercially, this is the wrong approach. URF money and other grant money is essentially public finding. Signing an exclusive contract with a distributor goes against the auspices of the Press as well as the direction the music industry is taking. Indeed this may not increase distribution and impact of the research outputs (one of the stated aims of EXAUDI). This case study has shown that even with marketing from hcmf// and the artists, a non-exclusive contract with CD Baby has not significantly added to sales and continuing in this vein will not necessarily innovate.

The literature regarding business models, copyright and file sharing describes a music industry in the midst of radical change. However, in 2009 HCR was launched using a very traditional model as described by Lam and Tan:

1. The artist signs a contract with the record label to leverage on the core competency of the latter, such as marketing and distribution
2. The artist records the album and the record label produces the album in some media such as CDs
3. The retailers buy the CDs and other media from the record label
4. The consumers buy the CDs and other media from the retailers.
   (2001, p.64)

By 2009, this model was already outdated. In addition, HCR was only producing CDs. This meant that it was using the wrong format as CD sales were already falling (Fox, 2005; O'Donnell, 2006; Swatman, Krueger & van der Beek, 2006; Economist business, 2008; Bhattacharjee et al., 2009; Chesbrough, 2010; IFPI, 2011; Bourreau, Gensollen & Moreau, 2012; Handke, 2012). Therefore, the lack of digital releases, which has allowed smaller record labels to close the gap to the major industry players (Bhattacharjee et al., 2007), was partly behind the lack of sales. In addition, considerable savings in the production of the physical recording could have reduced production costs for CeReNeM and licensing and administrative costs for HCR (Welsh, 2009).

Admittedly, 2009 may have been too early to go with a radical new and untested business model, indeed Chesbrough suggested,

CD unit sales are down substantially from just a few years ago, while alternative formats for music distribution like iTunes have grown more important. It is in times like these - when it is clear that the 'old' business model is no longer working - that business model experimentation becomes so important:, but it is not at all clear what the eventual 'new' business model will turn out to be. (2010, p.357)

In order to define new business models, Bourreau, Gensollen and Moreau (2012) propose two strategies for value capture. Firstly, the strategy of 'protection' (P.v), implies high prices (P) and low volume of sales (v), this is very much in tune with the current 'traditional' model of HCR focussing around CD sales. The second strategy is 'value transfer' (p.V) where price is very low or even zero leading to high consumption of the music. Here the value is extracted indirectly.

Pfahl (2005) advises that,

> [f]or independent musicians to achieve any form of success in a medium like the Internet, they will need to take radical steps that will shake the traditional music industry to its very foundations. Suppose independent musicians do something completely unexpected such as providing music for free on the Internet. This idea is the complete opposite of most schemes today considering Internet distribution of music; it may be the only way for independent musicians to take control and ultimately achieve success.

Goth (2007) reports that artists such as Jonathan Coulton are able to make a living wage by using the Internet and that this represents the long tail taking over. HCR is certainly part of that long tail. Given the way HCR is funded and the aims and objectives of the Press as a whole, this potentially radical view is one that could have potential. In addition, it is in the spirit of the post-2014 REF guidelines (Higher Education Funding Council for England, 2015).

The idea of giving HCR's music away neatly sidesteps some of the major issues with business models. They are very much profit driven and, depending on the way the recording artists and composers contracts are written, takes care of royalties and piracy issues. A non-commercial licence (CC BY-NC) could allow HCR to allow others to share its recordings, while ensuring that no profit is made by other parties. Welsh (2009) sees this as a form of advertising driving other business activities such as live performance and in the case of HCR, possible research income. By allowing free distribution using a CC BY-NC licence, piracy is encouraged up to a point as long as the original artist/composer is attributed (Garcelon, 2009). Pfahl (2005) uses the example of the Grateful Dead as a band with "a high tolerance of pirated music". An example of an existing business model is Magnatune Records, which offers free downloads with a non-exclusive CC BY-NC-SA licence and a subscription model where gross revenue is split 50/50 (Garcelon, 2009; Regner & Barria, 2009; Magnatune Records, n.d.).

Adopting the free download model would also assist HCR to move away from the current model, which perpetuates the tradition of paying a small percentage of royalties to performers, while the record label keeps the bulk. The issue here being that although HCR follows this model, there are actually no 'profits' to make for two reasons. Firstly there are so few sales. Given that much of the funding of HCR recordings is provided by the funding agencies or directly from the University, there is a clear argument against establishing a paywall to access recordings funded by public money. Furthermore, the lack of marketing knowledge in HCR has contributed to the lack of sales. It has also meant that the first part of the model was effectively nullified, thereby making the other steps very difficult to achieve. This may also have contributed to the disappointing sales through CD Baby.

Even if HCR moved to a free download model, the lack of marketing knowhow may lead to a lack of downloads. Lam and Tan recommend a number of actions for record labels, including embracing new technologies. However, perhaps more pertinent for HCR are the recommendations for artists:

- Promoting and distributing via the Net for better financial benefits (for established artists);
- Turning to record labels to receive support for publicity creation, music creation, and music distribution (for new artists); and
- Looking to new value-adding partners when doing music distribution through the Net (from all artists).
  (2001, p.67)

Lam and Tan distinguish between established and new artists. However, there are lessons to be learned. Indeed, this could be converted into a similar model to the rest of the Press in that all artists take on some responsibility for marketing and promoting their own output to their audiences. This is a viable option because the genre of music released by HCR is in a niche area and in many cases the community of potential buyers of the recordings are known to the artists/composers, even though this is a worldwide community. Seeking the assistance of artists to market and promote could be combined with a Creative Commons-like copyright statement and free download (with a paid option, possible with a higher quality of sound). This is turn could lead to increased interest in the artists' live performances (Oberholzer-Gee & Strumpf, 2010; Dewenter, Haucap & Wenzel, 2012). The role of HCR would be to make the recordings available through the best distribution channels and to support the marketing by creating publicity and promotion, thus meeting the aims of the EXAUDI research bid (Cassidy & Harrison, 2011).

The idea of file sharing, free downloads and Creative Commons licensing is certainly a direction that could be exploited by the Press and HCR as a future model. Essentially taking advantage of the piracy model by letting artists take back the control (Choi & Perez, 2007; Wikström, 2013). Indeed Wikström concludes that "[s]uch a model would be considerably more in tune with the new music

economy and would be better able to balance the needs of both rights holders and consumers of culture" (2013, p.169). If HCR was to combine this with the evidence that blogging and social media can help to increase the reach of niche music by profiling and targeting social media users (Berman, Battino & Feldman, 2011; Dewan & Ramaprasad, 2012), the Press has the potential to produce a new business model.

Bourreau, Gensollen and Moreau (2012) propose five digital business models and suggest that digitization has led to a big bang approach, rather than incremental change. It appears that HCR's own big bang approach to digitization falls between two of the models.

- *The 'Jingle' business model*. There is no collection of value via sales, piracy is not fought, if indeed it would take place at all. Music is distributed for free and revenue is collected from other sources. In the case of HCR, revenue would either be through initial research funding or sponsorship from CeReNeM and/or through concert attendance
- *The 'Consumerist' business model*. This model blurs the lines between artists and consumers. The music is openly given away and allowed to be modified and re-used. This model does have its risks in that IPR could be lost. However, with the adoption of Creative Commons licenses there is adequate protection. This model allows the output of the University's research to be built upon and could lead to greater collaboration and potential, research funding in the future.

A combination of these two emerging business models will now be discussed in relation to Value Chain Analysis.

6.5.1 Value Chain Analysis

A number of papers have assessed the use of Value Chain Analysis or Value Cluster Analysis in the music industry (Cartwright, 2000; Wallis, 2004; Wilson & Stokes, 2005; ITNow, 2007; Bakhshi & Throsby, 2010; Castro-Martínez et al., 2013). Figure 6.2 uses the value chain to suggest a model based on new innovations such as digital and streaming technology, open access and the role of the artists and performers in the marketing and distribution of the recording.

An output submitted to HCR is the culmination of an exchange between the researchers (Academic staff, visiting professors, PhD students), the funder/sponsor (URF money, European composers' development project, AHRC etc.), CeReNeM and external artists and composers. In some cases the researchers and CeReNeM may be one and the same. There is also scope for hcmf// here too. In the case of these particular collaborations, recording and production are done in house by University staff. These would then be passed to an external body for production. HCR would process contracts

and licensing before signing the whole project off. In this scenario CeReNeM will make the artistic decisions. However, at this stage a discussion does need to happen between the researchers, CeReNeM and HCR regarding each particular project objective. This particular set of interactions takes into account the importance of both HCR, CeReNeM and the individual artists in promoting the outputs via social media and traditional means such as reviews. The whole model is based on securing funding/sponsors rather than revenue from the recordings themselves, which can be streamed for free using a CC BY-NC or CC BY-NC-SA licence. This in turn would help to market live performances, which could offer additional revenue to CeReNeM and hcmf//. The work of CeReNeM itself then has the potential to generate local economic development and therefore demonstrate real research environment and impact (Hjalager, 2009). This chain joins the circle, where audiences can re-use the work for non-commercial means. The audiences themselves may wish to further the work or contact the creators. This helps to increase the impact of the outputs themselves and can potentially seed further research and outputs. It also helps workflows within the model to be tightened up significantly. Lack of robust workflows that all sides adhere to have been responsible for some of the issues that have occurred in the case studies above.

6.5.2 Licences and contracts

As part of a new business model, a detailed workflow must be drawn up in conjunction with key staff, such as the University Solicitor and music librarian. In anticipation of this process, a number of documents are in preparation including performer and composer licenses, proposal forms and a marketing proposal where all parties agree to share the responsibility for marketing and promotion.

Regarding the licences, a new LtP contract is being drawn up allowing composers to retain copyright, while allowing HCR rights to first publication. HCR would then waive the right to pursue royalties for further versions of the recording. The contract would also put the liability onto the composer if the score or track had already been registered without prior knowledge. The idea behind this licence is twofold. Firstly, it is hoped that this licence would resolve many of the issues that arose in the pilot, most importantly by passing the liability to the composer to make sure that the correct procedure has been followed. It is hoped that this will help to raise awareness of the importance of these issues with the composers/artists. Secondly, the licence is heavily influenced by the open access ideals of the Press. Essentially it is a Creative Commons inspired licence, which will allow composers/artists to take control of their work after HCR has disseminated the initial research output. Naturally there is further scope to fully adopt a CC BY-NC or CC BY-NC-SA licence.
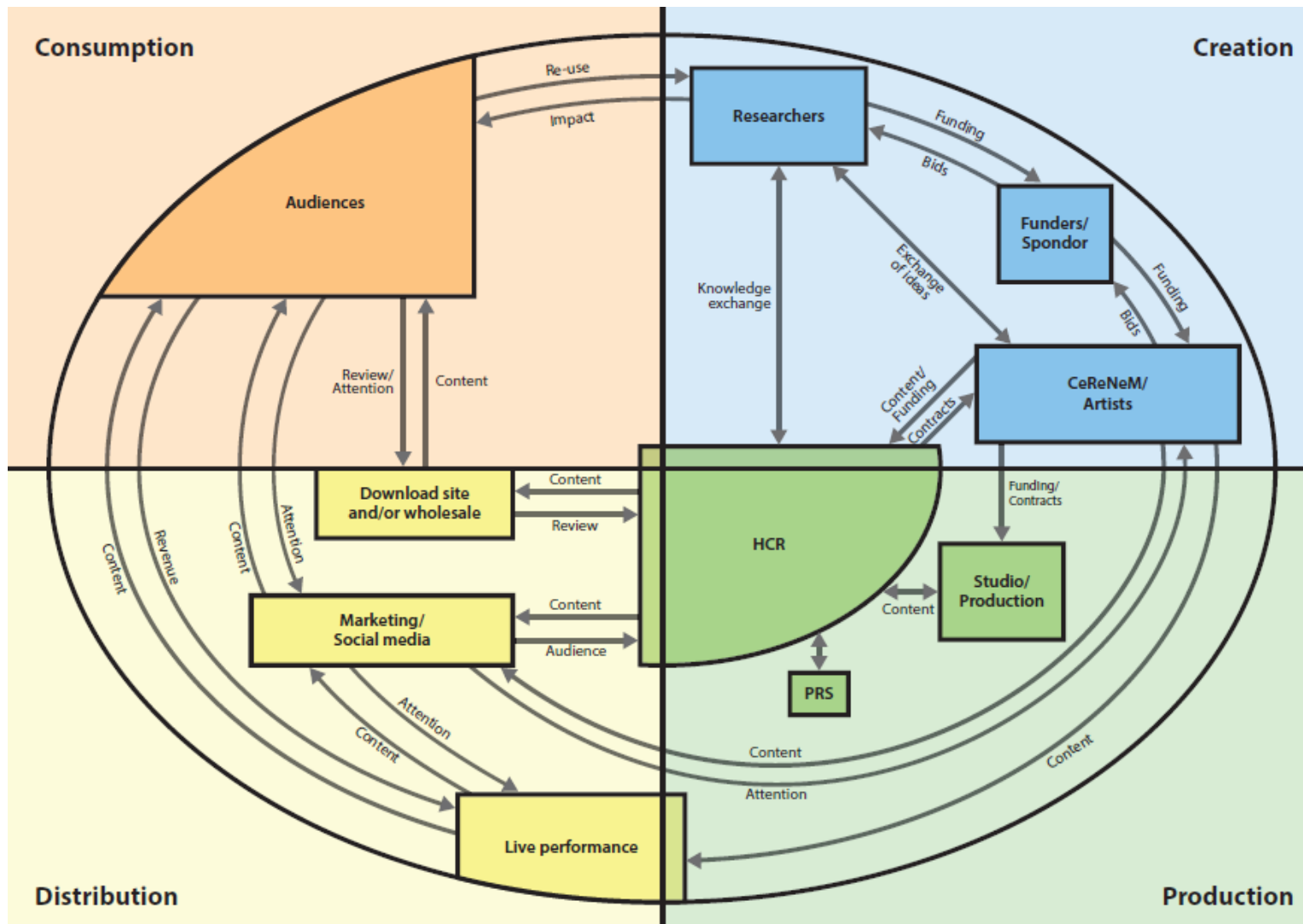
Figure 6.2. The value chain for HCR (after Bakhshi & Throsby, 2010; Castro-Martínez, Recasens & Jiménez-Sáez, 2013)

6.6   Conclusion

It remains to be seen how these discussions and potential models will develop. However, if the aim of HCR is to dramatically increase the impact and distribution of music research and outputs then new business models are clearly needed. The case studies above show that even with a large scale distributor such as CD Baby behind the project, sales are still low. At the time of this research, it remained to be seen whether an exclusive distribution deal would be signed with NMC resulting in an increase in sales.

However, one thing would appear certain. Placing the publicly funded output of HCR behind a paywall and limiting to just one distributor would make the wide scale distribution to all very difficult to achieve. This thesis argues that because HCR is exclusively funded by research income, a new open access business model should be adopted. The value chain for HCR (Figure 6.2) would drive dissemination of research output and encourage interaction with the audience. This in turn would match the vision of the Press as well as the University research strategy to increase significantly the impact of research at Huddersfield (University of Huddersfield, 2011a).

Chapter 7. Discussion and Analysis

7.0   Introduction

This thesis set out to research the feasibility of the University of Huddersfield Press as a sustainable business, the principal aims being that of scholarly communication rather than profitability. In 2010, the Press was one of the few New University Presses (NUP) in the UK and the first to publish a combination of open access journals, open access monographs and sound recordings. The library as publisher or library scholarly publishing is now a growing worldwide movement (Simser, Stockham & Turtle, 2015) and the Press has followed the lead from NUPs in the United States and Australia (Lynch, 2010).

Chapter 2 and its associated appendices investigated today's publishing environment and author attitudes in order to establish the current landscape. Chapters 3-6 have demonstrated that all three imprints of the Press are capable of producing high quality open access research outputs and that lessons learned along the publishing journey have been used to make improvements in the process.

This chapter sits between the case studies and the business plan, a critical success factor for NUPs (Simser, Stockham & Turtle, 2015). It will use the lessons learned from the case studies and other business models in the literature to investigate appropriate and innovative business models before recommending the most viable option for the Press. This in turn will fulfil the primary research aim of the thesis; *to show how the University of Huddersfield Press can establish a viable and innovative business model*. This chapter will discuss a number of emerging business models before recommending a way forward for the Press. The adoption of a viable business model will address questions of sustainability, which have arisen in the case studies. The chapter will then develop Hahn's (2008) levels of business planning in library publishing; programme and publication level planning. This model will be practically demonstrated in the Business Plan (Appendix 1.1). The chapter will also make a number of recommendations for the future based on Mintzberg and Waters' (1985) discussion of deliberate and emergent strategies.[31]

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[31] Sections of this chapter have been developed for a conference paper at the 20th International Conference on Electronic Publishing (ELPUB) in Göttingen, Germany. A short paper is available in the peer reviewed conference proceedings, a research paper was published in *Information Services and Use* in December 2016 (Stone, 2016). See Appendix 1.3.

The chapter will close by demonstrating how the aims and research questions posed by this thesis have been met. This thesis has one primary research question:

1. To show how the University of Huddersfield Press can establish a viable and innovative business model

Subsidiary questions are

2. To establish how the output of the Press will contribute to and enhance the University's strategic objectives
3. To indicate how the University Press, as an open access publisher, can contribute to the world of scholarly communication by increasing the literature on new university presses.

The Business Plan follows this chapter as Appendix 1.1. The plan will outline the future for the Press for the next five years coinciding with the next Research Excellence Framework (REF) in 2020/21. It is based on a draft business plan template provided by the University of Huddersfield Enterprise Team (University of Huddersfield, n.d.a.). Due to the nature of the business of the Press, i.e. scholarly communication rather than profit, the plan has been amended to reflect this. In addition, the plan has also been influenced by the SPARC model business plan for open access journals (Crow & Goldstein, 2003), which contains pertinent advice and relevant headings. Ultimately, if approved, the business plan needs to be expressed in both internal and external documents.

The business model surrounding Huddersfield Contemporary Records (HCR) is a different case. The business model, and more importantly the funding model are already in place. All recordings are commissioned, peer reviewed and paid for by CeReNeM. Therefore, HCR is a self-contained unit for as long as CeReNeM wants to publish music on its own label.

7.1 Business models, sustainability and scalability

It is important to define what is meant by the term 'business model' and 'sustainability' in relation to the Press and this thesis. The term business plan is used throughout the chapter to refer to the plan attached as Appendix 1.1. The definition of a business model is aligned with the Crossick report (2015), which was discussed in previous chapters. Crossick defines a business model as a series of workflows and processes that combine to produce books, journals or sound recordings "on an ongoing basis for a sizeable readership" (London Economics, 2015, p.5).

Esposito (2010) questions the use of the term sustainability, preferring "a strategy for economic viability". However, even that term is not entirely appropriate to an open access university press, which does not seek to make a surplus. Esposito is correct in associating the term sustainability with

that of "maintainability" or maintaining the status quo. The Press does need to be sustainable by consolidating its position and acquiring stability within the University. However, the Press must also innovate in order to succeed. Therefore, use of the term sustainability is assumed to include both stability for the Press as it stands at the end of the research period, and the need to innovate and grow in order to achieve longer term viability.

7.1.1 Business models

In respect to the above definition of a business model, the case studies have demonstrated that the Press has reached a sizeable readership and that the workflows and process are in place in order to publish high quality works. However, a business model as such is not well defined. There is currently no funding model and business plan in place.

As such, the University Press operates on a project by project basis. Publications have relied on ad hoc funding from the Schools, Jisc, University or external research funding, such as Leverhume Trust. This has resulted in a strategy that is more emergent than deliberate (Mintzberg & Waters, 1985). A lack of deliberate strategy at a programme level is neither sustainable nor scalable. Therefore, despite the relative success of existing publications, the business model for Press publications on an ongoing basis could be called into question. This is not an uncommon situation for NUPs and this will be discussed further below.

The American Research Libraries (ARL) and Association of American University Presses (AAUP) have both concluded that business model development was an area that needed significant work (Hahn, 2008; Withey et al., 2011). Missingham and Kanellopoulos (2014) note that, despite concerns, business models have been refined over the years. They are still based on the principles of rigorous peer review, close engagement with faculty, strategic leadership through an advisory board with representatives from all faculties and a range of schemes that provide financial assistance. This could be seen as a simplistic view, but it is one which clearly resonates with author attitudes (see Appendix 2.1).

Regarding monograph business models, independent research commissioned by the Crossick Report identified six models:

- Traditional publisher
- New university press
- Mission-oriented open access
- Freemium open access
- Aggregator/distributor
- Author payment model (London Economics, 2015).

However, the report also confirmed that "[f]undamentally, there aren't many business models for OA monographs (publishing or aggregation)" and "[o]f those that do exist, many are relatively new and under development" (p.7). To a certain extent this could exonerate the Press for a lack of strategy as there were no accepted business models when the Press re-launched in 2010. After showing that it can publish high quality work, the Press now has an opportunity to adopt a business model to become a viable proposition for the University.

Kwan also discusses a number of similar models regarding open access publishing in general:

- Author-pays model
- Institutional subsidies to publisher's model
- Third-party funding model
- Freemium open access
- Three-party (aka two-sided), market model
- Hybrid model
- Embargo model
- Advertising model
- Collaborative model
- SCOAP model.
  (2011, pp.69-74)

It is important to note that discussion here centres on an open access monograph business model, although the business models above can easily be used for open access monographs and journals.

Accepting that there is no one single model for publishing open access monographs and journals, and that none of the options are 'the best' frees the Press up to experiment. London Economics (2015) carried out theoretical tests of each model and established that each one has its own strengths, weaknesses, opportunities and threats. This SWOT analysis[32] was taken further by the OAPEN-UK project (Beech & Milloy, 2015) by suggesting a number of different groupings (see Table 7.1).

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[32] Analysis of Strengths, Weaknesses, Opportunities, and Threats

Groups	Models
Author/Institution/Funder-pays models	Publication fees/Book Processing Charges
	Institutional subsidies
Publisher/Press bears the risk revenue models	Toll-access/Print subsidy
	Freemium/Value added services to the reader
	Embargo/Delayed OA
	Cross Subsidies
	Endowments
	Fundraising
	Advertising
Community-pays models	Collaborative underwriting
	Commissioning
	Crowdfunding
	Liberation OA
	Freemium community

Table 7.1. Business models for open access monographs (after Beech & Milloy, 2015)

The author took part in the SWOT workshop held by the OAPEN-UK project in April 2015. This has proved invaluable in advising on the appropriate business model to follow and in carrying out a SWOT analysis for the Press. This is discussed in detail in Appendix 1.1, Principal risks and problems. A number of the more appropriate models are also discussed below.

- **Author/Institution/Funder-pays models.** The institutional subsidy model within the Author/Institution/Funder-pays group best describes the business case for the University Press at present. The Press receives subsidies from the University, either centrally, from a School, a Research Centre or the Library, or from a funder on a publication by publication basis. Indeed the Press itself is described by the National Monograph Strategy (Showers, 2014) as having this model. Author payment is an option for non-University authors. However, this is on a project by project basis where another institution or funder, such as a local society or another University that had not established a University Press would pay rather than the author

- **Embargo/Delayed open access model.** At present the Press is also operating an Embargo/Delayed open access model. For example, after print sales of *Shibusa* slowed, the open access version was made available. This was not planned at the start, but it does illustrate that the Press is learning by experience. However, it is not recommended that this model is followed in future as evidence points towards little advantage of embargoing the open access version over print (Ferwerda, Snijder & Adema, 2013)

- **Freemium model.** There is also an element of the Freemium model to University Press publications. This applies specifically to monographs, which are published in both print and

electronic form to satisfy the needs of researchers (Milloy & Collins, 2014; Wolff et al., 2016). At present the Press makes the PDF version available on open access, with print on demand copies for purchase. If the Press moved to publishing in XML format, PDFs could still be available via open access, while 'premium' versions (possibly with added multimedia content) could be sold alongside print on demand copies.

However, for journal and sound recordings this model is far less attractive. The method in which open access journals have been established means that it would be very costly to create a print on demand issue, which is the model Athabasca University Press use (Kwan, 2011). In fact it is likely that this would reintroduce all the costs that were saved in the HOAP project (see 4.3.7 Cost benefits). It is far more likely that readers would only require individual articles, which are already available to print from the open access journal. There is also an issue of cost for sound recordings. As soon as a physical CD is produced the type of licence required changes, which significantly increases the cost of the project. This is a decision that needs to be made at the outset for each individual recording project. Small runs of CDs are viable only if the decision to follow this strategy is made at the start and the costs are factored in. Therefore, although journals and sound recordings also follow the same basic business model, they will not generate supplementary revenue.

Looking to the future, the Press must assume that e-publishing is the primary dissemination method with a Print on Demand option. This model is essentially that used by the Athabasca University Press and OECD Publishing, where authors are required to sign a Creative Commons licence. The PDF is then made available on open access, with print on demand copies for purchase (Kwan, 2011; Milloy & Ferwerda, 2013). Hahn (2008) concluded that this model was probably not capable of supporting the whole publishing process; therefore a particular funding model would be required. This is where the Institution/Funder-pays model described above comes into effect. Athabasca is nearly wholly supported by the University, for example. Therefore, sales from Print on Demand become a supplementary revenue generating model for monograph publishing, which is an attractive proposition. The Athabasca model produces "value-added e-books" such as enhanced PDFs and EPUB files and these are sold via aggregators (Kwan, 2011, p.60). This is an area that the Press needs to look into as a potential new revenue stream, although this would have to be planned at the proposal stage in order to work and could actually add to the cost.

The Author/Institution/Funder-pays model is essentially what the Press has been following since its re-launch in 2010. With an element of the freemium model for monographs. Even without a focussed strategy, this model seems the most appropriate. Ironically, despite much discussion over

the lack of open access business models, Lynch appears to have described this model as far back as 2010, the year the Press was re-launched,

> The presses are financed, typically, by a mixture of institutional subventions, author subventions, and some very modest revenue streams from direct consumer sales and from licensing through the consortium. Ideally, one would like the majority of the funding to be in the form of institutional subvention, perhaps sized using a guideline based on some standard percentage of an institution's research budget, or library budget, and recognizing that this underwriting is an essential part of an institution's commitment to disseminating scholarship. At some institutions, the press is part of the library, and the institutional subvention is part of the library's portfolio of investments in advancing scholarly communication (Lynch, 2010).

The one aspect that Lynch did not forecast was open access.

7.1.2 Sustainability and scalability

The lack of a formal business model for the Press has had an effect on sustainability, scalability and funding. Hahn (2008) describes library publishing as offering a truncated list of services when compared to the traditional publishing model. These truncated services may in fact represent a leaner version of the traditional 'legacy' publishers. Davis sees these publishers as a "dying industry" (2013, p.206), arguing that library scholarly publishing is able to "step right into the tools that allow them to be effective 21st-century publishers" (p.206). However, there is a question of sustainability. Many new presses have paid little attention to sustainability and financial planning (Crow, 2009). In a survey for ARL, Hahn found that very few library publishers were able to "support even 10 journal titles or more than a handful of monographic works" (Hahn, 2008, p.25).

If the Press wishes to expand it has to identify the additional resources it needs and this is a long-term commitment. Without sufficient funding this could effectively divert resources from other areas (Xia, 2009). This leads on to the question of scalability. For example, the library at Georgia Institute of Technology hesitated in more aggressive marketing of its press due to fears that this could generate more demand than the press could satisfy (Mullins et al., 2012). Essentially, the press becomes a victim of its own success. Bryn Geffert, librarian and director of the new university press at Amherst College gives sage advice, "[w]e want to do a few things well, not overextend" (Howard, 2013). As can be seen from the case studies in this thesis, the Press is approaching this stage of maturity. A more successful Press means that the library needs to reallocate already precious staffing resources or new resources must be identified.

The adoption of the Institution/Funder-pays model described above allows for a more focused funding model to be developed as part of a more strategic programme level plan. This in turn should

lead to greater sustainability and business planning. Hahn (2008) suggests two levels of business plans for library publishers; programme level planning and publication level planning,

> [T]wo levels of business planning are evident in library publishing services: publication-level planning and program-level planning. Most commonly, when an individual publication generates revenue it supplements broader program support for the publication rather than entirely covering service costs. … Most library publishing services rely heavily on program-level funding and revenue from individual titles provides only a modest supplement to this support.
>
> (Hahn, 2008, p.18)

Open access business models for NUPs have been at an embryonic stage for the last five to ten years. Without a business model, the Press has been unable to formulate a business plan. Essentially, the Press has been operating at a publication level during its development. Looking to the future, staffing and funding challenges need to be resolved in order for the library as publisher to be sustainable. In addition, planning is needed at both programme level and publication level in order for the initiative to become a success.

The remainder of this chapter will develop Hahn's programme level and publication level planning concept in conjunction with the Institution/Funder-pays business model discussed above. This will then be put into practice in the Business Plan (Appendix 1.1). The development of this concept will also show how the Press can be sustainable and thus continue to innovate over the coming years.

7.2   Programme level planning[33]

At present the Press is operating at publication level where funding decisions are made on a case by case basis with no overall programme strategy for publications. For some projects this may still be a workable option. However, if the Press is to expand its publication plans to publish more output, a more formal model is required. In addition, there are sustainability issues if the Press continues its current ad hoc planning and funding model, but tries to expand its publishing output. Mullins et al. propose sustainability model components (Table 7.2) for assessing sustainability plans and to identify best practice in "campus-based publishing programs" (Mullins et al., 2012, p.11).

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[33] Parts of the following sections were used in a sustainability report to the University of Huddersfield Press board in 2015 (see Appendix 7.1).

Best practice	Key elements
Audience or client segments	The various audiences, constituents, or markets that derive value from the proposed service
Value proposition	The content and/or services that serve the needs of each client segment
Core activities and resources	The set of activities that an initiative undertakes to provide a service or produce a publication, and to support the income model itself, as well as the resources and partnerships required for the activities
Distribution channels	The channels through which the initiative reaches its audiences or clients and delivers it value
Income streams	The mechanisms by which an initiative actually generates income – including, potentially, both earned revenue and subsidies – from the clients to which it delivers value.

Table 7.2. Sustainability model components (after Mullins et al., 2012, pp.11-12)

These components can be developed further if they are used as part of Hahn's concept of programme level planning. Each of the components is developed below in this way in order to make them directly relevant to the Press as part of an emerging programme level business plan.

Audience; Brown (2013) suggests that value to stakeholders is a key theme for the Press, more so than 'creating customers'. Indeed, the academic related output of the Press is perhaps more concerned with supply than demand. Customers are important, but not in order to make a profit. In this respect customers are fellow researchers who both consume and supply research outputs in addition to potential funders and the REF panels. As far as the output of the Press is concerned, dissemination and use (citations, collaboration) is more important than making a profit purely in financial terms. Therefore, it is important for the Press to understand all of the stakeholders involved.

Table 7.3 highlights the key stakeholders in a basic stakeholder analysis. This ranges from authors, including undergraduate and postgraduate researchers as well as established academics and research groups, to University senior management who may control funding for the Press. An understanding of the 'seven ages of research' model discussed in Chapter 1 (see Table 1.2) would help inform customer (researcher) understanding (Bent, Webb & Gannon-Leary, 2007). Section 7.2.3 will show how value can be added for the University's reputation and therefore senior staff.

Stakeholder	Interest / stake	Salience
Vice Chancellor and Pro VC for Research	University strategy plan	High
Pro Vice Chancellor – Research	Research Strategy	High
Director of Research and Enterprise	Research Development/Research Experience	High
Pro Vice Chancellor – Learning and Teaching	Utilisation of Press material for learning and teaching	High
Directorate	University policy & strategy	High
Academic/Research staff	Dissemination of research output	High
University Press	Dissemination	High
Preferred supplier	Continued support & development	Medium
Users	Uptake and usage of the press	Medium
Other academic institutions	Access to research	Medium
Researchers	Published research output	High
Wider community	Access to research	High
Undergraduates/ Postgraduates	Access to research/ Publication of student research	High
Standards organisations	Use of standards	High

Table 7.3. Basic stakeholder analysis of University of Huddersfield Press

Core activities cover the three imprints of the Press in addition to the administration and publishing costs. The Press also needs to state which activities it does and does not do. For example, types of publication, marketing, peer review.

Distribution would include all list channels, such as DOAJ, DOAB, CD Baby and Amazon for each output, plus internal and external marketing. The Repository is effectively the main point of distribution for the Press. Davis (2013) sees this as being similar to services such as Netflix or Lovefilm, who do not sell film, but sell a service that enables users to watch the films they have licensed. The same can be said for services such as DOAB, DOAJ and CD Baby. The difference for the Press is that it is not 'selling' licences to the user, instead the licences are allowing open access content to be freely used within the conditions of the Creative Commons licence.

Income streams would identify funders, school or research income. There is an option to continue the current predominantly ad hoc funding model, where funding decisions are made at a publication level. However, if the Press expands its publication plans to increase publications and develop the platform and web site, then there is a need for an element of core strategic funding on a more formal basis in order to give continuity (see funding models below).

7.2.1 Staffing

Staffing needs consideration as part of programme level planning. Many library publishing initiatives take on open access publishing without any increase in staff numbers. The effect of increased success versus a limited staff base has been the focus of discussion for many successful presses. For example, open access publishing at the University of South Florida (USF) was established in 2007 with no increase in staff (Perry et al., 2011). The Center for Digital Research and Scholarship, Columbia University (CRDS) cites staffing as the reason for only being able to take on a limited number of journals every year (Perry et al., 2011). Mullins et al. (2012) in a study conducted between 2010 and 2011 found similar figures with the number of staff allocated to publishing activities ranging between 0.9-2.4 FTE. Staff dedicated to library publishing programmes are relatively rare. Georgia Institute of Technology operated on an informal basis for its first five years, with staff funded from the library's standing budget (Mullins et al., 2012). Indeed, the author was often described as 'the University Press' when dedicated staff resources were mentioned and this is not uncommon.

This is a crucial step in identifying a manageable workflow to ensure that planned activity would not exceed capacity (Hahn, 2008; Kosavic, 2010). In order for the Press at Huddersfield to grow, the library either needs to reallocate staffing resources from the library or identify new resources. With no increase in staffing, if the number of publications increases as the University Press gains prestige, there is clearly a sustainability issue. There is already evidence from the case studies that the Press is working over capacity in some areas. Other established presses, such as Australia National University (ANU) Press are reorganising with the institutional repository joining the Press (Missingham & Kanellopoulos, 2014). This does suggest that the initial building blocks for Huddersfield are in place. For example, a member of the Huddersfield repository team is also responsible for registering DOIs for Press journals.

Examples of expansion in order to sustain growth are now evident. In 2011, USF recruited two full-time staff positions, with 0.5 FTE from each position working on the additional workload from the expansion of USF journals (Perry et al., 2011). In 2007, the University of Illinois at Chicago (UIC) Library requested $100,000 for a full-time Digital Publishing Librarian and a half-time programmer.

Without this investment in staff, the library reasoned that Journals@UIC would have to be very selective when taking on new projects (Case & John, 2007, p.14). The University of Pittsburgh Press employs 3.05 FTE for its journals operations alone, all from internal reallocation of the operating budget. This has helped Pittsburgh to grow to 35 open access journals in six years (Deliyannides, 2013).

Chadwell and Sutton (2014) discuss the need for new roles and positions for librarians. Chapter 2 (See 2.3.2) suggests that there is evidence that the expertise already exists in libraries. However, if library scholarly publishing at the Press is to be considered a serious venture, a clear line must be drawn between the roles and responsibility of the library and monograph authors or journal editors and this differentiation needs to be done at programme level. For example, roles such as content and editorial control, soliciting submissions, peer review, copyediting and decisions on layout, scheduling and correspondence all need to be agreed as part of the Press package. In order to do this a new post of publications and marketing manager is required urgently at the Press. This post allows for better engagement with authors (Dougherty, 2010) and gives the Press an editorial function that it currently does not have. Thatcher describes the editorial function as "the key to all of this: that's what makes this publishing" (Thatcher, S. cited in Skinner et al., 2014). This would allow the Press to have better control over publications and to identify new opportunities (Morris et al., 2013). This is discussed and justified as part of the Business Plan (Appendix 1.1). A job description for this post, which is also attached to the plan, incorporates roles identified in Chapter 2 (See 2.3.2) and those described by Morris et al. (2013) in their outline of a managing editor role.

7.2.2 Funding models

As discussed above, the lack of a formal business model for the Press has meant that there is no funding model at programme level. Currently, the Press states on its web pages that it operates "on a cost recovery profit sharing model, with any profits being reinvested into the Press" (University of Huddersfield, 2014). However, a major report from Ithaka on university presses in the United States found that,

> The cost recovery model of presses has become one major constraint. One librarian commented that "presses are trapped in the cage of 'What can I do to make money?' and they have so few resources to climb out of that cage. They are like hamsters scrabbling along and pushing their little wheels." They are caught in a "catch 22", where they lack room for experimentation because their budgets are so tight, and thus cannot inspire interest in their administrators to fund anything new.
>
> (Brown, Griffiths & Rascoff, 2007, p.19)

Furthermore, a business model based on scholarly communication rather than profitability, but working on a cost recovery model appears to be contradictory. The cost recovery model is closer to the Freemium model, which, as Hahn (2008) states, is not sustainable for the Press as the only funding model. Therefore, this thesis suggests that the Press moves to an Institution/Funder-pays model. However, this in itself does not guarantee the funding in order to support the model. In order to adopt programme level planning, the funding process has to be planned too.

The funding behind the Institution/Funder-pays model needs to be a mixed approach, which would include the following:

- A contribution from the library. However, as the only source of funding, this is unsustainable in the long term if the Press is going to grow its publications. This is effectively the position of the ARL libraries in 2007. Hahn concludes that "[t]here is a solid base of support within the library budget, but for real growth to meet existing and emerging demands for publishing services, many institutions see that additional support from campus administration will be necessary" (2008, p.27)

- Contributions from the University. This would include dedicated resources in order to publish an agreed number of publications a year, such as start-up journals, monographs and recordings. An existing example of this is the Purdue model, which aligns itself closely with the strategy of the University (Mullins et al., 2012). This idea is further developed below.

- Contributions from research funders. Chapter 3 describes a number of monographs that have already been funded from the Heritage Lottery Fund and Leverhulme Trust. The HOAP platform itself was developed as a result of Jisc funding. This would need to be costed at the time of grant application, in which case there needs to be collaboration between the Press and the pre-awards office in the Research and Enterprise Directorate at Huddersfield. As such, this funding falls outside of the publication level process, as funding would be on a publication-by-publication basis. However, many funders are not averse to this (Collins, Milloy & Stone, 2015a). In order for this to be effective, a set of guidelines would need to be produced. In the medium to long term, revisions to the bidding processes could increase publications when using this method of funding.

The adoption of this model also goes some way to eradicate 'acceptable loss' including the absorption of staffing and other costs into the library budget if no sales income is received (AAUP, 2013).

In addition to the Institution/funder pays business model, the Press also has the option to use a fee based model (Mullins et al., 2012; UCL, 2015b). However, the York Digital Journals (YDJ) initiative felt that the enforcement of a hosting fee for external journals would be a barrier, due to the way humanities and social sciences research is funded (Kosavic, 2010). Again, this model may work on an ad hoc basis, but does not need to form part of the business model.

Financial contributions from the University as part of the Institution/Funder pays model is perhaps the key to both sustainability and innovation for the Press.[34] However, one of the issues with University funding is that mention of publishing is associated with profitability of commercial presses, rather than a not for profit or cost recovery model of scholarly publishing.

The attached Business Plan for the Press includes a five year cash flow and profit and loss forecast (Appendix 1.1K: Cashflow and Profit & Loss Forecast), which suggests a modest growth plan. The aim is to grow the output of the Press by two journals per year between 2016 and 2019, also two monographs in 2016, increasing to five in 2019. The forecast also includes recurrent costs, such as marketing budgets, memberships etc. Using the Institution/Funder-pays model and ignoring any potential sales figures, which are by no means guaranteed, a modest investment by the University of £15K in 2016, rising to £30K in 2019 (the last year before the next REF) would completely cover non staffing costs. Any surplus from sales could then be used to publish additional content. Figures are based on known costs for journal publications, which incur a one off set up cost of around £750. Monographs are estimated at £4,000 for up to 100,000 words and are similar to other NUP estimates (UCL, 2015b, see also Table 3.1). Recurrent costs such as membership are estimated at £3,000. Additional income from sales would also be possible, but on a limited scale. For example, an open access monograph would also have 100 print copies produced. If 70 copies were sold at approximately £25 per copy, this would generate a surplus of £1,750. This surplus could then be used for marketing and recurrent expenditure for the Press.

The Institution/Funder pays business model allows for a fee waiver model for peer reviewed publications. However, in order to justify an investment of £15-30K per year, the case for value must be made to the University.

7.2.3 Assessing the value of the Press

The justification of reputational value is an important argument for a Press that does not seek to turn a profit. The argument here is not how much profit a print run of 100 books will make, clearly

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[34] Although CeReNeM has been successful in bidding for University Research Fund (URF) money for CDs – the Exaudi CD was part of a £26K URF project and other CDs were produced as part of an Elision Residency funded by URF to the tune of £55K (Adkins, personal communication, September 4, 2015).

there is no profit unless the books are sold at vastly inflated prices, but how much reputational value and benefit there is to the University in publishing an output on open access.

The re-launch of the Press in 2010 has put the Press in a strong position to show value. The Press was able to submit published output to the 2014 REF. The outputs were submitted to the Unit of Assessment (UoA) covering the Music, Drama, Dance and Performing Arts Unit of Assessment (UoA 35) (Research Excellence Framework, 2014). This UoA was also by far the most successful UOA in Huddersfield's REF2014 submission (Table 7.4).

Unit of Assessment	Cat A staff submitted (FTE)	4*	3*	2*	1*	U/C	4*/3*
03: Allied Health Professions, Dentistry, Nursing and Pharmacy	10.2	8	69	23	0	0	77
05: Biological Sciences	13	9	20	54	5	12	29
08: Chemistry	14.6	3	61	36	0	0	64
09: Physics	12	6	35	55	4	0	41
11: Computer Science and Informatics	14.4	8	33	44	15	0	41
15: General Engineering	34.8	4	47	43	5	1	51
19: Business and Management Studies	18.8	11	37	37	15	0	48
22: Social Work and Social Policy	41.8	24	42	27	7	0	66
25: Education	11.75	13	41	40	6	0	54
29: English Language and Literature	16.65	20	53	23	4	0	73
30: History	14.25	13	50	37	0	0	63
34: Art and Design: History, Practice and Theory	13.95	14	41	30	15	0	55
35: Music, Drama, Dance and Performing Arts	17.5	44	41	12	2	1	85

Table 7.4. University of Huddersfield Research Excellence Framework 2014 results (University of Huddersfield, 2015f)

The UoA 35 submission consisted of 21 staff (17.5 FTE) and 100 research outputs. Press publications were included in 11 outputs (some of these were portfolios, which consisted of more than one output). Therefore, 11% of the outputs were associated with Press publications (see Table 7.5).

Research active staff	Press output
Adkins, M.	Shibusa
Bellamy, M.	Transference
Cassidy, A.	Strange Forces, Exposure, Noise in and as music
Einbond, A.	Noise in and as music
Glover, R	Overcoming form
Harrison, B.	Overcoming form, Exposure, Transference
Lim, L.	Transference

Table 7.5. Press publications included in the Music, Drama, Dance and Performing Arts Unit of Assessment (UoA 35) for the University of Huddersfield

While REF scores cannot be associated with individual outputs, 85% of music research at Huddersfield was judged to be Internationally Excellent (3* and 4*) and 44% of the overall submission ranked as World-Leading (4*). It is not unreasonable to suggest that a number of Press publications were rated as 4* and 3* outputs. In addition to the individual outputs, all of the above publications and releases contributed to the environment and impact statements as well as the individual outputs.

Where this becomes relevant to the reputational value to the University and the Press is when the HEFCE quality-related research funding (QR funding) is taken into account. The majority of research funding from HEFCE comes from QR funding. The 2015-16 funding was determined using the REF (HEFCE, 2016b). The QR funding for UoA35 at Huddersfield was approximately £750K for 2015/16 (Cassidy, personal communication September 18, 2015). Six outputs from the Press (three CDs and three books) contributed to 11% of the Schools REF output (they were submitted more than once by a number of authors). Assuming they matched the average UoA profile, it is possible to calculate the average QR funding per output. *Shibusa*, a book entirely funded by the Leverhume Trust, has brought in £7.5K of funding, *Noise In and As Music*, a title paid for by the School out of research funds and costing a little over £2K, has helped to bring in around £15K of funding from HEFCE. As discussed in Chapter 3, both titles were available as open access monographs and at least one title would not have been published in time for the REF (or at all) had it been submitted to a commercial publisher.

The value proposition to the University starts to become clear. If this is the benefit to research income from just one UoA and just one Department within the University, what would be the contribution of Press publications in other research areas if they were appropriately funded by the University?[35] Compared to the potential to return a sizeable amount of QR funding through just one

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[35] For example books, including authored words, edited works and scholarly works accounted for 21.9% of the total submissions to panel D in the 2014 REF (Tanner, 2016).

Department, the sum of £15K to cover all Press output across a number of disciplines and UoAs in 2016 seems modest. It is the equivalent to just nine gold open access journals articles.[36] It seems plausible that if the Press was to be funded in this way it could adopt a similar approach to ANU Press, which uses the Press Board as part of the proposal approval process before peer review (Missingham & Kanellopoulos, 2014).

Before the REF2014, Lawson observed that it was "too early to say whether any existing UK library publishing services have had an affect [sic] on their institution's reputation" (2013, p.45). However, this thesis argues that the University Press is able to demonstrate reputational value to the University and that this justifies a local subsidy (Crow, 2009; Harboe-Ree, 2007). Therefore, a relatively small investment (as opposed to subsidy, which implies little or no return) from the University could help to make the Press sustainable in the short term and also to help it grow and innovate in the long term. As a result, outputs for the post-2014 REF may be significantly increased under an Institution/Funder pays model.

A programme level planning model would help to develop a publishing policy, which would in turn help to develop the publication level planning; the what, how and why of the publishing process (Morris et al., 2013). The Press has a golden opportunity to define a set of targeted publications around the post-2014 REF, for example. Furthermore, programme level planning will result in adequate and sustained (Esposito, 2011a) staffing and funding in the long term. Without this level of planning the Press would continue to exist on a publication by publication basis.

7.3   Publication level planning

The Press has been operating at publication level since its re-launch in 2010. It has developed organically from lessons learned after each new publication and this is supported by evidence in the case studies in Chapters 3-6. However, without an overarching programme level plan the Press has been unable to develop a defined strategy. Therefore, there are still significant gaps in the publication level planning process. The workflow is working well with the number of titles the Press publishes each year. However, if, as the Business Plan (Appendix 1.1) suggests, the Press were to grow its portfolio it would start to struggle in terms of capacity. The majority of the processes involved in the publishing journey outlined below are undertaken by the Collections and Scholarly Communications Librarian with support from various members of the Press Board in an ad hoc capacity. Without publication level planning in place and the necessary investment in staffing, these operational demands have prevented a more strategic approach. In early 2015, the Press Board received a sustainability report (Appendix 7.1), which discussed sustainability issues that faced the

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[36] Average cost of £1,600 per APC based on Pinfield, Salter and Bath (2016).

Press and introduced the idea of programme and publication level planning. As part of publication level planning, the report outlined gaps in the publishing journey for all three formats as part of a reflective exercise. Regarding HCR, the exercise can be updated to identify gaps in the workflow if the value chain analysis of HCR were adopted (see Figure 6.2).

In addition to the gaps outlined in the report (Appendix 7.1) a number of tasks covering both publication level and programme level planning were also absent in the day-to-day running of the Press. Essentially, the gaps identified in the report were used to identify the need for programme level planning. This was used to introduce the idea of a more strategic approach and the need for a modest increase in staffing and a more robust funding allocation from the University.

An example of where publication level planning has worked effectively is the work around *Fields: journal of Huddersfield student research*. Because this title is funded by the University's Teaching and Learning Institute, it has a publication level plan, which helps to address issues such as budget, key dates and the evaluation process (see Chapter 5). Now in its third year of publication, the journal, in conjunction with the Press, is addressing some of the gaps highlighted in the sustainability report (Appendix 7.1). For example, in order to increase awareness of the authors to the publishing process, a writing retreat was proposed in 2015 and conference attendance for student authors and marketing around campus is also included (see Table 7.6). It should be noted that this budget is notably higher than what might be proposed for other titles due to the nature of the journal itself, which supports the student experience and offers bursaries and conference attendance.

Item	Cost
Student bursaries	£8,000
Writing workshop	£500
Student attendance at the British Conference for Undergraduate Research	£1,000
Copyediting	£850
Student authors to have the opportunity to develop posters and presentations to be showcased on campus	£150
Total	£10,500

Table 7.6. Draft budget for *Fields: journal of Huddersfield student research* (Jensen, personal communication, 2015, June 16)

Programme level planning and stability in funding would allow annual planning to be rolled out for all publications.

7.4   Recommendations for future developments

It is evident from Chapters 3-6 that the Press has moved forward significantly in five years. Indeed, the case studies are a validation of what the Press set out to achieve in 2010. It is only with a strong portfolio of publications that a business model can be chosen with confidence. However, while

research into the viability and sustainability of the Press has been carried out, other universities have been able to build on the experiences of the Press. For example, UCL Press has an almost identical model to that of Huddersfield, but with strategic commitment has employed two staff, published its first monographs and established itself as the "UK's first fully Open Access university press" in under two years (Ayris, 2014; UCL, 2015a). Indeed, five university presses were launched in the UK in the 12 months since June 2015 (Lockett & Speicher, 2016), with investigations also underway at Bangor and Durham. Many have consulted Huddersfield as part of their scoping studies. If the Press is to continue to be at the forefront of NUPs in the UK, it should adopt the business model recommended in this chapter and adopt the Business Plan put forward as part of this thesis (Appendix 1.1).

This chapter has already alluded to deliberate and emergent strategies (Mintzberg & Waters, 1985). Up until now the Press has not had a firm deliberate strategy and this is largely due to the lack of programme level planning. Instead, much of what the Press has done has been to use emergent strategies on an ad hoc basis from project to project. The implementation of a business model and business plan will allow for an intended strategy to be implemented. However, this will never be a purely deliberate strategy. Changes to the publication landscape and the use of new technology will mean that the intended outcomes may not match the realized outcomes. Some aspects of the Business Plan may be dropped (unrealized strategy), while other areas will emerge as the Press develops (emergent strategy). Figure 7.1 illustrates this in relation to the Business Plan.
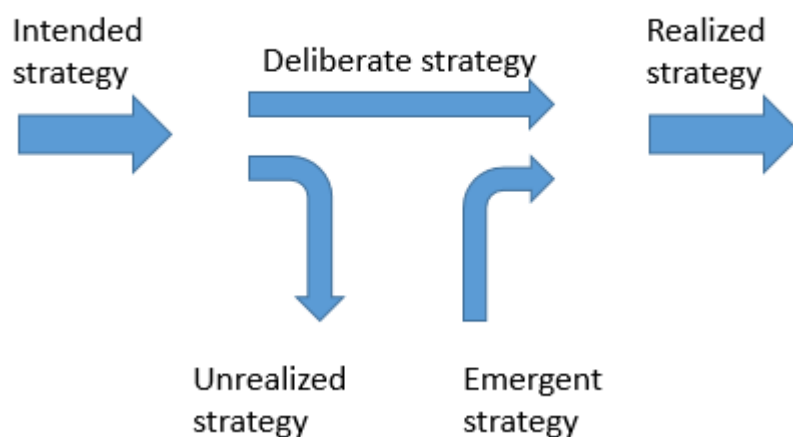
Figure 7.1. Types of strategies (Mintzberg & Waters, 1985, p.258)

There are a number of areas where the Press may have a broad intended strategy, possibly as part of the Business Plan. For example, a statement on marketing (Appendix 1.1 Section 7.0) or research and development (Appendix 1.1 Section 8.0). An operation plan, which would be required once the

Business Plan was adopted, may then detail the strategy. However, as new areas evolve, the intended strategy may become unrealized. Other strategies may also emerge. The areas described below have all emerged since the Press began. It may be that these need investigating and implementing, thus becoming a deliberate strategy. Others, such as XML, may be investigated and abandoned.

7.4.1 Technical

The Press needs to consider whether use of the EPrints platform is the best way forward. The HOAP project selected the EPrints platform over the Open Journal System (OJS) for its discoverability over the back-end to the platform. It was always a consideration to implement technology such as the RIOJA toolkit (UCL, 2008; Stone, 2011a) to enable authors to deposit their articles directly into the system, which could then be peer reviewed, copy edited and published via a series of workflows, but this was never developed. One of the reasons behind not using OJS was that the software would have had to have been installed and maintained in-house. There was also a perception of lack of discovery of OJS hosted systems and the advantage of EPrints in this respect. Finally, OJS has a very basic design (Lawson, 2013). However, since the publication of the first journals and monographs on HOAP, other solutions have been developed - most notably, the offering from Ubiquity Press and its Ubiquity Partner Network. This consists of university and society presses, such as Utrecht, Stockholm, White Rose, Westminster and the recently launched Open Library of Humanities (Ubiquity Press, 2015). However, there is a cost in moving a relatively established Press to Ubiquity. Moving a growing number of journals and at least 10 monographs to a new platform would have associated set up and ongoing costs. Ubiquity Press charge an APC of £300 (plus VAT) for every article published. For Huddersfield this is a significant barrier as APCs are not charged at present, with all costs being absorbed by the Library and Research Centre/School. For example, Table 7.5 shows that only £850 has been put aside for copyediting up to twenty-one articles for the next volume of *Fields*. Under the Ubiquity model, which includes copyediting, publication of twenty-one articles would cost £6,300 + VAT; this is currently unsustainable for the Press.

Another example of an intended strategy was the consideration of a transition to an XML workflow in order to make publications more discoverable and searchable (AAUP, 2011b; Mullins et al., 2012; Dougherty, 2010). This would allow the production of Print on Demand, PDF, EPUB and other formats resulting in wider dissemination through mobile devices. This was something that was investigated by the EPICURE project (UCL, 2011), which aimed to develop and make public an XML template for UCL e-publishing. This service is also offered by Ubiquity Press as part of the APC and the Book Processing Charge (BPC), which is currently £5,920 (+ VAT) for 100,000 words. The Press needs to discuss XML workflows with its current monograph typesetter and printer, JMP, as this is

currently not possible. However, it should be noted that conversion from PDF to EPUB is now more straightforward with the use of a number of free online tools. Indeed the OAPEN-UK *Guide to Open Access Monograph Publishing* was recently converted to EPUB by unglue.it (see Figure 7.2)
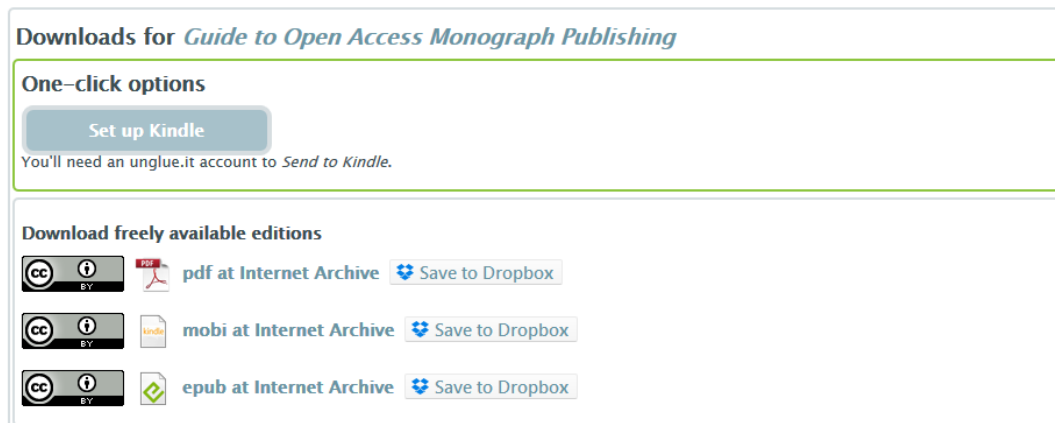
Figure 7.2. Download options for *Guide to Open Access Monograph Publishing* at unglue-it (Collins, Milloy & Stone, 2015b)

Therefore, the intended strategy of an XML workflow to create EPUB formats may be superseded by a simpler alternative. If the Business Plan is approved, an operational plan should highlight the intended strategy as part of a processes review of the University Press in conjunction with the adoption of programme level planning.

7.4.2   Marketing and Search Engine Optimization

Previous chapters have discussed the Press's approach to marketing. However, uncertainty over funding and staffing highlighted in this chapter have also shown that there are gaps in what the Press could achieve. This includes attracting more authors as well as marketing publications successfully. Morris et al. (2013) describe a virtuous circle for marketing, where more authors/readers led to more usage, more citations, more submissions and more market awareness, which in turn leads to more authors/readers etc. Therefore, marketing needs to be taken forward on two levels, internally and externally. Internally, further conversations need to be had with Deans and Directors of Research and other academic staff (Lawson, 2013). Furthermore, neither the University of Huddersfield Repository policy nor the University open access policy mention the Press. Riddle considers that publishing services must be included in the main policy documents to show that the library – and indeed university – has committed itself to publishing (Riddle, 2015). This is certainly something that the University Press needs to consider as part of package to enlist the support of the Vice Chancellor's Office.

External marketing also needs to be reviewed. Currently the Press does not execute traditional marketing campaigns that are often carried out by other presses (Kwan, 2011). Where book reviews have been published in journals there does not seem to be a resultant peak in sales, so it could be argued that this is not an effective way forward. Additionally, as an open access publisher, successful marketing will not necessarily result in sales anyway. What is required is more effort to get the publications included in directories such as DOAJ and DOAB, and ultimately citation and subject databases. The Press also needs to investigate search engine optimization (SEO). Esposito describes this as the "single most important marketing tool available to any publisher" (Esposito, 2010). It is worthy of further research as the Press grows its portfolio. Again, this would be an intended strategy.

7.4.3 Collaboration

Collaboration was an emergent strategy during the research period for this thesis. Collaboration with other university presses in the UK was not really possible as Huddersfield was leading the way in many respects. Indeed, the objectives of this thesis are focussed upon the Press in the context of the new higher education funding landscape and the need for the Press to align itself with University strategy in order to grow (Dougherty, 2010). However, the growth of NUPs as a movement is also happening at the same time as a move towards shared services. There has been a strong theme of collaboration running through the research, albeit not with other university presses. The author represented the Press in the OAPEN-UK project (Milloy, 2010), the National Monograph Strategy (Showers, 2014) and the Jisc/OAPEN Investigating OA monograph services project (Ferwerda, 2014) where the Press is cited in the project plan (Jisc Collections, 2015).

Regarding university press collaboration, Mullins et al. (2012) recommended in their report to SPARC that collaborations should be used to "leverage resources within campuses, across institutions, and between university presses, scholarly societies, and other partners" (p.19). There is a long tradition of collaboration between university presses and partners outside of presses' core competencies (Withey et al., 2011). The Ithaka Report *University publishing in a digital age* (Brown, Griffiths & Rascoff, 2007) suggested that a collaborative technology platform is the way forward for university presses. The launch of OAPEN and DOAB has meant that NUPs can have their work published and distributed through these platforms.

However, further research is required within the UK as new presses emerge. In October 2014 an exploratory meeting between library directors in the Northern Collaboration[37] was held to discuss possible collaboration and shared services relating to university presses and potential library

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[37] A group of 25 higher education libraries in the north of England (Northern Collaboration, 2015)

publishing ventures. As a result of this meeting, further collaborative work has been suggested and a paper was sent to Jisc for consideration (Appendix 7.2). A research project has now been funded by Jisc in order to understand the landscape relating to existing and planned NUPs in the UK, although this is out of the research period for this thesis.[38] The project will:

- Identify existing and future new university presses in the UK
- Learn of the motivations behind their establishment
- Determine the types of output being published
- Gather information on governance and policies
- Identify the publishing platforms being utilised
- Ascertain what business models are being applied
- Identify workarounds, gaps and frustrations in the workflows.

Collaboration will help to achieve best practice amongst NUPs and this will further enhance programme and publication level planning by creating efficiencies through shared practice.

The Press is also at the centre of discussions around the possibility of a European chapter of the Library Publishing Coalition (LPC) in the United States (Educopia Institute, 2013). Potentially a UK/European LPC conference could be planned as well as a landscape survey for mainland Europe.

Looking to the future, it would be important for the work to include the wider community, particularly learned societies, which are often neglected in this discussion, but who were very vocal in the HEFCE and RCUK consultations on open access (Kennison & Norberg, 2014; House of Commons Business, Innovation and Skills Committee, 2013a, 2013b; House of Lords Science and Technology Committee, 2013). This could be an opportunity to open the discussion and dismiss a number of myths around open access publishing.

7.4.4 Editorial Board membership

Following on from the recommendations concerning better marketing and wider collaboration, it would also be beneficial for the Press to widen its Editorial Board to external membership. The addition of an external voice on the Board would act as a sense check for new proposals and strengthen peer review. In addition, it may aid the Press in attracting external contributions.

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[38] The author is the lead researcher on this project. The project itself will report in early 2017 (Keene et al., 2016), with a paper to follow in LIBER Quarterly.

Assuming that the recommended business and funding model and the resulting Business Plan (Appendix 1.1) are adopted, the recommendations discussed above need to be taken forward as part of an operational plan rather than as emergent strategies.

7.5   Research questions and aims revisited

This thesis has one primary research question:

1. To show how the University of Huddersfield Press can establish a viable and innovative business model

Subsidiary questions are

2. To establish how the output of the Press will contribute to and enhance the University's strategic objectives
3. To indicate how the University Press, as an open access publisher, can contribute to the world of scholarly communication by increasing the literature on new university presses.

7.5.1   The University of Huddersfield Press can establish a viable and innovative business model

In order to achieve this aim, the University of Huddersfield Press has been studied in depth in a series of case studies (Chapters 3-6). Each case study has looked at the progress of the Press over a period of five years since the re-launch in 2010, before discussing the lessons learned for future publications. This chapter has taken the lessons learned and evidence from the literature to argue that an Author/Institution/Funder-pays model will enable the Press to move forward in an innovative way. This chapter shows that the Author/Institution/Funder-pays model is a viable and sustainable model for each of the three Press output types. The aim of this thesis is further supported in the Business Plan (Appendix 1.1). The Plan practically demonstrates that with this model in place, the Press can have a viable future and can increase its output over the next four to five years.

7.5.2   The output of the Press will contribute to and enhance the University's strategic objectives

Chapter 1 discusses The University of Huddersfield *2011-2020 research strategy* (2011a), which aims to increase significantly the impact of research at Huddersfield. This thesis has discussed the research output from the University Press, which itself aims, "to provide an outlet for publication for University authors, to encourage new and aspiring authors to publish in their areas of subject expertise and to raise the profile of the University through the Press publications" (University of Huddersfield, 2014). The case studies in chapters 3-6 have demonstrated that the Press is capable of producing high quality research output in a number of different formats. This chapter has used the

Music Department's submission to the 2014 REF to show that the Press contributed 11% of all output in this UoA, the most successful UOA in Huddersfield's REF2014 submission (Table 7.3). Furthermore, this chapter has argued that these outputs can be estimated to be worth around £82.5k p.a. to the University in QR income. Therefore, the results of the REF have provided categorical evidence that the University Press has enhanced the University strategy objectives by adding to the reputational value of the University.

7.5.3 The University Press, as an open access publisher, can contribute to the world of scholarly communication by increasing the literature on new university presses

Appendix 1.3 shows the contribution to the literature that has already resulted from this thesis. In addition Table 7.7 highlights a selection of peer reviewed articles that have been extensively developed from particular chapters. Before 2008, there was little evidence of academic writing on libraries as publishers (Hahn, 2008). In addition, the Press has been invited to contribute at a number of high profile Conferences in Europe, such as The International Conference on Electronic Publishing (ELPUB), the SCONUL winter conference, the Association of Learned and Professional Society Publishers (ALPSP) international conference, the LIBER (Ligue des Bibliothèques Européennes de Recherche – Association of European Research Libraries) Annual Conference and the UKSG Annual Conference and Exhibition.

Furthermore, the author has represented the Press on a number of high profile research projects such as the National Monographs Project and OAPEN-UK as an expert panel member. The OAPEN-UK project, partly funded by the AHRC, produced guides which were researched and co-written by the author (see also Appendix 2.1 and 2.2). The Crossick report (2015) cites the OAPEN-UK *Guide to open access monograph publishing for arts, humanities and social science researchers* (Collins, Milloy & Stone, 2015a) (Appendix 2.1). Most recently the Press was involved in the organisation of the highly successful University Press Redux conference in March 2016. In addition, the author was also acknowledged in Eve's *Open access and the humanities* (Eve, 2014, xii) and by Lockett and Speicher (2016) (see also Appendix 1.3).

In 2016, the author was asked to join the UUK (Universities UK) OA monographs working group (UUK, 2017). This demonstrates that the University Press is well regarded as a leader in the NUP community and has contributed widely to the world of scholarly communication.

Chapter	Publication
Chapter 2	Adema, J., & Stone, G. (In press). The surge in New University Presses and Academic-Led Publishing: an overview of a changing publishing ecology. *LIBER quarterly*.
Chapter 3	Collins, E., & Stone, G. (2014). Open access monographs and the role of the library. *Insights, 27* (S1), 11-16. http://dx.doi.org/10.1629/2048-7754.163
Chapter 4	Stone, G. (2011). Huddersfield Open Access Publishing. *Information services and use, 31*(3/4), 215-223. http://dx.doi.org/10.3233/ISU-2012-0651
Chapter 5	Stone, G., Jensen, K., & Beech, M. (2016). Publishing undergraduate research: linking teaching and research through a dedicated peer reviewed open access journal. *Journal of scholarly publishing, 47* (2), 147-170. http://dx.doi.org/10.3138/jsp.47.2.147
Chapter 7	Stone, G. (2016). Sustaining the growth of library scholarly publishing in a New University Press. *Information Services and Use, 36*(3/4), 147-158. http://dx.doi.org/10.3233/ISU-160812
Appendix 2.1	Collins, E. Milloy, C., & Stone, G. (2015). *Guide to open access monograph publishing for arts, humanities and social science researchers*. London: AHRC/Jisc Collections. http://dx.doi.org/10.5920/oapen-uk/oaguide
Appendix 2.2	Collins, E. Milloy, C., & Stone, G. (2013). *Guide to Creative Commons for humanities and social science monograph authors*. London: AHRC/Jisc Collections. http://dx.doi.org/10.5920/oapen-uk/ccguide

Table 7.7. Selected publications (See also Appendix 1.3).

7.6   Conclusion

The first chapter of this thesis sets out the motivation of this study, before describing the Press in the context of University strategy and UK funding landscape. The chapter then continues to argue for a pragmatic research philosophy before describing how this approach and the subsequent chapters would inform this final chapter and the Business Plan that follows as Appendix 1.1.

Chapter 2 is written from the practitioner viewpoint, establishing the recent history of university press publishing in the UK, US and Australia, putting this in the context of the open access movement. It suggests that library publishing has established itself as a movement in its own right. Sections of this chapter have now been adapted as the introduction to the forthcoming Jisc study: *Changing publishing ecologies: a landscape study of New University Presses and Academic-led Publishing* and an article commissioned by *LIBER quarterly*. As such the chapter is a major contribution to the field of information and library science. Appendix 1.3 (see also Table 7.7) gives a full list of all articles, book chapters and conference papers published by the author in connection with the thesis. The chapter continues to discuss journal and monograph publishing, showing that the two formats need to be treated differently. This demonstrates the need to consider each format as a separate case study. Business models, particularly for open access monographs are still at an

early stage. Therefore, the Press has an opportunity to pick and choose its business model, which is outlined in Chapter 7 and the Business Plan.

The first of the case studies takes an in depth look at the Press's monograph publishing. It shows clear progress from the early publications of 2010, which adopted a very ad hoc process, to the latest outputs at the end of the research period in 2015. It clearly shows that lessons learned after each publication were adopted as part of an iterative process. The chapter demonstrates that despite success in music and history disciplines, there are clear challenges ahead if the Press is to expand its publications in line with the proposals in the Business Plan. It also considers other opportunities, such as the publication of theses. The chapter argues that the number of business models available for open access monograph publishing creates an opportunity for the Press to pick and choose a model of best fit. Indeed, the chapter demonstrates in the form of a case study, that different models are appropriate depending on the particular book being developed.

Chapters 4 and 5 present a case study of the journal output of the Press. Chapter 4 describes how journal publishing grew organically out of the 2011 Huddersfield Open Access Publishing (HOAP) project to publish seven titles in 2015, with more at the planning stage. The chapter argues that, despite not being included in the original plan for the Press when it re-launched in 2010, journal publishing could potentially have a bigger impact than monographs if the number continues to grow at the rate outlined in the Business Plan. The case study shows that early career researchers have been encouraged to take part at the editor/editorial board level and that the HOAP platform itself has helped to encourage a number of niche research and research practitioner journals that may not have been established via 'traditional' publishers. Lessons learned were incorporated into the process for each new title and the chapter concludes with a number of further recommendations to be taken forward in the Business Plan.

Chapter 5 investigates one particular journal from inception to first publication and evaluation. The journal, *Fields*, is a fully peer reviewed student research journal. At the time of the study, it was shown that an interdisciplinary student research journal, which incorporated an academic peer review system was a unique proposition in the UK. The chapter details an account of the process leading up to the first issue and the evaluation of student comments. This resulted in a number of lessons learned, which have influenced subsequent volumes. This chapter is a significant contribution to library and information science and an article was published in the *journal of scholarly publishing* (Stone, Jensen, & Beech, 2016).

The chapter on Huddersfield Contemporary Records was a self-contained chapter due to the way sound recordings were commissioned and funded by CeReNeM. The chapter notes the lack of research in this area and is therefore a further contribution to the literature. Issues encountered in the development of the HCR project are discussed along with lessons learned. It was noted that the whole project may have been more successful if each release had been approached as a research project between music researchers and a non-academic partner. Finally the chapter argues for a radical new business model if the stated aim of HCR, to increase the impact and distribution of music research and outputs of the department, is to be realised. The value chain for HCR (Figure 6.2) could drive dissemination of research output and encourage interaction with the audience. Although this remains to be adopted, it is hoped that other NUPs that wish to consider the publication of sound recordings may benefit from the research.

The final chapter uses the literature, lessons learned and recommendations from the case studies to investigate appropriate and innovative business models, thus recommending the most viable option for the Press and fulfilling the primary aim of the thesis. A major contribution of the chapter is to develop Hahn's (2008) programme and publication level planning in library publishing. This is demonstrated in the Business Plan. Furthermore, the Chapter evidences the return on investment (ROI) to the University by demonstrating the Press's contribution to the 2014 REF in terms of reputational value and QR funding (see also below). This is discussed further in section 7.6.3.

In addition to setting out a Business Plan for the Press based on the evidence provided in Chapters 1-7, there has also been a contribution in the following areas: governance, quality and ROI with regard to NUPs in the UK. The thesis also provides a possible scenario for other NUPs with regards to the anticipated mandate for open access monographs in the post 2021 REF.

7.6.1 Governance and quality issues

The 2016 landscape study on UK New University Presses (Keene & Stone, 2017) found that governance and structure was an area where both established and planned NUPs required further support. The Press at Huddersfield has itself assisted other new presses by sharing its own governance model. Appendix 2.1 demonstrates that there is a perception amongst some humanities scholars that open access results in lower quality publications. Open access presses are associated with lack of peer review and other measures. However, this thesis has shown that a good governance structure leads to high quality publications. A Press editorial board led by senior university academics has supported a quality review process that NUPs must demonstrate. The transparency of this structure led to a number of Press publications being accepted in the Directories of Open Access Journals and Books and played a part in the 2014 Research Excellence Framework

outcome for Music. Additionally, the academic governance of the Press board ensured that Press journals had strong international editorial boards (see Appendix 1.1, section 9.0 in the Business Plan).

There are further improvements that should be made to the governance structure of the Press in order to take it to the next level. The structure of the Press board, through academic leadership, is a very positive contribution to the direction of the Press. However, the board often discusses operational, rather that strategic matters. It has been conducting business more like a project group than an academic editorial board. This thesis recommends that the editorial board be split into two groups. Firstly, an academic-led editorial board is required to take strategic decisions on the direction of the Press in terms of the University's wider strategic priorities and research plan. There then needs to be an operational group, which includes current board members such as the University solicitor. This group should be responsible for the day-to-day running of the Press in support of the Business Plan. Papers that affect strategy should then be sent up to the editorial board as and when necessary. This will ensure that the Press continues to produce high quality outputs along lines of best practice combining academic and operational governance.

7.6.2 Peer review

As stated above, there is clear evidence from the various inquiries and surveys discussed in Appendix 2.1 and 2.2 that many scholars associate open access with lack of peer review. The Crossick report also alludes to this point also (2015, p.4). However, Appendix 2.1 also argues that academics' reaction to change, such as the move from print to electronic journals, often elicits a similar response, an accusation that the new format does not support peer review.

Nevertheless, any new press, particularly an open access press, needs to demonstrate its commitment to peer review. With regards to the Press at Huddersfield, this has been demonstrated by lessons learned as the Press has evolved its journals and monograph publishing formats. Earlier monographs works were, perhaps, not peer reviewed as stringently as they could have been. However, the Press has developed a transparent peer review process. The last publication that the author worked on as manager of the Press, was also the first publication to benefit from the revised peer review process, which was a direct outcome of the research in this thesis.

Despite an academic-led board and full peer review procedures, Chapters 3 and 6 discuss the issue that some contributors view the Press as a service, rather than a publisher. This perception is most prevalent amongst contributors who have provided their own funding; for example, departmental research funding or external research grants. It is essential that, regardless of whether a publication has funding, it is only published if it fully meets all of the requirements of the peer review process,

and that that process has input from at least one external reviewer for monographs. Funding does not equal automatic 'vanity' publishing. It is hoped that the recommendations of the thesis and Business Plan for formal institutional funding from the University will help to strengthen the Press as a publisher and not a service-run project in the eyes of the academic community.

Concerns around perceptions of vanity publishing have also led to the rigorous peer review procedures for *Fields*, which are outlined in Chapter 5. The Press has established a robust student research journal that adheres to the publishing practice of a 'normal' journal rather than a marketing tool for undergraduate dissertations. It is the Press's procedures regarding peer review that have partly led to other universities contacting the Press for advice and guidance on setting their own student research journals.

This thesis has set out the guidelines for a formal peer review process and this is also outlined as part of the Business Plan. However, a New University Press will still be judged by its latest publication, so it is very important that the peer review and quality process continues to be strengthened and improved. It is for this reason that this thesis recommends that the editorial board should include at least one external member in order to ensure that the strategic direction of the press is open to examination and benefits from other perspectives.

7.6.3 Return on investment

Brand (2017) argues that Harvard and Yale universities would still be excellent universities if they did not have their university presses. For example, their researchers would still go on publishing. Brand adds that North American press directors often "brag" about how few of their authors come from their host institution in case they are considered a vanity publisher. However, many NUPs in the UK are set up in order to publish their institutions' authors. UCL and White Rose both have fee waivers for their own researchers.

Justification of reputational value is an important argument for a Press such as this, especially one that does not seek to turn a profit. The Press needs to confer more than a "warm glow" (Courant, 2010) in order to justify institutional funding. This thesis has shown that the Press can provide more than just reputational value, in the form of quality 'REF-able' open access publications. The 2014 REF return, which featured a number of Press publications, provides evidence that the Press has the potential to return on any university investment in terms of QR funding as well as reputational value in the form of a contribution to the environment and impact statements. As stated in Chapter 7, this makes the value proposition to the University very clear. The potential return on investment to the University in future REF outcomes from both monographs and sound recordings far outweighs the modest investment proposed in the Business Plan. Inclusion of Press publications in the REF also

assists the building of prestige in certain disciplines. This partly addresses concerns raised in Appendix 2.2 (alongside perceived lack of peer review) for potential authors.

This thesis has demonstrated that a programme level planning model would help to develop a sound and coherent publishing policy, which would in turn assist in raising institutional reputation and potential QR funding via the next REF and beyond.

Although discussion of ROI is dependent on a particular NUP's circumstances. This thesis is a significant contribution to the literature. It demonstrates the potential scope for ROI using specific examples (Stone, 2016). Thus, it goes beyond general arguments and assumptions to demonstrate a tangible benefit. While not directly applicable to all other universities and NUPs, it does give those seeking to establish a NUPs a case study that could be used in discourse with senior management.

While the modelling of Esposito's five stages of book publishing (2010) to an open access model is a contribution to the literature (see 2.4.3), in hindsight, this thesis could have developed the concept of a subscription or membership model in order to attract potential external funding. It is suggested that this area should be developed as a future piece of research on UK university presses in general. This would allow institutions without presses to submit manuscripts for peer review to existing NUPs without a book processing charge. Alternatively they could become members of a collective, which could then release an amount of money into the system to allow additional open access monographs to be produced by NUPs with capacity to publish additional content. This has the potential to allow institutions to be prepared for an expected mandate for open access monographs in the post 2021 REF.

7.6.4 Post 2021 REF

Regarding monograph publications, Chapter 1 referred to the likelihood that HEFCE may introduce a mandate for open access monographs in the post 2021 REF. Indeed, the UUK OA monographs working group (UUK, 2017) established a budget transition sub group (to which the author was invited) to discuss how this might be taken forward.[39] The sub group acknowledges that any transition needs to be in place by 2019 in order to take into account the publication cycle for a scholarly monograph. Therefore, this thesis and the accompanying Business Plan will allow the University to be in a strong position should the plan be adopted and lessons learned are used to further improve the publishing processes of the Press.

In 2012, the Deans of Libraries at Purdue, Georgia Institute of Technology and Utah University were convinced by the evidence put forward to them that there is a demand for library scholarly

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[39] Some sections of this thesis were used to inform sections of the report. For example section 7.1.1

publishing services and that decisions needed to be made in order to "foster and continue this work" (Mullins et al., 2012, p.2). Watkinson suggests that "a quieter revolution was in fact taking place, more accurately attuned to the real needs of scholars and other campus communities" (Watkinson, 2014). Institutions such as UCL, Cardiff and the White Rose universities see that the time has now come to support library publishing in the UK. This thesis has shown that this is also the case at the University of Huddersfield, which is ideally placed to be a leading NUP in the UK.

Although university press publishing is developing at an increasing rate, some key objectives must be kept in focus;

> The real priority is to align the press with the research centers of the university and to raise the profile of university research outside the university community. In this way we can return to the founding mission of the university press – to disseminate the scholarship of the university and strengthen the university's reputation
>
> (Brown, Griffiths & Rascoff, 2007, p.22).

Royster (2008) predicted that the scholarly world would look very different in 2015 and 2020, and this thesis attests that the landscape has changed dramatically between the start of the research in 2011 and today. However, despite 10 years of large scale disruption and innovation in publishing, such as the shift to electronic and open access publishing for journals and monographs and the establishment of alternative business models (Houghton, 2011), some things never change. In 1669, John Fell commented on the recently established Oxford University Press that it "may not only prove usefull to us poor scholars but reflect some reputation and advantage on the Publick" (The history of Oxford University Press: Volume I: Beginnings to 1780, 2013).

To summarize, this thesis has contributed to the field of information and library science in the following ways:

- A number of articles, book chapters and conference proceedings (Appendix 1.3)
- Modelling of Esposito's five stages of book publishing (2010) to an open access model
- Original case studies covering monograph, journals and sound recording, including lessons learned, which will be of use to NUPs
- A specific case study of a student research journal
- Proposal of a value chain for open access sound recordings
- Development of Hahn's (2008) programme and publication level planning in library publishing

- Discussion of financial models, including a direction for the Press resulting from evidence based research
- Demonstration of ROI for the Press, which has secured further funding from the University
- A Business Plan, including model licences, which will be of benefit to other NUPs.

A major requirement of the Doctor of Enterprise is the inclusion of a Business Plan. As such, the University of Huddersfield Press Business Plan follows this chapter as Appendix 1.1. It will put into practice the lessons learned and recommendations of this thesis. The Business Plan will set out a roadmap for the next four to five years of the Press leading up to the second Research Excellence Framework.

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University of Huddersfield Press

Business Plan

Draft Version

Contents

1.0   Introduction

This business plan for the University of Huddersfield Press (hereafter referred to as 'the Press') has been informed by research carried out for the degree of Doctor of Enterprise (EntD), a professional doctorate. This business plan forms a substantial part of the thesis. The thesis has one primary research aim:

- To show how the University of Huddersfield Press can establish a viable and innovative business model

The plan covers the period from 2016-2019 in the lead up to the post-2014 REF (2020/21). The business plan itself is based upon the draft business plan template provided by the University of Huddersfield Enterprise Team (University of Huddersfield, n.d.). The template has been prepared by the University's business advisors and is recommended by the University's Enterprise Team to which the thesis that supports this plan is affiliated.[40] The plan has also been influenced by the SPARC model business plan for open access journals (Crow & Goldstein, 2003), which contains pertinent advice and relevant headings.

The guidelines attached to the plan template recommend that the plan is kept concise. The plan includes the mission statement and vision of the Press and an executive summary, which outlines the principal aims of the Press. A history of the Press is then followed by a description of the product, which details the three imprints of the Press: monographs, journals and sound recordings. The scholarly publishing market is briefly discussed in relation to the Press. This section also includes an outline of the marketing and dissemination strategy of the Press and potential competition. The rationale behind the Press is to disseminate the work of the University (and others) to the world via open access and this is explained in the context of pricing and sales. Research and development is briefly touched upon, before the plan outlines the basis of the operation and its management. A SWOT analysis is used to assess principal risks and problems. Finally the plan details financial information, including costs and demonstrating value. A number of appendices follow to support the plan, most notably, Appendix L, which outlines cashflow and a profit and loss forecast.

The business plan for the Press recognises the fact that the aim of the venture is not to make a profit or surplus. Rather, it is an exercise in the scholarly communication of high quality, peer reviewed work in a financially sustainable manner. Ultimately, if approved,[41] this business plan needs to be expressed in both internal and external documents. An operational plan would also need to be drafted.

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[40] http://www.hud.ac.uk/enterprise/enterprisedegrees/

[41] The research period for the thesis used to inform the business plan covers July 2011-February 2015. The business plan itself was originally drafted in August 2015 to support the work of the Press. Some sections of the plan have since been approved and these will be noted in further footnotes.

2.0   Mission statement

At present, the principles governing the University of Huddersfield Press are that:

- All material published should be of high quality and peer reviewed
- As a general rule, material should be published on Open Access via the University repository, in order to maximise the potential for dissemination to as wide an audience as possible. Scholarly monographs may also be made available by print-on-demand
- The Press will operate on a cost recovery profit sharing model, with any surplus being reinvested into the Press.

Based on evidence provided in the thesis, this business plan suggests that the following principles governing the University of Huddersfield Press should be adopted.

- All Press publications should be of high quality and peer reviewed
- All Press publications should be published on open access via the University repository, in order to maximise the potential for dissemination to as wide an audience as possible. Scholarly monographs may also be made available by print-on-demand
- The Press will operate on an institutional/funder pays model. Any surplus generates by sales made available by print-on-demand will be reinvested into the Press.

The Press was re-launched in 2010 as a predominantly open access press. The core purpose of open access publishing is to widen access to research findings in order to increase impact and usage. It is a reaction to the journals and monograph crises, where prices have spiralled in recent years. In addition, monograph sales have been declining steadily. More recently funder mandates for open access have brought the open access movement to the fore. These factors have influenced the rise of a number of New University Presses, which disseminate high quality peer reviewed work via open access mechanisms.

The institutional/funder pays model is the model recommended by the supporting thesis. It is argued that because the principal aim of the Press is to disseminate research output of the University, financial contributions from the University as part of the institution pays model are key to both sustainability and innovation for the Press. Potential returns on this financial support are increased institutional reputation and further research income and this is discussed below.

These new principles will be used to inform the following sections of this plan.

2.1   Vision

The vision of the Press is to produce a 'robust scholarly ecosystem' including, but not limited to, the following points (adapted from Withey et al., 2011):

Selectivity: All monographs, journals and sound recordings published by the Press will pass through a peer review process.

Editorial engagement: The new post of *publications and marketing manager[42]* will give continuity to the publishing process, from initial discussion at proposal stage and assistance during writing to publication and marketing.

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[42] This post was approved in the 2015/16 financial year

Presentational expertise: The Press will work with the Computing and Library Services (CLS) graphic designer and external partners to ensure that cover images, typesetting, marketing and promotion and the final printed work (where applicable) are finished to the highest standards.

New marketplaces: Peer review of all outputs will ensure the inclusion in resources such as the Directory of Open Access Books (DOAB) and Directory of Open Access Journals (DOAJ). These resources enjoy worldwide distribution of open access material. The Press will also work with authors and editors to establish marketing channels through their own connections, such as peer networks and conferences.

Metadata authority and enhancement: ISBNs, ISSNs, DOIs, stable URLs, copyright dates and enhanced data such as covers and descriptions will all be maintained by the Press and supplied to services such as, Nielsen Bookdata and Amazon.

Rights authority and licensing: Authors are required to sign a Licence to Publish (LtP), which outlines the rights of the authors and Press. In addition, all publications are made freely available using a Creative Commons Attribution 4.0 Unported License (CC BY). [43] Sound recordings should use a Creative Commons Attribution-NonCommercial 4.0 licence (CC BY-NC) or Creative Commons Attribution-NonCommercial-ShareAlike 4.0 licence (CC BY-NC-SA). [44]

Non-digital distribution agreements: The Press is an approved Waterstones and Amazon supplier. This enables printed copies of scholarly monographs to be sold online and also ordered in Waterstones bookshops. In addition, inclusion in Nielsen Bookdata enables copies to be ordered by library suppliers such as Betram, Gardners and Coutts.

Multiple formats: Scholarly monographs will be made available in EPUB, PDF and printed formats. Journals are made available as PDFs as standard, although other formats are possible, such as video. Sound recordings can be made available as high quality audio downloads as well as CD where appropriate.

Independence: The Press, while wholly owned by the University of Huddersfield, is an independent publisher. As such, it welcomes submissions from other universities or areas of academic and research excellence, providing all proposals pass a peer review process.

Prestige: The Press will build prestige by publishing quality peer reviewed scholarly works. The Press is already building a reputation for publications in music and history disciplines. The Press will ensure that it follows the guidelines and recommendations of organisations such as COPE[45] and OASPA[46] in order to ensure quality in its academic output.

Long-term availability: By making all output available for free download via the institutional repository, the Press will ensure that outputs are available in the long term. In addition, all journal articles are preserved by Portico.

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[43] https://creativecommons.org/licenses/by/4.0/
[44] https://creativecommons.org/licenses/by-nc/4.0/ or https://creativecommons.org/licenses/by-nc-sa/4.0/
[45] Committee on Publication Ethics: http://publicationethics.org/
[46] Open Access Scholarly Publishers Association: http://oaspa.org/

3.0　Executive summary

The University of Huddersfield Press supports the University's vision to be an inspiring, innovative University of international renown. As such, it aims to encourage the dissemination of University research and scholarship by passing on the benefits to other researchers, professional practitioners and the wider international community. The Press will ensure that all scholarly publications carrying the University imprint are of high quality, and will provide guidance to authors on the Press publishing process.

3.1　Aims

The principal aims of the Press are around scholarly communication rather than profitability. As traditional print models become legacy systems, the Press will use the expertise of CLS to engage in open access publishing. The Press will use an Institution/Funder-pays model with any surpluses to be reinvested into the Press.

The Press has been established to provide an outlet for publication for University authors, editors, composers and artists. It aims to encourage new and aspiring authors to publish in their areas of subject expertise and to raise the profile of the University through publication. It also provides a publishing outlet for specialist works or those with a local focus, which would not necessarily be attractive to large commercial publishers.

3.2　Scope

Many Schools and Departments at the University already publish material using ISBNs obtained via CLS. The resulting publications are often published by the 'University of Huddersfield' as opposed to the University of Huddersfield Press. The Press does not presume to take on these publications. Only those publications which are accepted by the Press Editorial Board will be permitted to use the University of Huddersfield Press imprint.

3.3　Market position

Open access publishing gives the Press the potential to reach a wide audience on an international scale. Scholarly monographs may also be made available by print-on-demand. The University of Huddersfield Press was one of only two new university presses cited in the National Monographs Strategy[47] and is one of only a few new university presses from outside of the United States to be listed in the Library Publishing Coalition Directory for 2015 and 2016[48].

3.4　Research assessment

The Press will publish works on open access that may be put forward to the post-2014 Research Excellence Framework (REF). It is also hoped that by publishing these works on open access the Press will contribute to impact and environment statements. For example, HEFCE states for the post-2014 REF that the "policy does not apply to monographs and other long-form publications", however, "[w]here 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" (HEFCE, 2015).

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[47] National Monographs Strategy: http://monographs.jiscinvolve.org/wp/
[48] Library Publishing Coalition Directory: http://www.librarypublishing.org/resources/directory

3.5 Structure

The Press is managed by CLS with decisions on which items to publish taken by an academic-led Press Editorial Board. The Editorial Board evaluates proposals based on agreed criteria. The Press will be considered a success if the following critical success factors are achieved:

- A fully sustainable business model is set up in order to publish University research
- A culture of open access publishing is developed within the University.

4.0   History

The University of Huddersfield Press was re-launched in 2010 to:

- Provide an outlet for publication for University authors
- Encourage new and aspiring authors to publish in their areas of subject expertise
- Raise the profile of the University through the Press publications.

Five years after the re-launch the Press has now published 12 books, six journals and seven CD/DVD/digital download releases (see Appendix A). Three books and a number of the CD/DVD releases were submitted as multiple outputs to the REF in 2014 and made a significant contribution to the success of the Music department.

The Press comprises of three imprints:

Monographs have been published since 2007. Since the re-launch, a number of these were funded from external research grants from the Leverhume Trust and Heritage Lottery Fund. Other titles have been commissioned from CLS or School research budgets. Since 2010 the Press has produced new publication guidelines and publications are now published on open access.

Journals In April 2011 CLS was awarded external funding to develop Huddersfield Open Access Publishing (HOAP). This project aimed to develop a platform using EPrints repository software as a low cost, sustainable method to convert the University journal, *Teaching in Lifelong Learning*, from its existing model of a print subscription journal to an open access e-journal with a print-on-demand option. This platform has now successfully launched further titles.

Huddersfield Contemporary Records (HCR) originally launched in 2009, HCR is a partnership between the Centre for Research in New Music (CeReNeM), University of Huddersfield Press and Huddersfield Contemporary Music Festival (hcmf\\). This was in order to enhance the profile of CeReNeM both nationally and internationally and to showcase individual composers and performers. HCR has released a number of CD/DVD and MP3 downloads from both new and established composers/performers.

5.0   The Product/Service

The Press publishes peer reviewed items or those with a particular local or regional interest. Press publications are not restricted to University staff only. All submissions are welcome. However, only those publications which are accepted by the Editorial Board will be permitted to use the University of Huddersfield Press imprint.

The University scholarly publications policy and procedures (Appendix B and C) were approved by the Press Editorial Board and subsequently the University Research Committee to cover publications intended for sale or distribution outside the University. This includes:

- University of Huddersfield Press monographs
- Serial publications, e.g. journals and conference proceedings
- Sound recordings (Huddersfield Contemporary Records).

A number of Schools and Departments already publish material using ISBNs obtained via CLS. The resulting publications are often published by the 'University of Huddersfield' as opposed to the University of Huddersfield Press. These publications can be termed 'grey literature'.[49] Grey literature published by School, Department, Research Group and/or project publications remain outside of the remit of the Press. However, a number of these publications may merit submission to the Press. In response to this, the current policy and procedures (Appendix B and C) may be re-drafted to include a section on grey literature.

5.1   Monographs

The Press seeks to publish a wide variety of monograph and edited works. Examples of publications considered are:

- Scholarly monographs or edited works relating to specific areas of research in the University
- One off conference proceedings
- Titles of local, regional or national interest
- Research outputs including theses (if recommended by a supervisor and subsequently peer reviewed)
- Teaching materials which have a market beyond the University of Huddersfield.

The submission process requires a formal proposal (Appendix D) together with a chapter outline and one or two sample chapters, plus other supporting information. Entire manuscripts are not to be submitted at this stage. Proposals should be submitted to university.press@hud.ac.uk. The Press Editorial Board will also consider the submission of proposals to convert postgraduate theses awarded at the University into monographs.

5.1.1   Open Access
The Press is an open access publisher and will make the final PDF and/or EPUB version of the book available for free and immediate download. In addition, a limited run of print copies or Print on

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[49] Defined by the Fourth International Conference on Grey Literature as, "(t)hat which is produced on all levels of government, academics, business and industry in print and electronic formats, but which is not controlled by commercial publishers". http://www.greylit.org/about

Demand (PoD) copies may be produced. In exceptional circumstances the Press will consider an embargo on open access for up to 12 months after first publication.

5.1.2 Costs

As an open access publisher, the Press needs to cover its publishing costs *before* publication. Typically costs for a 70,000 word monograph will be in the region of £4,000 including a limited print run of 100 copies. This figure will depend on the number of images, complexity of the typesetting and number of print copies. Publications with large print runs will cost considerably more. Section 11 details these costs further. However, based on the evidence presented in the accompanying thesis, this business plan suggests that the Press adopt an Institution/Funder pays model where costs are covered by School research budgets and central University funds in addition to external research grants, such as RCUK, the Heritage Lottery Fund, Leverhulme Trust, Wellcome Trust or European FP7 projects. In the medium to long term, revisions to the University bidding processes could be expected to increase publications.

5.1.3 Peer Review

Initial proposals will be reviewed by the Press Editorial Board and academic colleagues at the University of Huddersfield. Reports will then be sent to authors for comments and feedback. Authors may be asked for a revised proposal before the Board makes a decision to accept or decline.

On acceptance of the initial proposal, manuscripts will be sent to at least two reviewers, one of which must be external. Reviewers will provide suggestions, comments and feedback to the authors. After this process has been completed and revisions have been made, a final decision will be made by the Editorial Board. If the Board approves commissioning of the work, a contract and publication schedule will be drawn up. Once the final manuscript is ready this will be sent to peer review. Again, two peer reviewers will be used, one of which must be external. On completion of any revisions, the book will be approved by the Editorial Board for publication.[50]

5.1.4 Contract

Upon acceptance of a proposal and after positive peer review, the Press will provide a Licence to Publish (LtP) (see Appendix E). This licence will give the Press the right to first publication. However, copyright will remain with the author(s). All books will be licensed using a Creative Commons licence. The preferred licence is a Creative Commons Attribution licence (CC BY). Other Creative Commons licences will be considered in exceptional circumstances.[51]

5.1.5 Royalties

The University Press is a not for profit open access publisher and, as such, authors royalties are not paid.

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[50] This process has now been tested by the latest Press publication due in September 2016
[51] For more information on Creative Commons licences please refer to http://creativecommons.org/licenses/.
For Humanities and Social Sciences authors, please refer to http://dx.doi.org/10.5920/oapen-uk/oaguide

5.1.6 Publication Schedule

Once a contract has been agreed, the Press Publications and Marketing Manager will meet with the author(s) to agree a publication schedule. This schedule will include the time taken for the final manuscript to be sent for review, which will normally take between six and eight weeks. Copy editing, typesetting, design and printing (if required) will normally take between eight and twelve weeks (see Table 1). Indexing may add to the timescale.

Week	Task
Week 1	Copy editing
Week 4	Author to return final manuscript after comment
Week 4	Typesetting to begin
Week 6	Final typeset version to author
Week 8	Author to sign off proofs
Week 8-12	Printing and binding

Table 1. Typical publication schedule

5.1.7 On publication

The Press will assign an ISBN and DOI for the publication and provide title page verso details. Open access copies will be made available via the University repository, the Press web pages and the DOAB. The author is also encouraged to make the PDF available on their own website or link to the Press version.

If print copies are provided, the Press will register the title with Nielsen BookData and arrange for sale at Amazon, Waterstones and the University Online Store. Titles will also be offered to specialist bookshops and suppliers and local bookshops if appropriate.

The Press will work with the author to discuss the distribution of review copies and marketing. A marketing plan (Appendix F) will be agreed between the Press and the author after a title is commissioned.

5.2 Journals

The Press publishes a number of open access, peer reviewed journals, whereby materials are available freely via the internet. Open access increases access to outputs and allows the journals to comply with rules set out by HEFCE and RCUK. In order for a journal to be published by the Press it must have a named editor(s), national or international editorial board, peer review process and submission guidelines. The Press is also a member of the Committee on Publishing Ethics (COPE); as such, authors and editors are asked to confirm that they conform to the COPE guidelines for ethical publishing.[52]

The Press welcomes proposals for new peer reviewed open access journals (Appendix G). Potential editors should ensure that a journal proposal form is filled out in full. Of particular importance are details of the international editorial board and identification of a gap in the market that the proposed journal will address.

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[52] Committee on Publishing Ethics: http://publicationethics.org/resources/guidelines

All journals will be expected to publish at least one issue a year, with a minimum of six articles. In addition all journals should be peer reviewed and this process should be explained on the journal landing page, e.g. http://eprints.hud.ac.uk/journal/abis/.

5.2.1   Set up costs

There is a one off cost of approximately £750 for the setup of the journal landing pages (see Figure 1). Section 11.0 details the business plan regarding costs. However, the same model discussed in 5.1.2 applies. Journal editors' School or Research Institute will be expected to arrange copy editing. All other administrative and technical costs are covered by the Press.

Figure 1. Sample journal landing page

5.2.2   Contract

The Press uses a LtP for article authors (Appendix H). This licence will give the Press the right to first publication. However, copyright will remain with the author(s). All journal articles will be licensed using a Creative Commons (CC BY) licence. In addition editors are asked to sign a contract (Appendix I) to ensure the longevity of the title.[53]

5.2.3   Article Processing Charges

The Press is an open access publisher. However, it does not levy article processing charges on potential authors or funders. All costs are covered by the University Press or by the journal editors' School or Research Institute.

5.2.4   Dissemination and Marketing

All Press journals are published through the University Press platform, which uses the institutional repository, EPrints. This ensures that journals are discoverable via Google, Google Scholar and the Summon web scale discovery system. Negotiations are also ongoing with other discovery system providers. The Press will also register the journal with the DOAJ, providing the journal meets the criteria.[54] This requires the journal to have published at least two volumes. The editor will be asked to agree a marketing plan (a variation of Appendix F) once a new journal is commissioned by the Press.

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[53] Please note this memorandum of agreement is still to be formally approved by the University solicitor and the Press Editorial Board

[54] DOAJ application criteria: https://doaj.org/application/new

5.3   Conference Proceedings

The Press also welcomes suggestions for either:

    i.   One off conference proceedings as open access monographs; these must contain peer reviewed papers

                or

    ii.   Annual conferences, which can be treated as serial publications; these must follow the policy for serial publications above.

In each case, an appropriate proposal form is required before submission to the University Press Editorial Board.

5.4   Huddersfield Contemporary Records

Huddersfield Contemporary Records (HCR) was established in 2009 to enhance the profile of the University's music department nationally and internationally and to showcase individual composers and performers in conjunction with CeReNeM (Centre for Research in New Music) and Huddersfield Contemporary Music Festival (hcmf//). Works are commissioned by CeReNeM and hcmf// and subsequently released by HCR as CDs/DVDs and digital downloads.

5.4.1   Peer review

All HCR proposals are commissioned and peer reviewed by CeReNeM.

5.4.2   Contract

Composers and performers are required to sign a contract with HCR to ensure that they have no previous agreed contracts with other music publishers. The contract covers the right of HCR to be the first publisher of the work. However, a composer is then free to release subsequent versions of the work and maintains ownership of copyright.

5.4.3   Royalties

As a not for profit open access publisher, the Press does not pay composer/performer royalties. However, full costs of the recording are covered by CeReNeM and the composer/performer is free to use the recording elsewhere. It is intended that HCR releases will assist in the promotion of live performances.

5.4.4   Distribution

Distribution depends on format. Currently digital downloads are available on the University Repository and/or CD Baby. CD/DVDs are made available via a number of channels including CD Baby, Amazon and the University Online Store.

This business plan proposes that all recording are made available on open access as free downloads. The plan recommends a Creative Commons Attribution-NonCommercial 4.0 licence (CC BY-NC) or Creative Commons Attribution-NonCommercial-ShareAlike 4.0 licence (CC BY-NC-SA). A non-commercial licence will allow HCR to allow others to share its recordings, while ensuring that no profit is made by other parties.

5.4.5 Value chain analysis

Figure 2 uses the value chain to suggest a model based on new innovations such as digital and streaming technology, open access and the role of the artists and performers in the marketing and distribution of the recording. A HCR output is the culmination of an exchange between the researchers (academic staff, visiting professors, PhD students), the funder/sponsor (URF money, European composers' development project, AHRC etc.), CeReNeM and external artists and composers. In some cases the researchers and CeReNeM may be one and the same.

The whole model is based on the Institution/Funder pays business model. Free streaming of HCR recording will help to market live performances, which could offer additional revenue to CeReNeM and hcmf//. Significantly, this chain joins the circle, where audiences can re-use the work for non-commercial means. The audiences themselves may wish to further the work or contact the creators. This helps to increase the impact of the outputs themselves and can potentially seed further research and outputs.
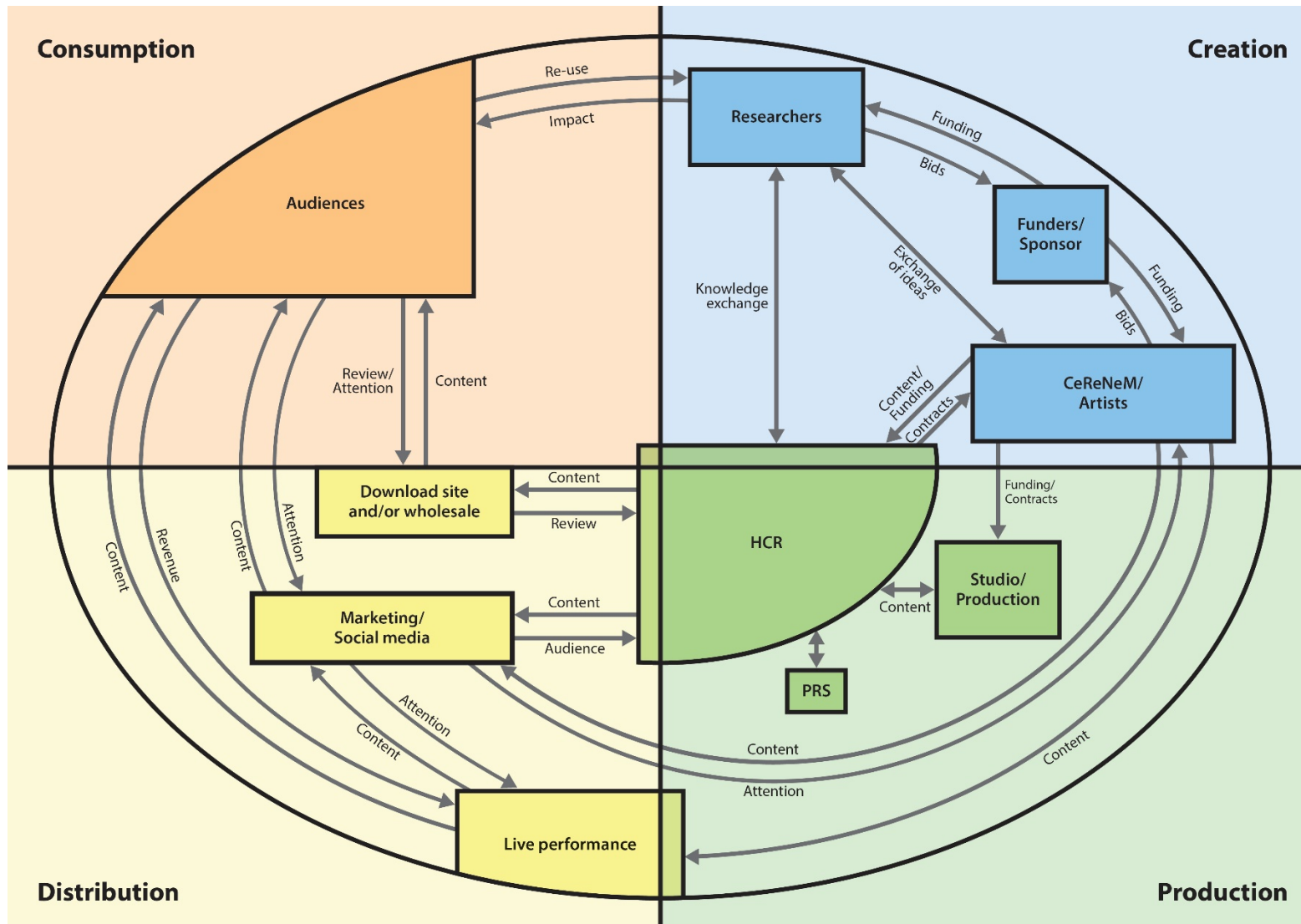
Figure 2. The value chain for HCR (after Bakhshi & Throsby, 2010; Castro-Martínez, Recasens & Jiménez-Sáez, 2013)

6.0 Market and market strategy

6.1 Market Research

Since the beginning of the century the growth of the open access movement has resulted in a number of New University Press (NUP) initiatives often led by university libraries. These initiatives range from simply obtaining an ISBN to leading the whole publishing process. Library publishing, or scholarly publishing in the library, is a growing phenomenon in the United States, where the Library Publishing Coalition (LPC) now boasts 60 members and lists 126 library publishers in its annual directory. The Press is one of only three UK University Presses listed in the 2016 directory.[55]

Regarding NUPs in the UK, university presses at Oxford, Cambridge, Bristol (Polity Press), Wales, Manchester, Liverpool and Edinburgh would be considered as well established. Others university presses such as Exeter, Nottingham, Northumbria, Middlesex, the Open University, Dundee and Leicester live on as imprints of commercial publishers and should be excluded from the NUP list.

Known NUPs in existence are Buckingham, Chester, Hertfordshire, Huddersfield, Imperial, Institute of Education, UCL, UCLan, Westminster, York, Cardiff, St Andrew's University Presses and White Rose Press. Indeed, five university presses were launched in the UK in the 12 months since June 2015 (Lockett & Speicher, 2016).

There are four levels of NUP activity:

a. A self-help consultation level, e.g. hosting of journal software
b. Base level, where the customer does most of the work, with the Press hosting plus some further support, e.g. licence templates, logos etc.
c. Intermediate, where responsibilities are negotiated, e.g. publishing service but copy editing done by authors/editors etc.
d. Extensive, where a full service is provided, e.g. full publishing service and support for authors/editors.

A data gathering exercise has never been carried out to establish the size of the market in the UK regarding NUPs or library publishing ventures.[56] Indeed it would be useful to gather data to provide a wider report that would:

- Identify the relevant presses / library ventures
- Explore if they can be categorised by their mission / vision and objectives (whether they are open access, the types of format, e.g. journals, monographs, music recordings/scores)
- Benchmark their readiness to publish / how established they are
- Identify the funding set up and staff resources
- Identify the technologies and infrastructure employed
- Identify the publishing policies (dual format simultaneously, licensing models, business models)
- Identify dissemination and routes to market.

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[55] http://librarypublishing.org/resources/directory
[56] Jisc is now carrying out a landscape survey in the UK. The project will report in early 2017. For a presentation on the results see Keene, C., Milloy, C., Weigert, V. & Stone, G. http://eprints.hud.ac.uk/28989/

It should be noted that NUPs are not necessarily in direct competition with each other, and there is actually potential for them to work together to share resources and best practice. This would enable them to better serve their community and also compete in a larger market.

6.2   The Market

The market is very much dependent on the imprint and the discipline. For monographs, the market has been in 'crisis' for a number of years, with sales falling and prices rising since the 1980s. Scholarly monographs can expect to sell no more than 200 copies (Willinsky, 2009) and often retail at £50-80. This market is unsustainable as library budgets (the main customers) are cut. However, the potential market is far wider, including libraries, academics, students and researchers and the general public. By making the Press monographs open access and distributing them in the right places, the reach of the Press could be far greater than just 200 copies. For example, Figure 3 shows the impact of *Noise in and as music* regarding full text downloads. In addition, Print on Demand will dramatically reduce the print overheads and result in a more affordable print copy.
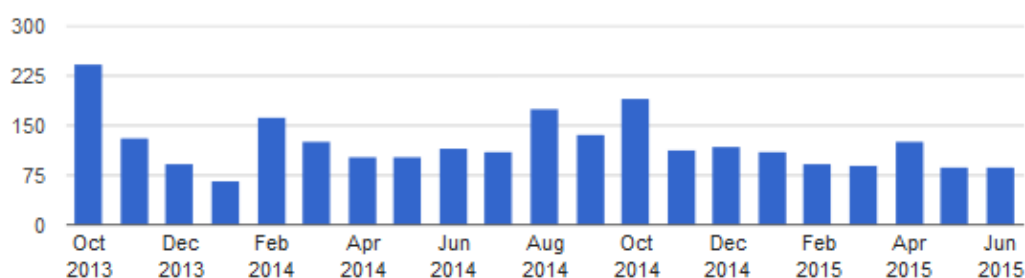
Figure 3. Full text downloads of *Noise in and as music* chapter since publication

Journal prices have been rising dramatically since the 1980s. However, it would be overly ambitious to suggest that the Press could compete with established commercial publishers. The scope of Press titles tend to be more practitioner/research based and often attract early career researchers. Open access is key to this as the business model starts to flip from subscription to open access using APCs. APCs currently average around £1,600 (Pinfield, Salter & Bath, 2016) and by waiving this, the Press becomes attractive to potential authors. The Press is beginning to achieve its goal of having journals included in DOAJ, which is becoming a mark of quality for open access journals.

The CD market is also shrinking since the advent of digital streaming. In addition, the music produced by HCR is best described as niche. There are relatively few university-led music publishers in the UK. However, the continued success of hcmf// and recent research collaborations in CeReNeM attest to the potential market for this genre of music.

6.3   Marketing and Dissemination Plan

The primary raison d'être of the Press is, as an open access publisher, promoting high quality peer reviewed research of the University of Huddersfield (monographs and sound recordings) and other external researchers (journals). Therefore marketing is based upon dissemination rather than actual sales (see below).

Marketing of the Press itself will take place at a number of levels. Firstly the Press must be established as an accepted output for publication of research staff at the University. Face-to-face

meetings have been held with the Director of CLS and the Pro-Vice-Chancellor for Teaching and Learning (both members of the Editorial Board) and Deans and Heads of Research in order to engage senior researchers at a strategic level. In addition, each year a number of staff development sessions are held for both postgraduate researchers and academic staff. These sessions highlight the benefits of open access publishing in general and the Press as a possible route to market. Two guides on Creative Commons and open access publishing for monograph authors have also been produced in conjunction with the AHRC/Jisc funded OAPEN-UK project. Further in house marketing is planned as part of a more sustained training programme in conjunction with the Research and Enterprise Directorate.

External marketing has taken the form of a number of peer reviewed publications, international conference papers and representation on a number of key groups and projects in the UK, such as the OAPEN-UK project and National Monograph Strategy. This has resulted in the Press being represented at a recent event on business modelling for open access monographs. The Press was also one of only two NUPs to be mentioned in the Nation Monographs Strategy Roadmap. The Press was also invited to submit an entry for the 2015 and 2016 Library Publishing Directory. Looking to the future, the Press needs to be represented at various conferences in order to continue to raise its profile.

Regarding publications, the marketing of these depends on the publication itself and the discipline covered. For this reason, the Press agrees a marketing plan (Appendix F) with each author and journal editor in advance of publication. The plan includes a brief analysis of the target market and outlines the roles of the Press, University Central Marketing and Communications, and the author in marketing the publication. For example, for monographs:

The Press will:

- Assign an ISBN and register the title with Nielsen BookData
- Ensure a PDF of the title is deposited in the University repository on open access
- Register the title with the DOAB, where the title meets the criteria
- Make the title available for purchase on the University Online Store (print copies only)
- Notify local book stores of publication where applicable (print copies and local interest only)
- Make a number of copies available for review
- Notify Central Marketing and Communications upon publication.

Central Marketing and Communications, once notified that a work has been published and information has been uploaded to the Repository, will:

- Send details to relevant academic news sites
- Promote over relevant social media channels
- Include the book in the next available issue of Discover, the University's research magazine
- Contact national media outlets
- Pass the information to the University PR team for consideration of a news story.

The Author section of the document is agreed at the meeting and will often include details of how the author will assist in the marketing. For example, the author will be expected to identify possible journals for review, conferences and individual contacts. In respect to conferences, the Press will

produce flyers and further information for the author to distribute (see Appendix J for an example of a previously produced flyer).

The route to market for monographs, where a limited print run is made available for purchase, includes registration with Nielsen BookData. This flags the publication at online sites such as Amazon and Waterstones. The Press is a trusted Waterstones supplier and is registered as a vendor at Amazon. Registration with Nielsen BookData ensures that Press publications are available to wholesalers and library suppliers such as Bertrams, Gardners and Coutts. Every print edition is also available through the University Online Store.

However, this business plan promotes open access. Therefore, dissemination and potential impact are more pertinent than traditional routes to market. In the case of monographs, the Press has successfully registered with DOAB. This ensures that all open access monographs are listed alongside other publishers. The Press is the first UK NUP to have done this. In addition, monographs are available through the University repository. DOAB also promotes access to the repository. This enables Press output to be indexed in Google and Google Scholar as well as Summon, the University's web scale discovery service (other Summon subscribers can also access Press output in this way).

Journals are also submitted to DOAJ for inclusion. The key advantage of submitting Press journals to DOAJ is to maximise discovery. DOAJ is indexed by all of the major discovery services. Therefore inclusion in the directory will lead to further opportunities for discovery in those systems, which accounted for 86% of the UK market in November 2013. Journals are also discoverable through the University repository in the same way (in addition to having their own landing page).

It is proposed that HCR content is made available via the University repository, although further work regarding other routes is required in this area.

6.4   Competition

As mentioned above, there are a number of UK NUPs entering the market, although the Press is more established than most. For monograph publishing, most of these new presses are looking for authors within their own universities. However, there will potentially be competition for journal editors and editorial boards and also edited works and serials. For example, it is feasible that White Rose may see Huddersfield as competition. In addition, there are commercial and established university presses that are already publishing monographs, particularly in the humanities and social sciences where they have been strong, despite overall falling sales. The Press must try to attract those authors who are based at Huddersfield. It has already been successful in doing this in music and history disciplines. There are also other open access monograph and journal publishers entering the market, such as Ubiquity Press, although Ubiquity charge £300 per APC and Huddersfield provides this free of charge.

6.5   Pricing and Sales

The rationale behind the Press is to disseminate the work of the University (and others) to the world via open access. Therefore the concept of sales is largely irrelevant to an open access publisher. In addition, most non open access scholarly monograph publishers never sell more than 200 copies for major publications. If the Press relied on sales alone, prices would be very high to cover costs. This would defeat the aim to disseminate research effectively. Essentially, the Press operates as a service

in the same way that libraries have done for years, by putting consumers in touch with the content that they require at no cost to the consumer. As such, concentration on sales is not appropriate for this plan. However, for monographs it is anticipated that a small number of copies will be printed. More relevant in the long run are downloads for monographs, journals and sound recordings as these show the impact of the research (see Figure 3). Therefore, the Press applies the Creative Commons Attribution 4.0 Unported License (CC BY) to all publications. Under the CC BY, authors retain ownership of the copyright for their output, but authors allow anyone unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited. This allows the publications to be widely disseminated and read at no cost to the reader. It is hoped that this in turn will attract investment/research income to enable publication.

An open access business model means that it is therefore more appropriate to look at costs, rather than pricing.

6.5.1 Monographs

Table 2 shows the publishing costs, or rather the book processing charges (BPCs), for monographs for a range of publishers who make open access publications available as part of their catalogue.

Publisher	Book Processing Charge
Taylor and Francis	£10,000
Manchester University Press	£5,900 for up to 80,000 words. Banded costs for longer works
Palgrave Open	£7,500 - £11,000
Ubiquity Press	£2,860 - £9,340
Springer Open	Depends on size of work
Bloomsbury Academic	None
Open Book Publishers	Approx. £3,500, but only if funding available
Cambridge University Press	£6,500 for up to 120,000 words
UCL Press	Books of up to 100,000 words: £5000

Books of between 100,000 and 150,000 words: £6000

Books of between 150,000 and 200,000 words: £7000

Add £1000 for colour printing |

Table 2. Open access monograph publication fees at June 2015 (Adapted from Collins, Milloy & Stone, 2015 CC BY licence)

Evidence for monographs already published by the Press shows that costs for a scholarly monograph of around 70,000 words are approximately £4K. This includes a limited print run of 100 copies. This would be the advertised cost for non-University authors as a BPC. UCL have similar charges. Like UCL, the Press intends to waive these charges for University authors as part of an Institution/Funder pays model.

EPUB and PDF versions of monographs will be made freely available using a Creative Commons Attribution 4.0 Unported License (CC BY). These will be hosted on the University repository. However, authors are also allowed, under the terms of the licence, to host the contents on other sites and repositories. All monographs will also be available via DOAB. Print copies of the works will be made available in limited numbers using PoD or printed in small batches. These will be made available for sale through a number of outlets including the University Online Store, Amazon and Waterstones. One of the ideals of the Press is to keep both the price and the costs down, therefore print books of up to 100,000 words need to be restricted to around £25 per copy. Major publishers tend to price monographs of this type at around £50-80 per copy. Therefore, if 30 copies were shared by the author, promotional copies and review copies, Selling 70 copies yields a surplus of £1,750 as long as the publishing costs were met by the BPC. This surplus could then be used for marketing, recurrent expenditure or further monograph projects.

6.5.2 Journals and Sound Recordings

All journals published by the Press are available as open access using a Creative Commons Attribution 4.0 Unported License (CC BY). All articles are therefore free to download. In addition, the Press does not charge an article processing charge (APC) to publish. The average journal APC is currently £1,600 per article (Pinfield, Salter & Bath, 2016).

This plan also supports the free distribution of sound recordings from Huddersfield Contemporary Records (HCR). It is proposed that a Creative Commons Attribution-NonCommercial 4.0 licence (CC BY-NC) or Creative Commons Attribution-NonCommercial-ShareAlike 4.0 licence (CC BY-NC-SA) is used.

6.6 Internal marketing

Currently, very little marketing has been undertaken internally with potential authors and journal editors, partly due to sustainability issues. The Director of CLS and the Pro-Vice-Chancellor for Teaching and Learning have met with Deans of School and Heads of Research to discuss the Press and this has resulted in a number of journal and monograph proposals. Other proposals have resulted from word of mouth. In addition a number of staff development sessions have been held regarding dissemination of research and open access publishing and these include mention of the Press.

More could be done and it is suggested that the new Publications and Marketing Manager post holder (see below) should create an advocacy plan in order to grow Press publications, publicise the work of the Press and influence author attitudes to open access.[57]

For the past five years the Press has received interest from monograph authors in the humanities, and journal editors in the arts, humanities and social sciences. The ARL survey (Hahn, 2008) noted

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[57] This post has now been approved and this now needs to form part of an operational plan.

that while most libraries published output from the humanities and social sciences, there was interest from the sciences and also in developing student research publications. This very much mirrors the development of the Press. Student research is now covered by the development of *Fields*. There is interest from the Pharmacy Department in developing the journal *BJPharm*.[58] This is an important area for the Press to concentrate on in the future. Indeed, if the Press is to justify institutional funding,[59] it must by aligned to the University's strengths and be a dissemination platform for the research carried out by the University and this includes science and engineering as well as the arts, humanities and social sciences (Brown, Griffiths & Rascoff, 2007).

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[58] The first volume of the British journal of pharmacy was published in 2016:
http://eprints.hud.ac.uk/journal/bjpharm/
[59] Funding for the 2016/17 and 2017/18 financial years has now been approved. Therefore, the Press needs to demonstrate this in order to receive further funding after 2018.

7.0   Research and development

All Press publications are hosted by the University of Huddersfield repository. As such all research and development is undertaken by the repository and not the Press itself, although both the Press and the repository are managed within the same team. The repository itself is hosted by EPrints at the University of Southampton. Funding for upgrades to the repository usually come from the CLS budget. In the past there have been some enhancements to the repository, such as SNEEP (Social Networking Extensions to EPrints), which have come from funding for Press initiatives. In either case enhancements to the repository benefit both the repository itself and Press publications. All R&D relating to the University repository will be carried out in conjunction with EPrints and will use open source software. New developments will then become available for other EPrints users via the EPrints Bazaar.[60]

The Press will develop publication formats such as EPUB as part of the publication process. This will be done as new work is commissioned and will be in partnership with external agencies, such as Dunn and Mills Heritage (formerly Jeremy Mills Publishing) who assist the Press in design and typesetting.

R&D regarding journal publications is the responsibility of the journal editors in conjunction with the University repository, e.g. video, multimedia.

R&D regarding sound recordings is the responsibility of CeReNeM who commission and produce all output in this area.

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[60] EPrints bazaar: http://bazaar.eprints.org/

8.0   Basis of operation

The Press is administered on behalf of the University of Huddersfield by Computing and Library Services.

There are a number of policies in place regarding the Press and Scholarly Communications at the University and these are attached as Appendix B and C.[61]

All staff directly working on the Press are employed by CLS. For example, administration and management of the Press. Going forward the following structure has been identified for the Press to continue and potentially expand its operation:

Collections and scholarly communications librarian (0.2 FTE)

One of the duties of this post (approximately 0.2 FTE) is to be responsible for the management and development of the University of Huddersfield Press in order to provide an outlet for publication for University authors; through the Editorial Board, to encourage new and aspiring authors to publish in their areas of subject expertise, and to raise the profile of the University through Press publications.

Publications and marketing manager (0.6 FTE)[62]

This new post will report to the Collections and scholarly communications librarian. The post holder will be required to assist in setting up publishing management workflows to manage the peer review and production processes of the entire publishing programme. The role supports the Press in order to oversee the production of academic monographs and textbooks in all subject areas, from receipt of manuscript through to publication, as well as assisting with sales and marketing. The post will co-ordinate journals published by the University Press, liaising with the various editorial boards and providing technical and editorial advice. The post holder will also liaise with CeReNeM over the commissioning and release of sound recordings through HCR.

Adding an additional staff member to the team enables the Press to become a viable operation by adding the following essential duties,

- Assist in plugging gaps in the process such as paying closer attention to the needs of authors and editors at the planning and writing stage
- Provide better marketing to increase sales with follow up and analysis after launch
- Provide publishing management workflows to manage the peer-review and production process
- Liaise with the various editorial boards
- Provide technical and editorial advice.

Without this post there is a danger that it would not be possible to grow the portfolio successfully, thus undermining sustainability (further details regarding this post are described in Appendix K).

Other staff, listed in section 9.0, contribute to the Press as part of their current posts. All premises, equipment and insurance are covered by the University of Huddersfield.

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[61] It should be noted that these are currently being revised.
[62] This post was approved in the 2015/16 financial year

9.0   Management

The Press is managed by Computing and Library Services. Decisions on publications are taken by an academic-led Editorial Board. Following evaluation of proposals based on agreed criteria and peer review. The Editorial Board comprises senior representatives from Schools, Research and Enterprise, and Computing and Library Services.

The University Press Editorial Board members (June 2015) are:[63]

Prof Tim Thornton	Pro-Vice-Chancellor for Teaching and Learning (Chair)
Sue White	Director of Computing and Library Services
Prof Chris Cowton	Dean of the Business School
Prof Bob Cywinski	Dean of the Graduate School
Prof Janet Hargreaves	Associate Dean, Learning and Teaching, School of Human and Health Sciences
Dr Martyn Walker	Head of Department, Post-Compulsory Education and Training, School of Education and Professional Development
Prof Monty Adkins	Professor of Experimental Electronic Music, School of Music, Humanities and Media
Graham Stone	Collections and Scholarly Communications Librarian
Rebecca McCall	University Solicitor
Michaela Boryslawskyj	University Secretary
Megan Beech	Marketing Officer - Research and Enterprise
Lisa Ward	Head of Teaching and Learning Institute
Ann West	Secretary

In addition to the members of the Press Editorial Board, all journals published by the Press have their own editorial boards, many of which are international in scope. For example, the editorial board of Identity Papers, is as follows:

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[63] The membership of the Editorial Board was revised in 2016. Current membership is available at: http://unipress.hud.ac.uk/about,us/

Editorial Co-ordinator, Dr Jodie Matthews (School of Music, Humanities and Media, University of Huddersfield, UK)

Professor Paul Ward (School of Music, Humanities and Media, University of Huddersfield, UK)

Professor Paul Thomas (School of Education and Professional Development, University of Huddersfield, UK)

Professor Jim McAuley (School of Human and Health Sciences, University of Huddersfield, UK)

Dr Dalea Bean (University of the West Indies, Jamaica)

Dr Tanya Bueltmann (Northumbria University, Newcastle, UK)

Professor Rachel Cowgill (School of Music, Humanities & Media, University of Huddersfield, UK)

Dr. Ander Delgado (University of the Basque Country, Spain)

Dr John Ellis (University of Michigan, Flint, US)

Dr Milan Ferenčík (University of Prešov, Slovakia)

Dr Lisa Fletcher (University of Tasmania, Australia)

Professor Romain Garbaye (Université Paris 3, Sorbonne Nouvelle, France)

Professor Bill Jones (Cardiff University, UK)

Dr Kristin Lindfield-Ott (University of the Highlands and Islands, UK)

Dr Jim MacPherson (University of the Highlands and Islands, UK)

Professor Don MacRaild (University of Ulster, NI)

Professor Paul Nesbitt-Larking (Huron University College, Canada)

Professor Stephen Royle (Queen's University Belfast, NI)

Professor Gavin Schaffer (Birmingham University, UK)

Professor Nóra Séllei (University of Debrecen, Hungary)

Dr Daniel Travers (Laurentian University, Canada)

Dr Philipp Erchinger (University of Düsseldorf, Germany)

10.0   Principal risks and problems

The Press is an exercise in *scholarly communication* rather than a profit driven business. Monographs, journals and sound recordings may contribute to the post 2014 REF and could result in further research funding. Appendix L models potential financial benefits from research income and QR funding.

Regarding business models, commercial open access business models for journals are well established. Business models for monographs and NUPs as a whole are less developed and this is an area of risk. A number of projects and reports have been investigating this since 2010. These include the National Monograph Strategy, the Crossick Report, which included an economic analysis of business models by London Economics, and the OAPEN-UK project. The Press participated in a SWOT analysis of potential open access monograph business models held by the OAPEN-UK project in March 2015. For the purposes of this business plan the definition of a business model is aligned with the Crossick report,

> …a combination of actors and processes (including flows of funds) that carry out the publishing function in a replicable manner at some scale. In other words, to qualify as a business model, the operation has to be a serious attempt to produce books on an ongoing basis for a sizeable readership (London Economics, 2015).

The business model applied to the Press falls into the Author/Institution/Funder-pays model as used in the OAPEN-UK SWOT analysis.[64]

10.1   SWOT analysis

The SWOT analysis carried out by the OAPEN-UK project is developed further below with particular reference to the Press.

Strengths. A principal strength of the press is ***dissemination***. Open access publications can reach a greater audience than traditional publications. For example, Google, Google Scholar, web scale discovery systems, DOAB and DOAJ. Print runs of monographs will also mean that traditional markets are also covered. ***Open Access*** itself is a strength as the Library already has a great deal of knowledge and experience in this area. ***Sustainability*** is also a strength for those authors that have access to research funding, such as Leverhulme Trust, Heritage Lottery Funding or European funding. Although a relatively new venture, the Press uses traditional peer review methods and this may enhance the ***integrity*** of publications. In addition, international journal editorial boards and a backlist of well-established monograph authors also enhance the Press's profile.

Weaknesses. The majority of Press monograph publications have been in the humanities. Therefore, while it is a strength for those that have funding, it may be a weakness for others. This would depend very much on the amount of institutional funding or sponsorship that might be available and how this was administered. For example, if the sponsorship for publications was on a first come first serve basis, a number of high quality monographs may not be published. Therefore ***sustainability*** is a weakness for the Press. In the same vein, ***integrity*** is a weakness for the Press as it seeks to raise its profile and grow esteem in new areas. This is not so much a disadvantage of the model, rather an issue that all publishers face when attempting to move into new markets. Another issue here is

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[64] This model is justified in the accompanying thesis

competency; a library based venture may lack the necessary skill sets needed to run a professional publishing venture. As stated above, the Press is essentially a project around scholarly communication, rather than a commercial business.

Opportunities. The Press has the opportunity to become *embedded* in the academic and funding process. This could put the Press in a very strong position. If proposals are put forward as part of a research bid, successful funding applications could guarantee a number of high quality works. The close connection with the library also ensures that existing skill sets can be used. For example, knowledge of archiving and preservation, licensing and information discovery and open access. This potentially contributes to increased *dissemination*. In addition, the Press is small enough to *innovate*, not just around open access publications, but also around formats, such as EPUB, PDF, video, print etc. In addition the model helps to support *early career researchers*, particularly through the publication of journal articles and the conversion of theses to peer reviewed scholarly monographs.

Threats. The principal threats for the Press are *sustainability* and *scalability*. There is a risk of *too little output or low quality proposals*. The Press is dependent on researchers wanting to publish with the Press. Without a sufficient number of monograph suggestions, the Press will start to falter. This is also true for journals; without at least six articles per issue, titles will start to become ineligible for DOAJ and will eventually cease. In order to address this risk the Press needs to build a reputation within and outside the University so that researchers feel that publishing with the Press will add to their academic esteem. Conversely, *too many outputs* could also be harmful to the Press. At present, the number of journals and monographs published by the Press is manageable. However, if outputs continue to increase – and it is important to note that new monographs and journals have been proposed despite very little internal marketing within the University – there may be a *staffing resource* issue. At present the majority of Press duties are carried out by one member of staff, with some administrative support where appropriate. This is clearly a risk, partly because having only one member of staff responsible for the day-to-day operation of the Press is to have a single point of failure. However, if the number of publications increases as the Press becomes more successful, there is a danger that the Press will become a victim of its own success and unable to adequately support authors. The appointment of the additional post described above will help to mitigate this risk. The issue here is that open access publishing via a New University Press is a very new field and the *business models* are largely untried. The benefit is that a number of scenarios are being tested by different publishers. However, an open access press is partly a leap of faith for the University.

Many of the issues raised above fall into more than one part of the SWOT and as such are dependent on funding and institutional commitment in order to move into the strengths and opportunities areas.

11.0   Financial information

Many of the weaknesses and threats faced by the Press focus around sustainability of the business model. At the heart of any sustainability planning is the funding model. In the case of the Press this model depends on financial support from funders and sponsors, including external agencies such as RCUK, Wellcome, FP7 post-grant Open Access publishing funds, University Research Institutes and Schools and Computing and Library Services. Therefore, funding is an important part of the proposal process – but not at the cost of peer review. A publication that does not pass the peer review process will not be published, regardless of available funding.

As an open access publisher, the Press aims to cover its operating costs but does not seek to make a profit. Therefore any surplus made by sales are re-invested into the Press. It also allows the Press to subsidise publication under exceptional circumstances. The combination of Institutional/Funder grants, the use of existing CLS staff (including the proposed Publications and Marketing Manager – Appendix K), open access publishing using digital formats and limited print runs for monographs and some cash recovery through monograph sales enable the operating costs to be far lower than traditional publishing methods. Print publishing is outsourced according to best value, using local printers where possible. Finally, the Press does not pay author royalties, instead the use of Creative Commons licences allow author to re-use the content, providing the Press has the right to first publication.

11.1   Schedule of Capital Costs

Typically costs for a 70,000 word monograph are approximately £4,000 depending on the number of images, complexity of the typesetting and volume of print copies. Publications with large print runs will cost considerably more. Journals require a one off set-up cost of approximately £750 per title. Copy editing costs for journals are not factored in to these calculations as this is the responsibility of the editorial board. Sound recording costs are fully covered by CeReNeM. All other one off costs, such as the initial building of the open access platform for journals, have been covered by external funding. Further costs are met by CLS as part of the existing contract with EPrints for the University repository.

Recurrent costs are listed in Table 3. These are currently met by any surplus the Press may make and a contribution from the CLS budget. This acts to subsidise any losses incurred and is further demonstrated in Appendix L, which shows profit and loss forecasts based on an increase in monograph and journal publications over the next five years. It should be noted that all costs for Huddersfield Contemporary Records are covered by CeReNeM; equally, all future surpluses will be passed directly to CeReNeM.

Membership	Costs per annum
CrossRef membership	£220
COPE Membership	£190
DOAJ membership	£400
Portico publisher membership	£210
SPARC Europe membership	£1,430
OASPA membership	£200
Total	**£2,750**

Table 3. Approximate recurrent costs (2015/16)

11.2 Demonstrating Value

The Press is not a for-profit enterprise, it is an exercise in scholarly communication. Rather than monetizing the Press, it is more important to demonstrate the reputational value to the University. If the Press is able to demonstrate value, it can justify financial support from the University. Ensuring a high level of academic rigour by following strict peer review and ethical guidelines is one such way of demonstrating value. Another is in the ability of Press publications to assist researchers in obtaining further research income, an example here is the indirect return on investment offered by the recent 2014 REF or the number of downloads and citations for various monographs and journal articles. In order to demonstrate value, the Press will use the Benefit-Value Indicator Map (Table 4).

Service	Benefit	Beneficiaries	Indicators/Metrics
Providing a publishing channel for faculty/student research	Support faculty and administration in tenure and promotion processes	• Local faculty as authors • Host institution	• Size of faculty population served • Books, articles published via channel • Works published via channel cited in T&P applications
	Increase channels for publishing original research	• Local faculty as authors • Local students as authors • Local proxies for researchers (academic departments, research centers, etc.)	• Size of faculty/student populations served • Books, articles published via channel (indicating output) • Online local usage statistics (indicating visibility and potential impact)
		• Researchers outside host institution	• Size of market(s) served • Sales volume (indicating use/reach of content) • Online usage statistics (indicating use/reach of content)
	Increase visibility of faculty research and of their home departments and research units	• Faculty as authors • Host institution • Academic departments and research units	• Online usage statistics • Collateral online traffic driven by content use
	Attract and retain faculty and students	• Academic departments and research units	• Reputation and brand indicators (e.g., enrollment increases, ability to attract external funding, faculty satisfaction)
	Lower cost of access to content	• Faculty as researchers • Students as researchers • Libraries	• Average price per volume (cost relative to alternatives) • Online usage statistics (cost per access)
	Contribute to the strategic priorities of host institution (e.g., supports interdisciplinary research)	• Host institution • Sponsoring academic units	• Size of populations served • Use and visibility metrics (online use, sales volume, etc.) for strategically important fields or programs

Table 4. Example Benefit-Value Indicator Map for a New Publishing Channel (Crow, 2009 used under a CC BY-NC-ND licence)

Appendix L demonstrates the potential reputational value to the University in research income based on the outputs from the Music Department in the 2014 REF exercise.
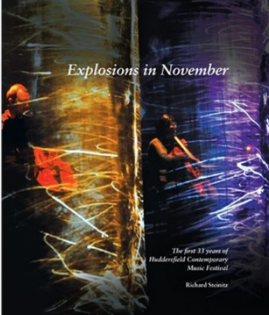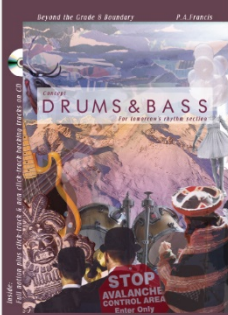
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Appendix A: University of Huddersfield Press Publications to date

Monographs

Steinitz, R. (2011). Explosions in November: The first 33 years of Huddersfield contemporary music festival. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/explosions.2011	

Explosions in November tells the story of one of Europe's leading cultural institutions, Huddersfield Contemporary Music Festival (hcmf//), through the eyes of its founder and former artistic director, Professor Richard Steinitz.

From its modest beginnings in 1978, when winter fog nearly sabotaged the inaugural programme, to today's internationally renowned event, hcmf// has been a pioneering champion of the best in contemporary music.

Now Richard Steinitz brings his insider view on the people behind the festival and how they made each year a success. He recalls his encounters with some true giants of music, including Boulez, Berio, Cage, Ligeti, Stockhausen and Xenakis. Discover how the author survived mushroom-hunting with John Cage, how the festival engineered a historic reconciliation between Cage and Pierre Boulez and how a ceiling fitting nearly brought Stockhausen's career to a premature end. It is a compelling, inspiring and often entertaining story.

Explosions in November reveals the full picture of a festival that continues to surprise, delight and provoke its audiences to this day.

Francis, P.A. (2012). Drums and Bass: for tomorrow's rhythm section. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/drums.2012	

Performance and recital repertoire for tomorrow's rhythm section. Comprising of original music for drummers and bass players, with fully annotated scores and CD backing tracks with and without click tracks. Ideal for the graduate level popular music performer, or for those just wanting a new and exciting musical challenge.

Drum and Bass presents pieces that are of level 4 -6, and can be used in conjunction with diploma or undergraduate performance studies.

Francis, P.A. (2012). Grooves for guitar. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/grooves.2012	
Performance and recital repertoire for the aspiring guitarist. Comprising of original music with fully annotated scores and CD backing tracks with and without click tracks. Ideal for the intermediate or graduate level popular music performer, or for those just wanting a new and exciting musical challenge.	
Adkins, M., & Dickens, P. (Eds.). (2012). Shibusa: Extracting beauty. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/shibusa.2012	
Shibusa – Extracting Beauty celebrates a number of artistic endeavours: music, painting and the skill of making in general with particular reflection upon Japanese aesthetics. Composer, Monty Adkins and visual artist, Pip Dickens (through a Leverhulme Trust Award collaboration) investigate commonality and difference between the visual arts and music exploring aspects of rhythm, pattern, colour and vibration as well as outlining processes utilised to evolve new works within these practices. The hand-cut paper Katagami stencil: a beautiful utilitarian object once used to apply decoration on to Japanese kimonos, is used as a poignant symbol – the 'hand-made machine' - by Adkins and Dickens both within the production of paintings and sound compositions and as a thematic link throughout the book. The book reviews examples of a number of contemporary artists and craftspeople and their individual approaches to 'making things well'. It explores the balance between hand skills and technology within a work's production with particular reference to Richard Sennett's review of material culture in The Craftsman. Shibusa – Extracting Beauty includes contributing essays by arts writer, Roy Exley, who examines convergence and crossover within the arts and an in-depth history, and review, of the kimono making industry by Kyoto designer, Makoto Mori.	

Hargreaves, J. A., & Haigh, E. A. H. (Eds.). (2012). *Slavery in Yorkshire: Richard Oastler and the campaign against child labour in the industrial revolution.* Huddersfield: University of Huddersfield Press.
http://dx.doi.org/10.5920/slavery.2012
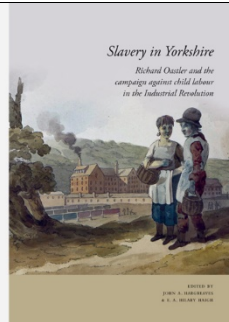
This new collection of essays based upon a conference at the University of Huddersfield, generously supported by the Heritage Lottery Fund, explores the links between Richard Oastler's extraordinarily influential campaign against child labour in Yorkshire after 1830 and the remarkably successful campaign to abolish the transatlantic slave trade led by Yorkshire MP William Wilberforce before 1807. With contributions from D. Colin Dews, Dr John Halstead, Dr John A. Hargreaves, Dr Janette Martin, Professor Edward Royle and Professor James Walvin, it evaluates the distinctively Yorkshire context of both movements and offers a re-assessment of Oastler's contribution to their success. It reveals how Oastler's associations with both evangelical Anglicanism and Nonconformity, especially Methodism, stimulated and sustained his involvement in the ten-hour factory movement and examines the role of the regional press, local grass-roots organisation and Oastler's powerful oratory in helping to secure a successful outcome to the campaign. In a foreword, the Revd Dr Inderjit Bhogal, a leading figure in both the regional and national commemoration of the abolition of the transatlantic slave trade in 2007, commends this wide-ranging historical study 'with its broad perspective as an important contribution to making us all more informed on the whole theme of slavery today'.

Swindells, S. & McAra, C. (Eds.). (2012). ROTOR: Part I Transdiciplinary dialogue and debate. Huddersfield: University of Huddersfield Press.
http://dx.doi.org/10.5920/rotor.2012.1

ROTOR is a two-year programme of exhibitions, public events and talks at Huddersfield Art Gallery featuring the transdisciplinary work of art and design staff from the University of Huddersfield. ROTOR showcases a community of artists, designers and curators whose ideas and connective practices migrate and span artistic production, techno-design research, craft and cultural studies. ROTOR is located at the pivot between art and design disciplines and society, where points of intersection and engagement are considered and debated from multiple perspectives. The programme signals a unique partnership between Huddersfield Art Gallery and the University of Huddersfield to present a broad spectrum of practices and dialogues. Each exhibition features a number of public events in the form of artist/designer and curator talks, student ambassador tours, reading groups and film screenings.

Swindells, S. & McAra, C. (Eds.). (2013). ROTOЯ: Part II Transdiciplinary dialogue and debate. Huddersfield: University of Huddersfield Press.
http://dx.doi.org/10.5920/rotor.2013.2

ROTOЯ is a two-year programme of exhibitions, public events and talks at Huddersfield Art Gallery featuring the transdisciplinary work of art and design staff from the University of Huddersfield. Now in its second year, ROTOЯ showcases a community of artists, designers and curators whose ideas and connective practices migrate and span artistic production, techno-design research, craft and cultural studies. ROTOЯ is located at the pivot between art and design disciplines and society, where points of intersection and engagement are considered and debated from multiple perspectives. The programme signals a unique partnership between Huddersfield Art Gallery and the University of Huddersfield to present a broad spectrum of practices and dialogues. Each exhibition features a number of public events in the form of artist/designer and curator talks.

Cassidy, A., & Einbond, A. (Eds.). (2013). Noise in and as music. Huddersfield: University of Huddersfield Press.
http://dx.doi.org/10.5920/noise.2013
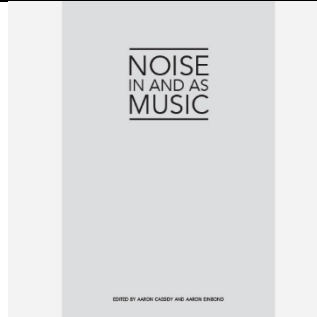
One hundred years after Luigi Russolo's "The Art of Noises," this book exposes a cross-section of the current motivations, activities, thoughts, and reflections of composers, performers, and artists who work with noise in all of its many forms. The book's focus is the practice of noise and its relationship to music, and in particular the role of noise as musical material—as form, as sound, as notation or interface, as a medium for listening, as provocation, as data. Its contributors are first and foremost practitioners, which inevitably turns attention toward how and why noise is made and its potential role in listening and perceiving.

Contributors include Peter Ablinger, Sebastian Berweck, Aaron Cassidy, Marko Ciciliani, Nick Collins, Aaron Einbond, Matthias Haenisch, Alec Hall, Martin Iddon, Bryan Jacobs, Phil Julian, Michael Maierhof, Joan Arnau Pàmies, and James Whitehead (JLIAT).

The book also features a collection of short responses to a two-question "interview"—"what is noise (music) to you?" and "why do you make it?"—by some of the leading musicians working with noise today. Their work spans a wide range of artistic practice, including instrumental, vocal, and electronic music; improvisation; notated composition; theater; sound installation; DIY; and software development. Interview subjects include Eryck Abecassis, Franck Bedrossian, Antoine Chessex, Ryan Jordan, Alice Kemp (Germseed), George Lewis, Lasse Marhaug, Maja Solveig Kjelstrup Ratkje, Diemo Schwarz, Ben Thigpen, Kasper Toeplitz, and Pierre Alexandre Tremblay.

Glover, R. & Harrison, B. (2013). Overcoming Form: reflections on immersive listening. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/of.2013	

This short collection of essays focuses on four areas of immersive sound environments: repetition, sustained tones, performed installations and approaches to extended forms. Through in depth exploration of the experiential nature of these subjects, the authors offer reflections upon the materials used for these environments, how they are organised, and the consequences of this on how we listen.

Sahota, H. S. (2014). Bhangra: Mystics, music and migration. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/bhangra.2014	

Bhangra: Mystics, Music and Migration explores the origins of this folk song and dance from the Panjab in South Asia and its development into part of modern British culture in the hybrid soundscape of British Bhangra and beyond.

This book originated in academic research and the Heritage-lottery funded Bhangra Renaissance project. Through ethnographic research, oral history interviews, performances, photography, story-telling and community activity it celebrates the past contribution of all those involved in Bhangra.

This ground-breaking work provides an in-depth history of the spiritualism of performance and song, and an overview of the artists involved in influencing its development, as well as contemporaries leading the way of Bhangra's renaissance amongst the South Asian diaspora in the UK and around the world.

Stansfield, J. M. (2014). Huddersfield's roll of honour, 1914-1922. Huddersfield: University of Huddersfield Press.	
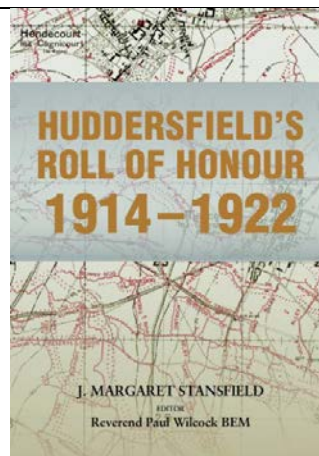
Huddersfield's Roll of Honour 1914-1922 is a detailed account of 3,439 service personnel from Huddersfield who lost their lives during the First World War. In the Preface, HRH The Duke of York KG writes:

"This publication represents the lifetime work of Margaret Stansfield who sadly passed away in 2012. Margaret spent 30 years compiling the 3,439 biographical entries giving a poignant insight into the background, working lives and families of those who selflessly left Huddersfield to fight for their country never to return".

Along with the biographical accounts there are many moving letters to the families of soldiers who lost their lives reflecting an attempt to bring comfort amid the darkness that their loss brought to both families and comrades alike.

McAra, C., Powell, A. & Swindells, S. (Eds.). (2014) ROTOЯ Review. Huddersfield: University of Huddersfield Press. http://dx.doi.org/10.5920/9781862181199	

The ROTOЯ partnership between Huddersfield Art Gallery and the University of Huddersfield was established in 2011. ROTOЯ I and II was a programme of eight exhibitions and accompanying events that commenced in 2012 and was completed in 2013. ROTOЯ continues into 2014 and the programme for 2015 and 2016 is already firmly underway. In brief, the aim of ROTOЯ is to improve the cultural vitality of Kirklees, expand audiences, and provide new ways for people to engage with and understand academic research in contemporary art and design.

Journals

Fields: journal of Huddersfield student research	
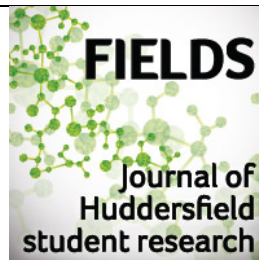
Fields: journal of Huddersfield student research is a peer reviewed journal developed as part of the 2013-2018 University of Huddersfield Teaching and Learning strategy. The journal features primarily work by undergraduate students but can include occasional postgraduate taught work. The journal will only accept submission from students registered at the University of Huddersfield and will include articles but also welcomes submissions from practice based research which can include poems, designs, music scores, drama productions, case studies etc. Where creative or non-textual work is submitted a short commentary is required. The remit is to support and showcase the best of our student work in terms of research across all the seven Schools that make up the University of Huddersfield. The main aims and objectives include the following:

- Showcase work that demonstrates significance, rigour and high standards of research
- An opportunity for students to develop and hone their writing for publication skills and still meet the normal academic standard expected in published journals

- A space for undergraduates who have undertaken extra-curricular research to present their findings to a wider audience and to the benefit of that audience
- Promote the development of a community of people exploring ideas through research
- An effective method of introducing undergraduate students to academic publications.

Identity Papers	**Identity Papers:** A Journal of British and Irish Studies

The University of Huddersfield's Academy for British and Irish Studies was established in 2009, and this journal develops out of its varied and interdisciplinary work. It seeks a wide and cross-disciplinary audience from inside and outside the university sector, and draws on robust research to communicate ideas connected with identities in Britain and Ireland, today and in the past, in a readable way. Centrally, it aims for 'accessibility with rigour'.

In format somewhere between an academic journal, an intelligent magazine, and a contributor blog, Identity Papers brings together the work of academics and non-academics whose research focuses on any aspect of contemporary and historical British and Irish Studies. It showcases learned comment, considered opinion, and reflective reviews relating to studies of identity and citizenship. It is a collection of thought that crosses and shifts disciplinary boundaries through dialogue and juxtaposition. It explores Britishness, Irishness, and other identities in the British Isles, and their components in the past, the present, and between the two. It frames and reframes debate, and focuses and refocuses key issues.

Its themes include, but are by no means limited to: histories, politics, culture(s), literatures, identities, minorities, extremism, racism, communities, citizenship, nationalities, regions, the post/colonial, diaspora, territories.

Journal of Performance Magic	The Journal of Performance Magic

Despite the perennial reports of magic's demise at the hands of both old and new media Performance Magic is more popular and inventive than ever before. It is a performance art with a vibrant culture of live performances, popular TV shows, and emerging forms that use the street and the internet to create unique performances, to stage challenging effects and to engage new audiences and practitioners. The popularity of contemporary performance magic now rivals the magic assemblage of the nineteenth century's 'golden age' of magic and certainly overshadows it both invention and in its astonishing scope.

The Journal of Performance Magic focuses on a multidisciplinary and contemporary approach to the field. Covering the influence, legacy and future of performance magic on wider performing arts practice and other diverse academic disciplines. In recent years the academic study of performance magic has made exciting creative links within emerging disciplines; such links include the cognitive sciences, architectural design, and emerging technologies. The Journal of Performance Magic seeks to strengthen these links as well as encourage reflection on areas of

performance magic not already covered in publication and develop new perspectives on areas already heavily researched.

The Journal of Performance Magic is intended to serve a wide and international academic and non-(traditional) academic community, and invites contributions from researchers and practitioners throughout the world and from a wide range of disciplines. Contributions will be welcomed form areas including but not exclusively; performance training, psychology, scripting, scenographic invention/application, magic technology, ethics, narrative/story-telling, theme parks.

Mental Health and Learning Disabilities Research and Practice (Archived)	

Mental Health and Learning Disabilities Research and Practice is a joint publication between South West Yorkshire Mental Health NHS Trust and the University of Huddersfield. Mental Health and Learning Disabilities Research and Practice will encourage a wide range of material which is accessible to a broad audience. It will appeal to a wide range of mental health practitioners, social care practitioners, researchers, educators, users of mental health services, carers, and voluntary sector workers.

Mental Health and Learning Disabilities Research and Practice aims to be a good quality peer reviewed journal with well-presented material. The journal aims to be inclusive as possible and supportive of first time or novice researchers and writers.

Postgraduate Perspectives in History (now Postgraduate Perspectives on the Past)	POSTGRADUATE PERSPECTIVES IN HISTORY

Postgraduate Perspectives in History has been established with the aim of disseminating a wide range of high quality historical research. The journal will provide an opportunity for postgraduate historians to publish on a range of themes and places, from medieval to contemporary and including British, European and world history, reflecting on the current state of the field and offering new perspectives. The emphasis is on making the publishing process supportive, inclusive and genuinely helpful to students publishing for the first time.

RADAR: Review / Art / Design / Architecture / Research	radar

RADAR is published annually by the School of Art, Design and Architecture. The review highlights the interdisciplinary and diverse work taking place in the School, as represented through the

selected profiles of our current academics. Encompassing a variety of practices and research interests, RADAR includes a range of early career to established researchers. Its intention is to communicate and signal our research both internally and more importantly externally. We hope that RADAR acts as an open invitation for artistic and intellectual exchange and for collaborations in the education and creative industry sectors. We see RADAR as a way to seek mutual benefit; we recognise that research is never individual but is inherently collaborative. This manifold nature leads to an increasing potential of research and enterprise to contribute to the cultural, social and economic well-being of society.

Teaching in Lifelong Learning: a journal to inform and improve practice	**Teaching in Lifelong Learning** A journal to inform and improve practice A Cross-CETT Collaboration
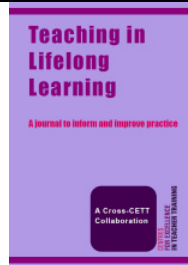
Teaching in Lifelong Learning: a journal to inform and improve practice was conceived and initiated as one element within the Huddersfield University Centre for Excellence in Teacher Training (HUDCETT) provision, incorporating its partner colleges and wider networks in the lifelong learning sector (LLS), in 2007. The remit is to support initial teacher training (ITT) and continuing professional development (CPD) across the wider LLS and including higher education. The other CETTs (in terms of editorial, peer reviewers and submission of papers) that exist across England (some 10 in total) also support the journal. The main aims and objectives include the following:

- Papers that reflect on work that focuses specifically on teacher/practitioners, trainee teachers and teacher educators in ITT and CPD across the Lifelong Learning Sector (including higher education)
- An opportunity for novice researchers from the sector to develop and hone their writing for publication skills with shorter papers (two to four thousand words) but yet are peer reviewed and meet the normal academic standard expected in published journals
- A space for practitioners who have undertaken dissertations at Masters level or who have undertaken research in their own organisations, to present their findings to a wider audience and to the benefit of that audience
- Contributions to practitioners' understanding of pertinent issues that would inform their practice, thus improving their capacity and that of the sector in quality enhancement
- As a cross-CETT production, the journal is an accessible, relevant and focussed publication that is written by the sector, about the sector and for the sector
- An effective method of introducing trainee teachers to academic publications
- A journal that can be used to inform policy-makers and stakeholders and represent a thoughtful, considered and practical approach yet founded on solid academic constructs.

Huddersfield Contemporary Records

<table>
<tr>
<td>Berweck, S. (2009). Extended piano. Huddersfield: Huddersfield Contemporary Records.</td>
<td></td>
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<tr>
<td colspan="2">This collection of works extends the arena of action for both the piano as an instrument and the pianist as performer.

An expansion of the notion of music itself is necessarily linked to an extension of the instrumental boundaries; the piano cannot be spared from this process, lest it permanently become a "piece of furniture," as Helmut Lachenmann had already characterized it in the late 1970's. Which paths the extension can take is demonstrated by Sebastian Berweck on this CD, with compositions which approach the dissolution of ossified pianistic convention from a variety of perspectives. (liner notes by Michael Rebhahn, translated by Philip Blume, "Leaving the comfort zone: Sebastian Berweck's revision of the piano").</td>
</tr>
<tr>
<td>Elision Ensemble. (2010). Strange forces. Huddersfield: Huddersfield Contemporary Records.</td>
<td></td>
</tr>
<tr>
<td colspan="2">Recorded by ELISION who were Ensemble-in-residence with CeReNeM during 2009-10. Strange forces (music by Aaron Cassidy, Richard Barrett, Evan Johnson, Klaus K. Hübler, Liza Lim and Timothy McCormack) were launched on 23 November 2010 at ELISION's concert during the Huddersfield Contemporary Music Festival.

The CD was recorded in partnership with the German radio station, Radio Bremen and feature works premiered during hcmf 2009 and ELISION's Kings Place concert series in London. Musicologist Tim Rutherford-Johnson has written the liner notes for both discs.</td>
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Elision Ensemble. (2010). Transference. Huddersfield: Huddersfield Contemporary Records.	
Recorded by ELISION who were Ensemble-in-residence with CeReNeM during 2009-10. Transference (music by Mary Bellamy, Bryn Harrison, Aaron Cassidy and Liza Lim) were launched on 23 November 2010 at ELISION's concert during the Huddersfield Contemporary Music Festival. The CD was recorded in partnership with the German radio station, Radio Bremen and feature works premiered during hcmf 2009 and ELISION's Kings Place concert series in London. Musicologist Tim Rutherford-Johnson has written the liner notes.	
Cox, G. & Marley, K. (2011). Nothing but the hours. Huddersfield: Huddersfield Contemporary Records.	
Double DVD set with three films by Geoffrey Cox and Keith Marley: No Escape, A Film about Nice, Cider Makers and extras: Introducing: w.c. lowry and I'm Not Elvis. Music by Geoffrey Cox, performance by Philip Thomas.	
Various artists. (2011). In search of the miraculous. Huddersfield: Huddersfield Contemporary Records.	
The works display a great diversity in artistic practice and technical means, yet there are also common threads running through the collection: relations between the natural world and human ritual, the idea of sonic phenomena experienced as an embodied or spatialised presence, worlds of play and memory 'in search of the miraculous' (from liner notes by Monty Adkins).	
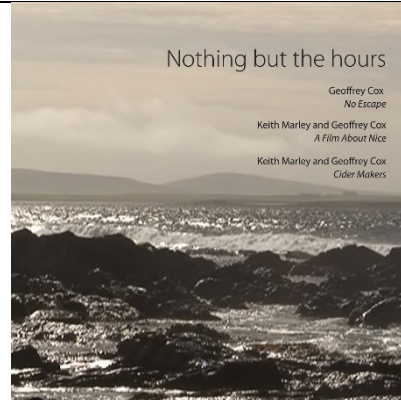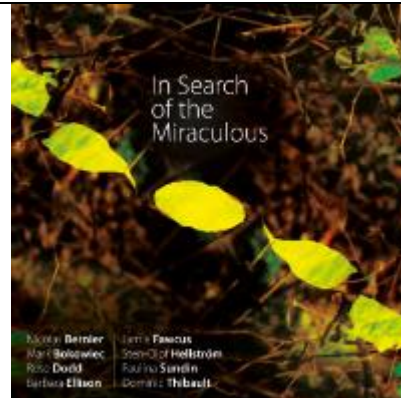
Exaudi. (2013). Exposure. Huddersfield: Huddersfield Contemporary Records.	EXPOSURE EXAUDI Joanna Bailie Aaron Cassidy Stephen Chase Richard Glover Bryn Harrison Claudia Molitor James Weeks
There is no more revealing a medium in music than the human voice. Coming from deep inside the body, carried on the breath, acquiring resonance in the head, shaped and channelled through the same mouth and lips through which we speak and with which we kiss – this sound, not filtered through wood, metal or gut, cannot be separated from the human being that made it. By the time it leaves the body, it is intrinsically, inextricably personal.	
Various artists. (2014). Zeta Potential. Huddersfield: Huddersfield Contemporary Records.	ZETA POTENTIAL
Zeta Potential is a collection of 21 live performances of striking, innovative works by some of the most talented emerging composers based in Europe. Containing pieces premiered at Huddersfield Contemporary Music Festival (hcmf//) in 2011 and 2012 by experimental new music ensembles including the Nieuw Ensemble, Icarus Ensemble and Ensemble 10/10, Zeta Potential is a compelling collection of pioneering new compositions. Over the course of 2010-2012, 24 young composers took part in the innovative European Composers' Professional Development Programme. Developed by hcmf//, the programme offered some of the most gifted up-and-coming composers (selected from universities and conservatoires in the UK, Italy and The Netherlands) the opportunity to collaborate with a leading new music ensemble in a country other than their own. The composers spent a series of intensive weekends visiting and working with the Nieuw Ensemble (NL), Ensemble 10/10 (UK) or Icarus Ensemble (IT), before having their works premiered at hcmf//. The workshops provided space to experiment and try out new ideas not normally possible in time-pressured or public workshop contexts, resulting in a series of stunning, innovative compositions by some of Europe's leading emerging composers. The European Composers' Professional Development Programme was funded by European Commission Culture Programme and the Musicians Benevolent Fund.	

Appendix B: Scholarly Publications Policy

Introduction

The University Scholarly Publications Policy supports the University's vision to be an inspiring, innovative University of international renown, as such this policy aims to encourage the dissemination of University research and scholarship by passing on the benefits to other researchers, professional practitioners and the wider international community. In addition, this policy will ensure that all scholarly publications carrying the University imprint are of high quality, and to provide guidance to authors on the University Press publishing process.

Scope

This policy covers publications intended for sale or distribution outside the University, that is those publications that are assigned University ISBNs and ISSNs and are approved by the University Press Editorial Board or Dean of School as appropriate. These publications are:

- University of Huddersfield Press publications
- School, Department, Research Group and Project publications

The policy also aims to comply with HEFCE, RCUK and other funder requirements on open access (http://www.sherpa.ac.uk/fact/) for publications which a member of staff has published through an external publisher. As such, the University will endeavour, where possible, to make its publications available on open access – free at point of use – in order to encourage the dissemination of the University's research as widely as possible by depositing the appropriate version in the University Repository. At the very least, authors are mandated to deposit the metadata of their research publications in the University Repository (http://eprints.hud.ac.uk/Policy.pdf).

Open access

In addition to funder mandates, the University Press applies the Creative Commons Attribution 4.0 Unported License (CC BY) to all publications. Under the CC BY, authors retain ownership of the copyright for their output, but authors allow anyone unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited.

School, Department, Research Group and or Project Publications

'University Publications' include white papers, discussion papers, reports and student conference proceedings that require dissemination by the appropriate School or Research Centre. These publications are managed internally within the appropriate School, for further details please refer to the University scholarly publications procedures.

University of Huddersfield Press

The University of Huddersfield Press Board is chaired by the Pro-Vice-Chancellor for Teaching and Learning and comprises of representatives from Schools, Research and Enterprise, Computing and

Library Services and the Vice Chancellor's Office. Decisions on publications are taken following an evaluation of proposals based on agreed criteria. The Board reports annually to the University Research Committee. For more information, please refer to the Press principles and procedures.

Ethics

The University Press is a member of the Committee on Publishing Ethics (COPE); as such, authors and editors are asked to confirm that they conform to the COPE guidelines for ethical publishing (http://publicationethics.org/resources/guidelines).

Copyright and licensing

This section is subject in all cases to the University's intellectual property policy (IP Policy), which is available via the Research and Enterprise Intranet pages (http://intranet.hud.ac.uk/re/)

In all cases the authors will be asked to warrant that:

a) The work is their original work and has not been copied wholly or substantially from any other work/material or any other source;
b) They are the sole creator of the work and the legal and beneficial owner of all rights in the work, subject to any rights of the University under the IP Policy;
c) They have not and will not assign or license any rights in the Work prior to publication;
d) As far as they are aware the exploitation of the work will not infringe the rights of any third party; and
e) The work does not contain anything which is defamatory, obscene or unlawful in any way.

Before publication, authors are requested to sign either a contract (for certain University Press publications) or a 'licence to publish', which grants exclusive right of first publication to the University of Huddersfield and for the University to identify itself as the original publisher. The author is then free to use distribute a PDF of the publication via an author's own website after publication.

Promotion and review of the policy

The Information Resources Manager (Computing and Library Services) in will promote this policy to the University community using a range of methods.

Scholarly publication is changing rapidly owing to the growth of online access and open access regimes. The University will revise this policy on a regular basis in line with changes in technology and community expectations.

Appendix C: Scholarly Publications Procedures

Introduction

This document outlines procedures for 'University Publications' which are covered by the Scholarly Publications Policy, namely University of Huddersfield Press, School, Department, Research Group and Project publications. Specifically the document covers

- ISBN/ISSN/DOI allocation
- Supply of copies to the Legal Deposit Office
- Deposit in the University Archives and Repository

Allocation and Distribution of ISBNs for monograph publications

All the University publications encompassed by the Scholarly Publications Policy are assigned an International Standard Book (ISBN) or Serial (ISSN) Number as appropriate.

The CLS Information Resources Manager will oversee the allocation of ISBN numbers on behalf of all University publications intended for sale or distribution outside the University. The procedure is explained on the CLS web pages http://www.hud.ac.uk/cls/researchers/isbn.htm.

Allocation and Distribution of ISSNs and DOIs for serial publications

All serial publications intended for distribution outside the University, e.g. in print or via the internet should carry an International Standard Serial Number (ISSN), an eight-digit number which identifies periodical publications as such, including electronic serials.

For journals and newsletters not published by the University Press, ISSNs can be obtained direct from the UK ISSN Centre: http://forms.bl.uk/bibliographic/index.aspx.

The University Press is a member of CrossRef, as such, all University Press journal articles must be registered with a DOI (digital object identifier), additionally all references within articles must also have DOIs where appropriate, currently this is processed by Computing and Library Services. Internal School or University newsletters must not assign DOIs as these cannot be registered at CrossRef.

Supply of copies to the Legal Deposit Office

It is a legal obligation to supply one copy of any new publication given an ISBN and every new issue/part of a serial publication given an ISSN to the Legal Deposit Office of the British Library within one month of publication. Copies should be sent to the Information Resources Manager in Computing and Library Services.

Retrospective Requests

On occasion the Agency for the Legal Deposit Libraries will request extra copies of previously published titles in accordance with the Legal Deposit Act 2003 and on behalf of the Legal Deposit Libraries, these being the:

- Bodleian Library Oxford University
- Cambridge University Library
- National Library of Scotland
- National Library of Wales
- Trinity College Dublin

The Information Resources Manager will liaise with the appropriate member of staff or if the author has left the University, the appropriate School in order to fulfil this requirement.

University Repository

On publication, a PDF of the published version must be made available in the University Repository on open access.

Appendix D: Book proposal form

University of
HUDDERSFIELD
University of Huddersfield Press

UNIVERSITY OF HUDDERSFIELD PRESS

Proposed Title: *(must be unique and reflect the content. Please provide two alternatives)***:**

Proposed Author(s) *(title, name, institution and country)***:**

Other Specifications:

- Proposed publication date:
- Will there be any multimedia content, e.g. CDs?
- What is the proposed format? Print, ebook, EPUB?
- The University of Huddersfield Press supports open access publishing, are you happy for your title to be made available on open access from publication of the print copy?

FURTHER INFORMATION

Brief synopsis of the central arguments and themes of the publication, including description and reason for this particular approach *(Has this developed out of teaching/research/both? How does it address a gap in the market of existing titles/how is it distinctive? Will the title have international applicability and reach?):*

Chapter outline *(please do not merely list the contents, but indicate, as fully as possible, the main arguments and themes presented in each chapter):*

Key research areas covered in the title *(please provide some keywords):*

Length *(in thousands of words, including bibliography – this if often best arrived at by assigning a length to each chapter):*

Illustrations *(estimated number of line diagram and other types of illustration):*

Intellectual Property (*The Press needs to know if the work is:*
   a) *Not entirely your own, original work (i.e. contains contributions from third parties);*
   b) *Potentially obscene or contains potentially defamatory wording; or*
   c) *Has been published previously)*

Target market *(for both authors and readers - is your title aimed at academics, postgraduate researchers, undergraduates, professional etc. Is the title a research monograph, supplementary reading, a textbook, or a publication for general readers? Think in international terms, e.g. would your title be appropriate for the North American market?):*

How do you propose to fund the publication? E.g. grant funding, School research funds

Which are the leading institutions and centres of excellence in the field worldwide? *(Use this section to demonstrate the global spread of interest (or specifically regional if applicable) in this subject area):*

Competition analysis

Title:

Publisher:

Strengths:

Weaknesses:

What differentiates the proposed title?

MARKETING INFORMATION

Unique Selling Points (USPs):

(At least 2 USPs please. How is the title different from others in the same field?)

Professions and industries that this title would appeal to in the private and/or public sectors *(if applicable)***:**

Pre-launch promotional plan:

(List conferences where the proposed title could be promoted, organisations, scholarly and professional societies which could be approached and listservs where title news could be posted.)

- *Conferences (please highlight relevant conferences and conference tracks):*

- *Associations and Societies (please give an idea of membership size):*

- *Listservs and Mailing Lists (how many members do subscribe?):*

REFEREES

Referees (*please provide names, addresses and email address (if known) of 2 people who are suitably qualified to comment on your proposal*)

Is this proposal under consideration with any other Publisher?

If you feel it might be helpful, please send any supporting sample material that is relevant (either chapters from the proposed book or journal articles on related topics) and a copy of your CV.

Please send your proposal via email to Graham Stone, University of Huddersfield Press (g.stone@hud.ac.uk)

Appendix E: Licence to Publish (Book)
LICENCE TO PUBLISH [TITLE]

In order that we (University of Huddersfield Press being part of the University of Huddersfield ("the Press")) can publish *[Title]* we require authors to grant us a licence to publish. Please read the notes below and then fill in, sign and return this form to the Press at the address below.

1. In consideration of the Press agreeing to publish the proposed publication entitled *[Title]* ("**the Publication**") the Author hereby grants to the Press the exclusive right to first publication

   by:

   _____

   __ ("the Author")

   without claim of royalties or other compensation. This exclusive right to first publication includes the right to reproduce and/or distribute the Publication (including the abstract) throughout the world in printed, electronic or other medium, including the right to authorise others (including Reproduction Rights Organisations such as the Copyright Licensing Agency and Copyright Clearance Center) to do the same.

2. The Press may decline to publish the Publication with reasonable cause and shall promptly give notice of this to the the Author, in which case all rights granted herein shall revert to the Author on the giving of such notice.

3. The Press are empowered to make such editorial changes as may be necessary to make the Publication suitable for publication, and will consult the Author if changes are required that they consider, in their absolute discretion, to be substantive.

4. The Author hereby asserts his/her moral rights under the Copyright Designs and Patents Act 1988 to be identified as the Author of the Publication.

5. The Author warrants that the Publication is the Author's original work, has not been published before, and is not currently under consideration for publication elsewhere; and that the Publication contains no libellous or unlawful statements and that it in no way infringes the privacy or any other rights of third parties; and that the Author, as the owner of the copyright, is entitled to grant this licence. The Author further warrants that all statements in the Publication asserted as facts are true or based upon detailed research for accuracy and that the Publication does not contain any matter which would violate any applicable laws or regulations nor is in any manner unlawful.

6. If the Publication contains any material, including illustrations (photographs, tables or figures), which is the copyright of someone else the Author warrants that he/she has obtained the necessary permission of the copyright holder and that the material is clearly identified and acknowledged within the text or caption stating the terms under which the third party content has been made available and will supply evidence of such consent and/or permission promptly on request by the Press.

7. The Author retains copyright, and the Press will publish a suitable acknowledgement of the same in the copyright line which appears in the Publication. The Press applies the Creative Commons Attribution 4.0 Unported License (CC BY) to all **electronically** published publications. Under CC BY, authors retain ownership of the copyright for their Publication, but authors allow anyone

unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited.

8. The Author shall fully indemnify the Press and keep the Press fully indemnified against all and any loss, liability, damages, costs or expenses (including legal expenses) that the Press suffers or incurs as a result of, or in connection with, any breach by the Author of any of the warranties in this licence. At the request of the Press and at the Author's own expense, the Author shall provide all reasonable assistance to enable the Press to resist any claim, action or proceedings brought against the Press as a consequence of that breach.

9. If the Publication was prepared jointly by more than one author, the Author warrants that he/she has been authorised by all co-authors to sign this agreement on their behalf.

10. This licence constitutes the entire agreement between the parties and supersedes any previous agreements between the parties relating to its subject matter.

11. No variation of this licence shall be effective unless it is in writing and signed by the parties (or their authorised representatives); and no person other than a party to this agreement shall have any rights to enforce any term of this licence.

12. This licence shall be governed by and construed in accordance with the law of England and Wales. The parties irrevocably submit to the non-exclusive jurisdiction of the courts in England.

13. This licence shall take effect from the date it is signed by the Author.

Signed by the Author: _____

Date**: _____

Return to: Graham Stone, University of Huddersfield, Queensgate, Huddersfield, UK HD1 3DH

Fax: +44 (0)1484 472042;   E-mail: g.stone@hud.ac.uk

LICENCE TO PUBLISH: Explanatory Notes

The policy of the Press is to uphold the highest standards of quality, maximising current and future access, and ensuring preservation of Publications. This licence is drawn up in the spirit of co-operation.

Your Publication will be published both in print and electronically and will also be stored electronically.

Under the UK's Copyright Designs and Patents Act 1988, the Author has the moral right to be identified as the author wherever the Publication is published, and to object to its derogatory treatment or distortion. The Press encourages assertion of this right, as it represents best publishing practice and is an important safeguard for all authors. Paragraph 4 of this licence asserts the Author's moral rights, as required by the Act.

One of Huddersfield University Press's responsibilities as publisher is to assist authors in protecting and defending their rights as copyright holders. We will exercise this responsibility on your behalf, and will take such action as is necessary or desirable to protect your interests as Author as well as ours as publisher.

If Authors use the Publication elsewhere after publication, the University of Huddersfield Press requests that acknowledgment is given to *Overcoming Form: Reflections on Immersive Listening* as the original source of publication.

Appendix F: Marketing Plan

Book title:

Author/s:

Manuscript delivery date:

Publication date:

Subject area:

Brief synopsis of the proposed work

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Table of contents

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Target market: what are the primary markets for this book?

☐ Academic Library

☐ Teaching (Graduate Level)

☐ Teaching (Postgraduate Level)

☐ Student (Graduate Level)

☐ Student (Post Graduate Level)

☐ Practitioner

☐ Public

Please list any specific professional bodies/organisations/academics/individuals you think would be particularly interested in your publication. This information will be used to help us promote your publication to relevant audiences.

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Please list the courses on which this publication could be adopted. Please provide details of the institution, the course and instructor details where available. This information will be used to help us promote your publication to relevant audiences.

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```

Please suggest some appropriate reviewers to provide reviews of the book upon/just before publication.

```
```

Promotional activities

Huddersfield University Press will:

- Assign an ISBN and register the title with Nielsen BookData
- Ensure a PDF of the title is deposited in the University Repository on Open Access
- Register the title with the Directory of Open Access Books, where the title meets the criteria
- Make the title available for purchase on the University Online Store (print copies only)
- Notify local book stores of publication where applicable (print copies and local interest only)
- Make a number of copies available for review
- Notify Marketing upon publication

Marketing will:

- Once notified that your work has been published and information has been uploaded to the Repository, Marketing/PR will:
- Send details to relevant academic news sites
- Promote over relevant social media channels
- Include the book in the next available issue of Discover, our in print and online research magazine
- Contact national media outlets
- Pass the information to the PR team for consideration of a news story

The Author will:

(This section will be completed at the Marketing meeting with the Author, to ensure they have the chance to identify the activities most useful to their publication and target market.)

Appendix G: Proposal form (Journal)

University of
HUDDERSFIELD
University of Huddersfield Press

UNIVERSITY OF HUDDERSFIELD PRESS

Proposed Title: *(must be unique and reflect the content. Please provide two alternatives)***:**

Proposed Editor(s) *(title, name, institution and country)***:**

Journal Specification:

- Proposed launch date:
- No. of issues per year:
- No. of papers per year:
- Nature of submissions *(e.g. practitioner section, articles, conference diary, news section, book review, interviews)*:
- Review process: **Double/Single Blind**
- Will there be any multimedia content?

EDITORIAL TEAM

Proposed Editorial Team, Editorial Advisory Board members and their affiliations and countries (as a guideline we advise approximately 8 academics as a minimum with 4 from UK (including 2 from Huddersfield) and 4 international):

What activities are you planning to do to engage the Editorial Advisory Board and encourage the members to promote the journal?

Rationale for launching the proposed journal *(Has this developed out of teaching/research/both? How does it address a gap in the market of existing journals/how is it distinctive? How do you see the subject field evolving over the next 5-10 years? Will the journal have international applicability and reach?)*:

Editorial objectives and coverage *(What are the aims of the proposed journal and the key topics that the journal will cover?)*:

Key research areas covered in the journal *(please provide some keywords)*:

Target market *(for both authors and readers - is your journal aimed at academics, postgraduate researchers, undergraduates, professional etc. Think in international terms, e.g. would your title be appropriate for the North American market?)*:

How do you plan to commission high quality content? *(e.g. Calls for papers, conferences etc.)*

How do you propose to fund the publication? E.g. grant funding, School research funds

Do you have any copy in hand that can be used for the first issue? *If so, please provide article title, authors names and locations*:

Which are the leading institutions and centres of excellence in the field worldwide?
(Use this section to demonstrate the global spread of interest (or specifically regional if applicable) in this subject area):

Expected contributors by percentage:

Academics   **%**

Practitioners   **%**

Consultants   **%**

Students   **%**

How do you plan to encourage citations to the published articles?

Competition analysis

Title:

Publisher:

Editor:

Strengths:

Weaknesses:

What differentiates the proposed title?

MARKETING INFORMATION

Unique Selling Points (USPs):

(At least 2 USPs please. How is the journal different from other journals in the same field? Alternatively (or as well as), include great reasons to write for the journal.)

Professions and industries that this title would appeal to in the private and/or public sectors *(if applicable)***:**

Pre-launch promotional plan:

(List conferences where the proposed title could be promoted, organisations, scholarly and professional societies which could be approached with calls for papers and listservs where journal news could be posted.)

- *Conferences (please highlight relevant conferences and conference tracks):*

- *Associations and Societies (please give an idea of membership size):*

- *Listservs and Mailing Lists (how many members do subscribe?):*

Partnership opportunities:

(With reference to the plan above, which organisations/societies do you and other members of the editorial team already have links with, e.g. as members, regular attendees, keynote speakers? How do you plan to use these links for the benefit of the proposed journal?)

Is this proposal under consideration with any other Publisher?

Proposed Editor(s) *(title, name, institution and country)***:**

Journal Specification:

- Proposed launch date:
- No. of issues per year:
- No. of papers per year:
- Nature of submissions *(e.g. practitioner section, articles, conference diary, news section, book review, interviews)*:
- Review process: **Double/Single Blind**
- Will there be any multimedia content?

Appendix H: Licence to Publish in journal of performance magic

In order that we (University of Huddersfield Press being part of the University of Huddersfield ("the Press")) can publish your article we require Authors to grant us a licence to publish. Please read the notes overleaf and then fill in, sign and return this form to the editors at the address below.

1. In consideration of the Press agreeing to publish the article (set out below) in the Journal of Performance Magic the Author hereby grants to the Press the exclusive right to first publication of the article entitled:

    _____

    by:

    _____
    __ ("the Author")

    without claim of royalties or other compensation. This exclusive right to first publication includes the right to reproduce and/or distribute the article (including the abstract) throughout the world in printed, electronic or other medium, including the right to authorize others (including Reproduction Rights Organizations such as the Copyright Licensing Agency and Copyright Clearance Center) to do the same,

2. The Press may decline to publish the article named in Paragraph 1 in the *Journal of Performance Magic* with reasonable cause and shall promptly give notice of this to the the Author, in which case all rights granted herein shall revert to the Author on the giving of such notice

3. The Editor(s) of the *Journal of Performance Magic* and the Press are empowered to make such editorial changes as may be necessary to make the Chapter suitable for publication, and will consult the Author if substantive changes are required.

4. The Author hereby asserts his/her moral rights under the Copyright Designs and Patents Act 1988 to be identified as the Author of the article.

5. The Author warrants that the article is the Author's original work, has not been published before, and is not currently under consideration for publication elsewhere; and that the article contains no libellous or unlawful statements and that it in no way infringes the privacy or any other rights of third parties; and that the Author, as the owner of the copyright, is entitled to grant this licence. The Author further warrants that all statements in the article asserted as facts are true or based upon detailed research for accuracy and that the article does not contain any matter which would violate any applicable laws or regulations nor is in any manner unlawful.

6. If the article contains any material, including illustrations (photographs, tables or figures), which is the copyright of someone else the Author warrants that he/she has obtained the necessary permission of the copyright holder and that the material is clearly identified and acknowledged within the text or caption and will supply evidence of such consent and/or permission on request by the Press.

7. The Author retains copyright, and the Press will publish a suitable acknowledgement of the same in the copyright line which appears on the article. *Journal of Performance Magic* applies the Creative Commons Attribution 4.0 Unported License (CC BY) to all published articles. Under the CC BY, authors retain ownership of the copyright for their article, but authors allow anyone unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited.

8. The Author shall fully indemnify the Press against all and any loss, liability, damages, costs or expenses (including legal expenses) that the Press suffers or incurs as a result of, or in connection with, any breach by the Author of any of the warranties in this Licence. At the request of the Press and at the Author's own expense, the Author shall provide all reasonable assistance to enable the Press to resist any claim, action or proceedings brought against the Press as a consequence of that breach.

9. If the article was prepared jointly by more than one author, the Author warrants that he/she has been authorized by all co-authors to sign this agreement on their behalf.

10. This Licence constitutes the entire agreement between the parties and supersedes any previous agreements between the parties relating to its subject matter.

11. No variation of this licence shall be effective unless it is in writing and signed by the parties (or their authorised representatives); and no person other than a party to this agreement shall have any rights to enforce any term of this licence.

12. This licence shall be governed by and construed in accordance with the law of England and Wales. The parties irrevocably submit to the non-exclusive jurisdiction of the courts in England.

13. This licence shall take effect from the date it is signed by the Author.

Signed by the Author: _____

Date**:** _____

Return to: xxx, University of Huddersfield, Queensgate, Huddersfield, UK HD1 3DH

Fax: +44 (0)1484;   E-mail:

LICENCE TO PUBLISH: Explanatory Notes

The policy of *Journal of Performance Magic* is to uphold the highest standards of quality, maximizing current and future access, and ensuring preservation of articles it publishes. This licence is drawn up in the spirit of co-operation.

The University of Huddersfield Press is a member of the Committee on Publication Ethics (COPE). 'COPE is a forum for editors and publishers of peer-reviewed journals to discuss all aspects of publication ethics. It also advises editors on how to handle cases of research and publication misconduct'.

Your article will be published electronically and will also be stored electronically. Print on demand copies may also be made available.

Under the UK's Copyright Designs and Patents Act 1988, the Author has the moral right to be identified as the author wherever the article is published, and to object to its derogatory treatment or distortion. *Journal of Performance Magic* encourages assertion of this right, as it represents best publishing practice and is an important safeguard for all authors. Paragraph 4 asserts the Author's moral rights, as required by the Act.

One of Huddersfield University Press's responsibilities as publisher is to assist authors in protecting and defending their rights as copyright holders. We will exercise this responsibility on your behalf, and will take such action as is necessary or desirable to protect your interests as Author as well as ours as publisher.

If Authors use the article elsewhere after publication, Huddersfield University Press requests that acknowledgment is given to *Journal of Performance Magic* as the original source of publication.

Journal of Performance Magic applies the Creative Commons Attribution 4.0 Unported License (CC BY) to all published articles. Under CC BY, authors retain ownership of the copyright for their article, but authors allow anyone unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited.

Nevertheless, it is strongly recommended that the following procedure is followed, in order that readers can easily reference and access the article. The preferred method is for Huddersfield University Press to supply a DOI to the PDF once published. The Author would then use this DOI to link the article on the Author's chosen website to the article published in *Journal of Performance Magic*

Appendix I: Journal Memorandum of Agreement

This agreement is made by and between the [School or Research Institute] ("Sponsor") and the University of Huddersfield Press ("Publisher"), relating to a Journal entitled the *[Title]* ("Journal").

The Sponsor desires to issue *[Title]*, produced in digital format, to be published [frequency] a year in [dates of publication]. The Publisher desires to be the exclusive distributor of the Journal.

Now, therefore, the Sponsor and the Publisher agree as follows:

AGREEMENT

1. The Sponsor shall, at the start of each academic year, appoint an Editor and an Editorial Board for the Journal. These shall serve for a renewable term of one year.

2. The Sponsor shall bear sole responsibility for conducting peer review of all articles submitted for publication in the Journal according to the peer review procedures outlined by the *[Title]*. All work done by any assistants hired by the Sponsor shall be considered, for copyright purposes, as "work made for hire" specially commissioned by the Sponsor.

3. The Sponsor warrants that it is the sole owner of the Journal and has full authority to make this Agreement; that it is the exclusive owner of the rights herein granted to the Publisher, and that, for each issue of the Journal, it will obtain licenses from the contributing authors sufficient for this purpose (see Licence to Publish documentation); and that no article approved for publication in the Journal will contain anything that is scandalous, libellous, or unlawful, makes an improper invasion of the privacy of any person, or infringes any copyright or violates any other property rights.

4. If any article approved for publication in the Journal contains material requiring permission from copyright owners to reproduce the material, the Sponsor shall either make sure, before submission to the Publisher of the manuscript including the article, that the author of the article has secured permission and paid any fee charged by the copyright owner or else take care of securing and paying for permission itself.

5. The Sponsor shall be responsible for substantive editing and for all other work necessary for preparation of the manuscript of each issue according to guidelines agreed with the Publisher. On request, the Publisher can provide such services at a cost to be agreed.

6. The Sponsor does hereby grant and assign to the Publisher the exclusive right to produce, promote, and distribute the Journal. Distribution includes licensing as agent for the Sponsor subsidiary rights as specified in Paragraph 9.

7. The Publisher shall be responsible for providing online hosting for the Journal. The initial design for the Journal and any later redesign will be chosen by mutual agreement between the parties.

8. The Sponsor shall make sure that each Article in the Journal carries on its first page a notice of copyright in the name of the author, an ISSN number, and a reference to the Publisher as publisher of the Journal.

9. The Publisher shall have the exclusive right to license the following subsidiary rights: distribution of the Journal in its entirety or in any single issue in any electronic media; reprint of any individual article or excerpt therefrom in a print publication (serial or book); translation of any individual article or any whole Journal issue into a foreign language. Starting with the date of this Agreement, the Publisher shall return 50% of any amount of said sales to the Sponsor.

10. If either Sponsor or the Publisher wishes to end this Agreement, termination may be accomplished by the party wishing to end the Agreement through the service of a written notice to the other party at least six months in advance of the date of termination.

11. This Agreement constitutes the entire agreement between the parties. This Agreement supersedes all agreements previously made between the parties relating to its subject matter. Any representation, promise, or condition not incorporated herein shall not be binding on either party. There are no other understandings or agreements. This Agreement may not be changed in whole or in part unless the parties agree to the change in writing.

In Witness Whereof the parties hereto have caused this agreement to be executed on the day and year first above written.

Sponsor:

Signed:
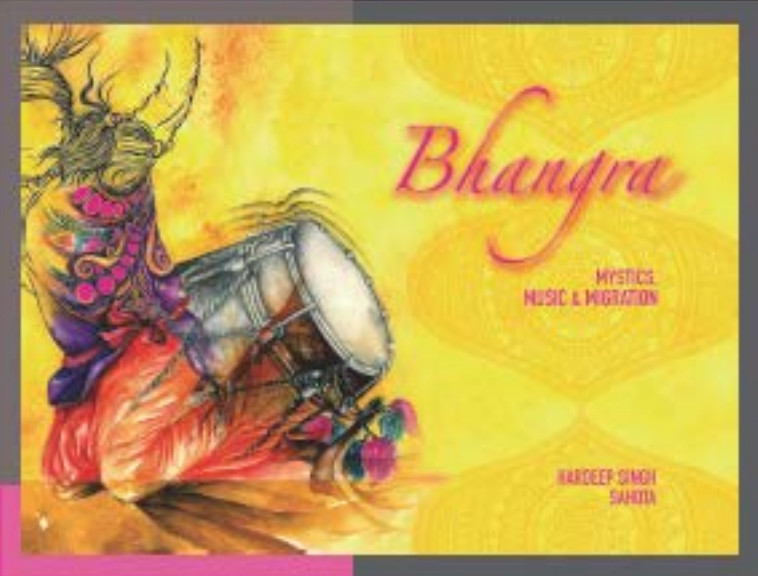
Publisher:

Signed:

Appendix J: Sample of marketing material

Bhangra:
Mystics, Music & Migration

Author: Hardeep Singh Sahota

Published by
University of Huddersfield Press

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Bhangra: Mystics, Music and Migration explores the origins of this folk song and dance from the Panjab in South Asia and its development into part of modern British culture in the hybrid soundscape of British Bhangra and beyond.

This book originated in academic research and the Heritage-Lottery funded Bhangra Renaissance project. Through ethnographic research, oral history interviews, performances, photography, story-telling and community activity it celebrates the past contribution of all those involved in Bhangra.

This ground-breaking work provides an in-depth history of the spiritualism of performance and song, and an overview of the artists involved in influencing its development, as well as contemporaries leading the way of Bhangra's renaissance amongst the South Asian diaspora in the UK and around the world.

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Appendix K: University of Huddersfield Press Publications and Marketing Manager

UNIVERSITY OF HUDDERSFIELD

COMPUTING AND LIBRARY SERVICES

Job title: University of Huddersfield Press Publications and Marketing Manager

Grade:

Reports to: Collections and Scholarly Communications Librarian

Hours of work: 0.6 FTE 22.5 hours per week

Job Function:

To assist the Collections and Scholarly Communications Librarian in the day to day management of University of Huddersfield Press publications in pursuance of University strategy to disseminate research and to promote open access publishing; to deputise for the Collections and Scholarly Communications Librarian on matters regarding the University Press.

Job Duties:

Publication Management

1. To manage the production of books, journals and other media published under the Press imprint from manuscript to publication in association with the Collections and Scholarly Communications Librarian.

2. To set up and manage workflows to track the progress of titles through the peer review and production processes

3. To liaise with authors and other stakeholders at all stages of the peer review, editorial, production and sales/marketing processes.

4. To liaise with journals editors to advise on editorial and production matters

5. To appoint freelance copy editors, typesetters and proof-readers, and to check their work.

6. To ensure all publications are produced to agreed budgets and schedules.

Marketing and Communications

7. To provide written reports to the University of Huddersfield Press Editorial Board

8. To establish outreach and awareness training with academics and researchers in research areas identified by the University as being of strategic importance

9. To collaborate with staff within Computing and Library Services and across the University on initiatives of mutual interest including outreach work and training

10. To assist in updating the University Press website with publication information, reviews, blogs and other information as necessary

11. To assist in the marketing of University Press publications to include social media, commissioning or writing blogs, sending out review copies, writing and distributing advance information sheets, updating Nielsen Book Data and liaising with suppliers such as Amazon, Waterstones, Directory of Open Access Journals and Directory of Open Access Books

General Duties

12. To deputise for the Collections and Scholarly Communications Librarian regarding Press matters, as appropriate, e.g. at internal and external meetings and groups

13. To collate management information such as sales and download figures, to support decision-making

14. To represent the University Press at external events and conferences

15. The post holder will carry out any other duties as are within the scope, spirit and purpose of the job as requested by the line manager, Director of Computing and Library Services or the University Press Editorial Board.

UNIVERSITY OF HUDDERSFIELD

COMPUTING AND LIBRARY SERVICES

Attributes	Essential	Desirable	Evidenced
Experience	• Experience of academic publishing, e.g. liaison with authors, editors, etc.	• Experience of journals publishing • Experience of commissioning • Experience of setting up or managing publishing workflows to manage the book production process • Experience of managing freelance editors, typesetters designers and picture editors • Experience of establishing and managing production budgets	Application form, Interview
Qualifications/training	• Educated to degree level	• Post Graduate qualification in marketing or publishing or equivalent • Contribution to the professional body of knowledge for example through publication or research outputs	Application form and Certificates
Special Knowledge/Ability	• Strong editing and proof reading skills • Experience of working to tight deadlines • Understanding of Open Access publishing requirements and issues • High degree of technical competence, including use of MS Excel; InDesign and XML text mark-up • Blurb and promotional copy writing	• Good understanding of marketing and publicity tools • Good understanding of copyright and creative commons licenses	Application form, Interview and test
Communication	• Ability to communicate effectively with a wide range of stakeholders, from authors to technical developers • High level of tact and diplomacy when dealing with a number of stakeholders		Application form and interview

| Personal Qualities | • Ability to work on own initiative and manage own time effectively
• Ability to manage a number of titles simultaneously, whilst sticking to schedules
• Ability to work as part of a team
• A friendly, approachable manner
• Methodical, accurate and logical
• Flexible attitude towards work
• Ability to use initiative and to think innovatively | | Application form and Interview |

Appendix L: Cashflow and Profit & Loss Forecast

Table L1 shows the total recurrent costs for the University Press. In addition, there are annual staffing costs of around £40K, which are absorbed by CLS as part of the staffing budget and repository maintenance costs of £5K per annum, again absorbed by CLS.

Membership	Costs per annum
CrossRef membership	£220
COPE Membership	£190
DOAJ membership	£400
Portico publisher membership	£210
SPARC Europe membership	£1,430
OASPA membership	£200
Total	**£2,750**

Table L1. Total recurrent costs (estimated at 2015 levels)

Table L2 shows the anticipated cashflow and profit and loss. These forecasts rely on the recruitment of a Publication and Marketing Manager, without this post, it is not feasible to grow the Press at this rate over the four years.[65]

The small surplus predicted from print sales are not guaranteed. However, any surplus made could be reinvested either to increase the marketing budget, improve software or fund an additional publication.

However, it is important to note that this can only be done if:

a) CLS funds the Publication and Marketing Manager post
b) CLS covers additional staffing costs and administration
c) Journals and monograph funding/sponsorship is available via the Institution/Funder pays business model

It should be noted that HCR is entirely self-funded and all surpluses go to CeReNeM.

Table L2 is based on the Institution/Funder pays business model. Using this model, the Press needs to be match funded by the University to balance the expenditure each year. Income from print sales could be used for further research and development or in funding additional publications.

In order to justify funding at institutional level, the Press needs to show its value. What Table L2 does not show is the potential for Press publications to earn research income, either through QR funding from the REF or from further successful research bids. Table L3 illustrates the potential for this by looking at the number of University outputs in the Unit of Assessment (UOA) 35 for Music.

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[65] This post was approved in the 2015/16 financial year.

	2016		2017		2018		2019	
Journals	**Expenditure (£)**	**Income (£)**	**Expenditure (£)**	**Income (£)**	**Expenditure (£)**	**Income (£)**	**Expenditure (£)**	**Income (£)**
Title development and platform hosting fees[1]	1500	0	1500	0	1500	0	1500	0
Cover design	0	0	0	0	0	0	0	0
Peer review, copy editing, typesetting	0	0	0	0	0	0	0	0
DOI costs[2]	45		50		60		70	
Marketing	750		750		750		750	
Monographs								
Production costs[3]	9,000	0	13,500	0	18,000	0	22,500	0
Marketing	750		750		750		750	
Print sales[4]		2,500		4,500		6,375		8,125
Recurrent expenditure[5]	2,750		2,890		3,035		3,190	
Total	14,795	2,500	19,440	4,500	24,095	6,375	28,760	8,125
University contribution	14,795		19,440		24,095		28,760	
Profit/loss		2,500		4,500		6,375		8,125

Table L2. Anticipated cashflow and profit and loss

[1] Set up costs for two new journals per year at approximately £750 per title. Further funding/sponsorship is required for new titles

[2] DOI costs for seven journals, requiring six DOIs a year for six titles and twenty DOIs a year for Fields, with an addition of two journals per year, each requiring six DOIs. For journals that publish more than one issue per year costs will increase, but at $1 per DOI these are marginal

[3] Two monographs are published in 2016, with three, in 2017, four in 2018 and five in 2019. Further funding/sponsorship is required for new title

[4] Sales are based on a print run of 100 copies, with 30 copies being set aside for authors/reviews and marketing. Sales are forecasted at 50 copies in year 1, fifteen copies in year 2, five copies in year 3 and zero in year four

[5] Recurrent costs are based on Table L1, with a 5% year on year inflation rate.

UoA 35 consisted of 21 staff (17.5 FTE) and 100 outputs in total. Of these outputs, University of Huddersfield Press publications were included in 11 outputs (some of these were portfolios). Therefore 11% of the outputs were associated with Press output (see Table L3).

Research active staff	Press output
Adkins, M.	Shibusa
Bellamy, M.	Transference
Cassidy, A.	Strange Forces, Exposure, Noise in and as music
Einbond, A.	Noise in and as music
Glover, R	Overcoming form
Harrison, B.	Overcoming form, Exposure, Transference
Lim, L.	Transference

Table L3. Press publications included in the Music, Drama, Dance and Performing Arts Unit of Assessment (UoA 35) for the University of Huddersfield

While REF scores cannot be associated with individual outputs, 85% of music research at Huddersfield was judged to be Internationally Excellent (3* and 4*). 44% of the overall submission ranked as 'World-Leading' (4*). It is not unreasonable to suggest that a number of Press publications were rated as 4* and 3* outputs. In addition, all of the above publications and releases contributed towards the environment and impact statements as well as the individual outputs.

Where this becomes relevant to income for the Press is when the HEFCE 'quality-related research funding' (QR funding) is taken into account. The majority of research funding from HEFCE comes from QR funding. The 2015-16 funding was determined using the REF (HEFCE, 2015) outcome. The QR funding for UoA35 at Huddersfield was approximately £750K for 2015/16. Just six Press outputs (three CDs and three books) have contributed to 11% of the Schools REF output. Therefore, assuming they matched the average UoA profile, they are at least partly responsible for a little under £82.5K of the QR funding in just one year. *Shibusa*, a book entirely funded by the Leverhume Press, has brought in £7.5K of funding, whilst *Noise*, a title paid for by the School out of research funds and costing a little over £2K, has helped to bring in around £15K of funding from HEFCE.

The value proposition to the University starts to become clear. If this is the benefit to research income from just one UoA and just one Department within the University, what would be the contribution of Press publications in other research areas if they were appropriately funded by the University?

This argument is used to justify a sum of £15K in 2016 to cover ALL Press output, history, media, drama etc. If the business model was approved, not only can the Press cover its publication costs, it can grow output and demonstrate value to the Schools and Research Institutes in the University thereby achieving sustainability.[66]

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[66] Funding for the Press was approved in 2016 for the 2016/17 and 2017/18 financial years

Appendix 1.2. Doctor of Enterprise at the University of Huddersfield

Kot and Hendel (2012) describe the professional doctorate as an alternative route to the PhD with no standard definition. The Doctor of Enterprise (EntD) at the University of Huddersfield is a professional doctorate "designed for students whose emphasis is on the need for research to underpin a new business, social enterprise, or innovative service idea designed" (University of Huddersfield, 2015), combining a substantial piece of primary research in the form of a thesis and a fully developed business plan, both assessed as part of the examination process.

An early study on professional doctorates in England established that the professional doctorate differs from the 'traditional' PhD (Bourner, Bowden & Laing, 2001). The motivation behind a professional doctorate verses a PhD is a significant contribution to the body of knowledge of practice rather than filling the gap in the literature (Council of Australian Deans and Directors of Graduate Studies, 1999, cited in Kot & Hendel, 2012, p.348; Murray, 2002; Costley & Lester, 2012; Banerjee & Morley, 2013). It should be acknowledged that other research concluded there was little difference between the two (Neumann, 2005).

The University of Huddersfield states that the EntD should not exceed 50,000 words and also 80,000 words on the same web page (University of Huddersfield, 2015), which reflects the change in guidelines between 2014 and 2015. Murray (2002) recommends 50,000 words while Ruggeri-Stevens et al. (2001) quote 40,000. However, Ruggeri-Stevens et al. (2001) also note that the Doctor of Business Administration (DBA) also includes phase one preparation, which often results in around 80,000 words in total. The EntD does not have these assignments, so a maximum length of 80,000 would seem more appropriate.

Regarding assessment of professional doctorates, there is a certain amount of controversy (Banerjee & Morley, 2013). Ruggeri-Stevens, Bareham and Bourner (2001), believe that there is a 'tension' between the assessment methods used for DBAs and PhD and that "any assessment process should give candidates an opportunity to provide evidence that they have achieved the intended learning outcomes of a programme" (p.71) rather than traditional PhD assessment and to protect the professional doctorate from, "assumptions that the purpose of all doctorates is to develop researchers" (Costley & Lester, 2012, p.266).

Kot and Hendel (2012) criticise the traditional PhD as having a "lack of appropriate collaborative work" (p.349) and that "[t]he professional doctorate becomes, in such cases, less a qualification needed for employment than an upgrading of the individual's professional status" (p.349). Indeed this thesis, although a body of individual research, could not have been produced without collaboration. It is very much a result of research and development being undertaken in the workplace (Costley & Lester, 2012).

A further difference between the professional doctorate and PhD is that typical candidates were often in positions of authority and involved in pioneering practice, senior or middle level managers and aged in their mid-thirties, whereas typical PhD students are in their mid-twenties, interested in an academic career and "relatively inexperienced professional researchers" (Costley & Lester, 2012, p.264, Banerjee & Morley, 2013).

Many of the publications that have resulted from the research conducted for this thesis are also collaborative efforts with colleagues employed in the higher education sector and have contributed to professional knowledge, whether as part of Jisc project funding, as part of the AHRC/Jisc OAPEN-UK project, or as part of follow up from interested universities and Jisc as an industry expert (see Appendix 1.3).

As such, this EntD has contributed to the development of a field of practice, which has significant value within the practitioner community (Costley & Lester, 2012). Indeed Costley & Lester (2012) go so far as to suggest that the professional or 'practitioner' doctorate, "can be analogous to that of a senior or higher doctorate (e.g. DSc or DLitt) in academic fields" (p.260).

Finally, the research of the professional doctorate is expected to result in a significant impact for the organisation (Costley & Lester, 2012) and in the case of the EntD at Huddersfield, this is principally via the business plan. Although the University states that regarding the business plan, "[t]here is no requirement that the developed innovation was successful, however, if the initiative failed, the thesis should explore how and why it failed, and suggest how this could be avoided if taken forwards again in the future" (University of Huddersfield, 2015). This thesis assesses the work that has already been undertaken by the University of Huddersfield Press and uses the Business Plan to suggest a direction of travel for the next four years, this focus is discussed in Chapters 3-6.

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Appendix 1.3. Outputs by the author in relation to the University Press

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Steering groups, expert panels and acknowledgements

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Appendix 2.1. Author attitudes to open access monographs

1.0   Introduction

The scholarly monographs market is experiencing a period of change. The Crossick report on *Monographs and Open Access* states that "[i]t is very clear… 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" (2015, p.4).

This appendix looks at some of the recent evidence regarding author attitudes from recent publisher led author surveys before discussing the evidence submitted to the *HEFCE consultation on open access in the post-2014 Research Excellence Framework* (2013). The author was commissioned by the OAPEN-UK project (Milloy, 2010) to look at the HEFCE data and to draw a set of questions from the individual responses by researchers, learned societies, university departments and publishers (HEFCE, 2014a, 2014b, 2014c). The original report was presented to OAPEN-UK and subsequently the project sponsors, Jisc and the Arts and Humanities Research Council (AHRC) in November 2014.[67]

There are a number of similarities between the questions answered in the guide and the earlier work of Suber (2009, 2012). This goes to show that the issues surrounding open access have certainly not gone away, in fact many of the same basic misunderstandings still arise over ten years after Suber's overview of open access (2004) and his subsequent discussion around quality (2006). Lawson (2013) suggests that "an imperfect understanding of open access leads to difficulties in introducing new ideas to people" (p.42). This appendix will reason critically "to examine different points of view, reflect on their logic, evaluate the evidence, and come to a conclusion about what seems most reasonable or likely" (Kitchener and King, 1981, p.113).

In 2002 the Library and Information Statistics Unit of Loughbourgh University (LISU) conducted an empirical data gathering exercise for Jisc in order to capture trends in scholarly communication (Davies & Greenwood, 2004). The attitudes of stakeholders, which included authors, library directors, senior executives from the publishing industry and a manager from the British Library provided a snapshot on the views of scholarly communication in the UK. This helps to explain where some of today's current concerns about open access publishing, specifically open access monograph publishing have come from. The respondents highlighted a number of areas that they felt were part of the changing face of scholarly communication; the move to electronic formats, including formal communication via e-journals and informal communication via email; the widening of the potential audiences, interdisciplinary research and open access. One publisher described the changing picture as "less of a crisis in scholarly communication… than in scholarly publishing" (p.159). Interestingly, peer review and the reputation of e-material (a reluctance to publish in e-formats) were seen as constants. Jottkandt agrees, stating that, "[t]here is still a deep suspicion of online resources in many

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[67] The author has co-authored two guides on behalf of the OAPEN-UK project in order to reassure academics about open access publishing. The two guides (Collins, Milloy & Stone, 2013, 2015) were peer reviewed and edited by active researchers, to ensure that they were relevant and useful to academics faced with decisions about publishing, the guides were also approved by the Arts and Humanities Research Council, Jisc and Creative Commons (regarding the Creative Commons Guide). Both guides were aimed at monograph authors. The *Guide to open access monograph publishing for arts, humanities and social science researchers* has been reworked in part for this appendix along with additional evidence.

humanities fields, despite the benefits the internet has brought" (2008, p.2). This must be understood in relation to open access. If the Press is to become a successful open access publisher, it needs to understand author attitudes to digital humanities and open access. Despite very clear explanations of what open access is and is not (Suber, 2004), misunderstanding and misinterpretation seems to have dogged open access. This is despite many attempts to provide a rational explanation of authors' fears (Suber, 2009, 2012). The attitudes of authors to open access both in the literature and surveys over the past five-ten years mirrors the attitudes of authors to e-resources in the 1990's (Budd & Connaway, 1997; Speier et al., 1999), which identified that faculty held a "prevalent belief that electronic journals were lower quality than print journals" (McClanahan et al., 2010, p.210). This suggests that fear of change may be a factor rather than the format/model. However, there are also addition real concerns.

Shortly after the 2008 Research Assessment Exercise, the Research Information Network published a report in collaboration with Jisc on how and why researchers publish and disseminate their research findings, this report concluded with the following statement,

> Researchers are driven by a desire to enhance our knowledge and understanding of the world we inhabit, and to communicate their findings to others. But they operate in an environment where both governments and other funders are increasingly interested in demonstrating the social and economic returns from their investments in research, and where assessment of research performance features ever prominently. Moreover, the many different criteria for success, with no consensus on how success should be assessed or measured, mean that researchers often receive confused or conflicting messages. They are pulled in different directions in deciding which channels of communication they should adopt (2009, p.41).

The report hoped that its findings would be of use to the 2014 Research Excellence Framework. However, the deluge of new and rapidly evolving policies and subsequent inquiries and consultations have somewhat clouded the issue for researchers. It is entirely understandable that there is confusion as a clearer picture is yet to emerge. Researchers are getting mixed messages from funders, publishers and learned societies. If the Press is going to become a viable open access publisher it is vital that these views and attitudes are understood and confronted robustly.

2.0 Author Attitude surveys

Taylor and Francis circulated an author survey towards the end of 2012 (Frass, Cross & Gardner, 2013a), which received 14,700 responses from 140 countries. The pool of authors were taken from the whole population of Taylor and Francis authors in 2011. The global distribution of authors (only 11% were from the UK) may well have a bearing on some of the answers. 61% were from Humanities and Social Science (HSS) subjects and 41% from Science, Technology, Engineering and Medicine (STEM) subjects (adding up to 102%). Taylor and Francis state that they think this makes the survey representative of their authors, rather than all authors. However, it is the HSS authors that are particularly interesting to the Press. Taylor and Francis also state that this sample underrepresents authors who have actively chosen to publish open access. Again, this is useful information for the Press, as many authors will never have published open access. Findings relevant to the Press are discussed below. Supplements 9 and 10 of the results (Frass, Cross & Gardner, 2013b, 2013c) discuss breakdowns by age and professional status respectively, it appears that there

is not a great deal of difference between those at an early stage of their career and those in senior positions. The survey ran again in 2013 and this second survey was published in 2014 (Frass, Cross & Gardner, 2014a). This version included two supplements with additional geodemographic analysis (Frass, Cross & Gardner, 2014b, 2014c). There were small changes in attitudes between the two surveys and these are noted below where relevant.

A 2012 Ithaka survey of UK academics analysed responses from 3,498 UK academics. It found that "freely accessible" (Housewright et al., 2013, p.38) online content was rated as the second most important resource for academics after academic library collections. This suggests that academics will use open access material at the research stage. However, when it came to publishing, journals that made their content freely available online were only seen as important to one third of respondents. When asked about the last article or monograph published, two thirds of academics indicated that peer review, a reputable brand that signals quality and a high visibility channel were all very important. These areas will be discussed further below as they are also major areas of concern for open access, although as this survey shows, the concerns are not just limited to open access.

2.1   Open access: quality vs vanity

Peter Mandler, Professor of Modern Cultural History at Cambridge University reported that he has "encountered few if any humanities scholars who doubt that free public access to our scholarship would be a great price indeed, if it could be won without sacrificing academic freedom and quality" (Mandler, 2014, p.167). A survey for Jisc (with 1,296 respondents where 29% were from HSS subjects) found that there was broad agreement across disciplines from journal authors about the benefits of open access. The three top reasons cited across all disciplines were that:

1. Readership was larger
2. Open access journals were prestigious in their field
3. Articles would be more frequently cited (Swan & Brown, 2005, p.10).

However, findings of the PEER report into author attitudes (Fry et al., 2011) found that authors were reluctant to publish in open access journals because of perceived lack of impact factor, although this is subtly different to lack of citations. In addition, the PEER report found that author fees for the gold open access route were another negative factor. This report predated the research funders mandates that have now come into force, although the evidence below shows that it is still a significant factor and one to be considered by the University Press when deciding on both a business plan and a way to approach prospective authors.

The Taylor and Francis survey (Frass, Cross & Gardner, 2013d) reports that there is broad agreement across HSS subjects about the benefits of open access, specifically, wider circulation, faster publication times, higher visibility, larger readership and more citations. However, there is a significant minority of authors who do not agree and many that are neutral. This shows that there has been a change in the perception of authors over time. 36% of HSS authors thought that open access meant lower quality, this was a separate question to lower production standards, where 31% agreed. In the 2013 survey, there was an increase in agreement with the benefits of open access, especially with younger authors who were more likely to agree than older authors on the benefits and less likely to agree there were no benefits at all (Frass, Cross & Gardner, 2014c).

However, perhaps most notable was the question on whether open access had no fundamental benefit. Only 14% agreed with this statement (17% in the UK), with the vast majority expressing the view that there was a benefit. There were regional variations in the data with Asia, Africa and Latin America seeing the widest benefit to open access. This view is supported by findings regarding attitudes and values towards research communication (Frass, Cross & Gardner, 2013e). This shows that the majority of all authors believe that research should not be limited to those that can pay and that all research should be free to read for everyone. Swan and Brown (2005) identified that the main reasons authors had not published in open access journals was that they were not familiar with either the concept or the open access journals in their field, not that they believed that open access was of no benefit.

2.2　Perceptions about publishers

The InTech report asked about the perceptions of the publisher, the following comments are of particular interest to the Press.

> Overall experience is good, however, as the chapter author I did not obtain any feedback on my submission from the reviewers (Kenneway, 2011, p.12).

> and

> If there would be a review process, the writing process would be more natural and the chapter could be improved (Kenneway, 2011, p.12)

The report states that the publisher completely changed its approach after these comments and it is certainly something to note for the Press. Like InTech, the Press needs to provide clear feedback to authors of chapters. The Taylor and Francis survey (Frass, Cross & Gardner, 2013e) shows that authors still support the role of publishers in the research process, with only 6% saying that they are not an essential part of the research communication process. Fry et al. (2011) concluded that academic researchers had a very conservative set of attitudes, perceptions and behaviours towards the scholarly communication system. However, they identified a number of flaws in the current system particularly around publication lag, peer review and subscription costs, although there was no real wish to see wholesale changes to the way scholarly research was disseminated. The Press must consider these attitudes when approaching authors.

2.3　Attachment to print

Researchers in HSS disciplines have a strong attachment to print, which has led to a resistance in adopting open access publishing models (Kosavic, 2010; Milloy, Stone & Collins, 2011). This observation is also true of the evidence submitted to the HEFCE consultation, which received six comments on print only, three stating that arts and humanities books were not available online and therefore, open access would not take off in the near future. This is an interesting and slightly misplaced view as art and humanities books have been available in electronic form for a number of years and are a key part of an academic libraries e-portfolio (Stone & Heyhoe-Pullar, 2015).

3.0　Author attitudes to open access monographs

While many of the attitudes expressed above refer to journal publishing, the proportion of open access journals has reached a tipping point (Archambault et al., 2013). Therefore the move to open access journals has a certain amount of inevitability, particularly with the adoption of green and gold

mandates by funders. Xia (2009) also suggests that for journals, the library publishing route has been more readily accepted by those academics who are on the editorial boards of journals published by traditional presses. However, the same cannot be said of open access monograph publishing, which is still in its infancy.

Kenneway (2011) surveyed 25,000 authors held in the InTech (a multidisciplinary Open Access publisher) authors' database. Of the 8,000 responses, 75% said they thought open access was important or very important. This is perhaps unsurprising since they were publishing with an open access publisher and the report accepts this in its summary and conclusion. While the report is certainly flawed in the selection of its authors, the results should not be dismissed as invalid without closer inspection. Despite this rather obvious finding of open access authors preferring open access, the report did find that authors were unfamiliar with the open access model. The report implies that this is why some see open access as vanity publishing. This is an interesting comment as it could also be assumed that the authors' only interaction with open access was via InTech. There were two opposing views in the comments pulled out in the report,

> If a publisher does not offer my work online free of charge to a global audience, I won't even consider it. However, if the publisher wants to charge me an arm and a leg as publication charge, I definitely won't consider it. In other words, a good piece of work will find a global audience, sooner or later. The cream will rise to the top (Kenneway, 2011, p.9).

> As an author, I would not like to pay to publish my work. The credibility of the author is questioned when someone can pay and get something published (Kenneway, 2011, p.10).

The first comment shows little understanding that it costs to publish and someone has to pay. The second comment is very much based on the vanity publishing idea. However, it is not necessarily the act of someone paying that creates vanity publishing, it is the lack of editorial control and peer review.

Another quote from this report sums up the issues of open access publishing, which often only recovers its own costs. It is the apparent blind spot many authors seem to have for the traditional 'for-profit' publishing industry, which after all is a highly successful commercial enterprise. "When audiences are able to view it free of charge, the authors should not also be charged. Open-access publications have merely become a money making business" (Kenneway, 2011, p.10). Another author succinctly adds, "The challenge for OA is to convince readers of the quality of publication to my opinion" (Kenneway, 2011, p.10).

Regarding the importance of publication types, it is of no surprise that a survey of book authors ranked book publishing as the most important. It is certainly not an indicator of the rise of the open access monograph. The report concludes that for a reasonable price and providing some system of peer review remains in place, authors are "generally accepting of the value of free access to their work after publication" (Kenneway, 2011, p.17). These findings are not surprising given the publisher and pool of authors surveyed. The report makes a valid comment that perceptions of lack of peer review and open access have become intertwined. However, open access does not require any changes to the peer review process (Eve, 2014, p.146). New open access publishers must have a very clear policy, whether they run a light peer review system, e.g. PLoS ONE, or have full double blind peer review.

4.0   HEFCE consultation on open access in the post-2014 Research Excellence Framework

This section uses thematic analysis (see Chapter 1.5.1) to examine and code themes within the 263 individual responses by researchers, learned societies, university departments and publishers to the *HEFCE consultation on open access in the post-2014 Research Excellence Framework* (HEFCE, 2013). The HEFCE consultation asked a number of specific questions regarding monograph publications. Table 1 shows the themes that were brought out in the evidence submitted to the consultation regarding the specific questions around monographs:

> 46.   The advice we received on monographs and other book-length publications (for example, edited books) emphasised the very early stage of development of open access options for these types of publication. The majority view in the advice we received is that monographs should not be subject to the requirements for the next REF.

> 47.   The funding bodies accept that it is currently not reasonable to expect open access options to be widely available for long-form publications, and recognise the differences that exist between these publications and journal articles in terms of business models and publication cycles. Therefore we do not intend for the open access requirements to apply to monographs and books for the post-2014 REF.

> 48.   We recognise the value that long-form publications hold in some disciplines. We are therefore committed to working with the research and academic publishing sectors on developing a long-term approach to extending the benefits of open access publication to these output types.

> 49.   It is our view that there will be significant development in open access options for monographs and books in the coming years. We support the moves made by the Wellcome Trust to extend its open access policy to monographs, and look forward to seeing the developments in suitable models that this will surely encourage. HEFCE, in partnership with the Arts and Humanities Research Council and the Economic and Social Research Council, is now working to gather evidence on open access publishing models for monographs, and to explore possible avenues for future development in this area. Further detail of this work is attached at Annex B.

> 50.   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 (pp.5-6).

As a result a number of the statements of evidence that were received responded specifically to this area. These responses were coded in order to gain an impression of the main areas of concern from those that gave evidence, such as university departments, learned societies, publishers and individual academics.

Themes	Number of occurrences	Wider themes
Business models	120	Business models (Chapter 3)
Exemptions/Exceptions	86	HEFCE specific
General	43	General
Edited	27	Monograph Definitions (Chapter 3)
Non-academic works/creative works	24	Freedom of choice
International	18	International
IPR/Copyright/CC	16	Creative Commons
Contracts	16	Legal concerns
Embargoes	16	HEFCE specific
Quality/standards and peer review	15	Issues about quality
Freedom of choice	15	Freedom of choice
Future	13	General
Third Party Rights	12	Creative Commons
Monograph Definitions	6	Monograph Definitions
Print	6	Financial concerns
APC costs	5	HEFCE specific
University Presses	4	Issues about quality
Funding	3	Financial concerns
Series	3	Monograph Definitions
Accessibility	3	
Text/Data mining	2	
Post docs/independent scholars	2	
PHDs	1	
Dyslexia	1	
Pre-publication/green	1	
Impact of creative works	1	
Preservation	1	
Single OA platform	1	
Dois	1	
Public Libraries	1	
Digitisation	1	
ILLs	1	
Aesthetics	1	

Table 1. Number of appearances of specifics themes in the HEFCE evidence

A number of the themes were only relevant to HEFCE and the post 2014 REF. For example, exemptions/exceptions, APC costs and embargoes. Although embargoes will be touched on in Chapter 3. Business models and definitions will be discussed in full in Chapters 3, 7 and Appendix 1.1 as they relate directly to the publication process, rather than author attitudes. The remainder can be grouped into a number of wider themes, which are also shown above. Some of these wider themes

have also surfaced in the previous author surveys. Financial concerns, issues about quality, freedom of choice, legal concerns and concerns about international collaboration will be discussed below. Issues raised in the general and future themes are also touched on in the wider themes, as are business models, but only in relation to the themes. Finally, issues which came up three times of fewer were not thought to be of enough significance to discuss further.

4.1   Financial concerns

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

In most of the business models, discussed in Chapter 3, 7 and Appendix 1.1, publishers and presses are still offering print editions for sale. Brienza (2012) argues that monographs with high prices and short print runs exclude casual readers and are mostly 'buried' in research libraries, excluding anyone without an institutional affiliation from access. The OAPEN-UK surveys of HSS researchers (Milloy & Collins, 2014) shows a strong preference for reading print, and that academics like to buy their own copies of books. In addition, the Crossick report (2015) highlighted that the demand for print continues to be strong and that business models need to recognise this.

There is limited real-world evidence of what happens to sales when a free version of the book is made available online. Bloomsbury Publishing (2015) has made a reasonably large collection of books available for free in HTML but continue to sell e-books and print versions. When interviewed in 2008, Frances Pinter, then head of Bloomsbury Academic commented, "[w]e may lose some print sales because of free access, but we will gain other sales because more people will want the print edition" (Park, 2008). OAPEN-NL (Ferwerda, Snijder & Adema, 2013), 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.

4.1.2   Will researchers still receive royalties if their book is published in open access?

This is not necessarily an open access question. It 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, this is the case for a number of Press publications. In most cases royalties are not paid for open access business models (Milloy, Stone & Collins, 2011). Some publishers may also offer royalties on any eBook versions sold depending on the business model they use. Where print sales or eBook sales are an option, there is no reason why authors should not receive royalties, this is particularly relevant for titles where there is a trade overlap, such as novels, poems and plays. The biggest issue for the Press is to explain that royalties for scholarly monographs are not the norm and that open access is not the reason they are not paid. Indeed Walter Hildebrandt, Director at Athabasca University Press in Canada (Kwan, 2011, p.61) suggests that royalties are very low for monographs and that this is partially the reason why prospective authors are moving to open access. Other reasons stated are increased citations and an increase public interest. The six initial focus groups for OAPEN-UK indicated that payment of royalties was perceived as a bigger problem by publishers and institutions than authors who ranked royalty payments as fairly low in their priorities (Milloy, Stone & Collins, 2011).

4.2   Issues about quality

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

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 in order 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. This needs to be a core principle of the Press.

4.2.2   *What about peer review?*

With respect to open access journals, Chavez (2010) notes academics concerns regarding peer review and this is verified by previous surveys on author attitudes (Adema & Rutten, 2010; Fry et al., 2011; Sweeney, 2000). The Taylor and Francis Open Access survey (Frass, Cross & Gardner, 2013f) found that HSS authors still looked for a traditional peer review process even if this took a long time (regionally, the UK was the biggest supporter of this with 52% of authors saying this should always be the case). There does seem to be some interest in an accelerated peer review process, either using the PloS One model or with fewer rounds of revision, particularly in business, leisure and tourism. This reflects a change in author attitudes over time. Nicholas, Jamali and Rowlands (2006) found that 34% of their respondents highlighted peer review as an issue, and many of these were concerned about the new alternative model. The Taylor and Francis survey seems to indicate a gradual thawing of this view. The 2013 survey (Frass, Cross & Gardner, 2014a) shows a small reduction in the overall figures for traditional peer review. This would seem to be supported by author comments in the survey regarding a benefit of open access being the speeding up of the publication process (Frass, Cross & Gardner, 2013d). There was far less interest in post publication peer review with 54% saying they would rarely or never use this process, although business did show some interest in this style of peer review.

Authors are concerned that open access publications will impact on promotion and tenure. Chazez (2010) believes this is "inextricably linked" (p.9) to the peer review process or rather the perceived lack of it in the open access publications process, the 'free equals no value' argument. However, this is still a concern for open access monograph publishing and was seen as an issue in the HEFCE consultation. "Monographs require extensive peer review and editorial work and it is difficult at this stage to conceive of suitable open access business models which would offer the same kind of editorial quality" (British Association for Chinese Studies, 2013).

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 a traditional model (Eve, 2014; Thomas, 2006). This is not the case, Lawson describes this as a 'fallacy' (Lawson, 2013, p.43). Harboe-Ree (2007) suggests that library publishers may, in fact, be more flexible in their refereeing process, although this might not be helpful if perceptions are going to be changed and would depend on the

monograph being submitted, just as it would at a traditional publisher. In fact, because of these perceptions, many publishers who offer open access, and especially new presses, go the extra mile to show their academic integrity. Most 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) (n.d.) 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 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, which includes 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 OASPA (Open Access Scholarly Publishers Association) (2015). Therefore, 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, this is discussed further in Chapter 3.

It is important that researchers should be aware that 'predatory publishers' or 'vanity publishing' houses do exist (Beall, 2012). 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 their work. These publishers are not open access publishers.

Finally, regardless of the open access debate, there is an ongoing debate about the future of peer review itself, 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 (Newton, 2014). This contradicts the views from the Taylor and Francis survey. 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. Fitzpatrick (2011) expands on this in her work Planned obsolescence, itself released in draft form for open peer review in 2009 (Fitzpatrick, 2009).[68]

4.2.3   *Will publishing in open access make a 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 are not. These views are based upon a number of factors, including the individual researchers own experience and that of their peers as reputation is closely linked to promotion, grant awards and other professional success (Milloy, Stone & Collins, 2011). Eve suggests that mentoring schemes in universities are partly responsible for entrenched attitudes as senior academics advise early career researchers to follow the same practices that they have used (Lawson, 2011, p.43).

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

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[68] The author has also experimented with open peer review as part of the TERMS (Techniques for Electronic Resources Management) and OAWAL (Open Access for Academic Librarians) projects (Emery & Stone, 2013, 2014).

peer reviewers and engaging with their academic audiences. This is exactly what new open access publishers and presses are doing. For example, setting up prestigious editorial boards (Willinsky, 2009) 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. 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. Fisher suggests that authors confuse low cost of production with low quality content and therefore prestige, rather than open access leading to greater distribution and enhanced prestige (Fisher, 2008). Missingham and Kanellopoulos (2014) argue that a library press at the Australian National University has had a "significant impact in increasing access to and the reputation of ANU research outputs" (p.163). Like any new press, the University of Huddersfield must take issues around prestige into account. Chapter 3 discusses certain disciplines that are already appearing to attract authors, particularly music and history and Chapter 7 demonstrates the impacts and value of Press outputs to the University in the 2014 REF.

4.3 Freedom of choice

4.3.2 Will universities push researchers to publish articles over monographs and therefore comply with the HEFCE REF and RCUK policies?

This particular issue, although very REF/HEFCE mandate focussed, is also very relevant to the business of the Press. The simple answer is no. Monographs are regarded by funders as valuable outputs and are excluded from the mandates. This is confirmed by the Crossick report (2015), 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 universities to discourage researchers 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 (University of Huddersfield, 2015). On the green route to monograph publishing, Thatcher comments that for open access monographs he hopes the indignities of green open access will not have to be suffered and that full funding will be offered (Thatcher, 2009).

4.3.3 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 a book is more accessible than a hardback costing £50-80. 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 (Individual 043_Redacted, 2013). 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.

There is as yet, 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. 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 HSS. Print on Demand means that publishers do not have to invest in expensive print runs and then store or pulp the copies that do not sell. This issue has certainly arisen for the Press. However, it was more a misconception on behalf of a number of Press authors that their publications were going to crossover into trade publishing and become best sellers, this issue will be discussed further in Chapter 3.

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 a Book Processing Charge (BPC). This 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 on Amazon or in their local bookshop. In this case, open access versions would not be likely to affect paperback sales, so the publisher may still choose to put out a paperback version.

Another concern in the evidence was that research output in certain disciplines, poetry and literary works for example, 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 is no reason that authors should not continue to place their book wherever they think it will fit best. However, there is no reason why authors could not gently encourage these publishers to engage with the question of open access at the same time.

4.4   Legal concerns

This particular section of concerns is expanded in Appendix 2.2, Copyright and Creative Commons. Broadly speaking, the concerns expressed in the HEFCE consultation (2013) were not very different to the concerns expressed in the evidence given to the House of Lords (2013) and House of Commons (2013) inquiries. Again, much of the comment centred on the misunderstanding and misinformation about copyright and Creative Commons.

As well as author copyright, concern was expressed about third party copyright in open access monographs. Just as in the traditional print format, authors are 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, there may be 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 after a certain period of time the content would be re-licenced. However, with open access there is the potential for unlimited copies, which could exist in perpetuity. This can make rights holders nervous and also unsure of how to price for the permission sought. 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 is not yet clear how new conventions will arise to deal with this, but it is worth stressing that it is not a problem of open access per se, it is a challenge for *all* electronic books.

4.5 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 are usually subsidised by their parent institution. This model has now been followed by new university presses in the UK and US. In many cases these are managed by the library and listed in the Library Publishing Coalition Directory (Lippincott, 2015). A number of open access experiments have taken place in Europe, such as OAPEN-NL (Ferwerda, Snijder & Adema, 2013) and OAPEN-UK (Milloy, 2010), and French librarians are using the OpenEdition freemium model to trial open access for monographs (OpenEdition, n.d.).

In addition, many 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. A recent example of an international press being willing to experiment with open access monograph publishing is Cambridge University Press who agreed to publish the recent monograph by Professor Martin Eve on full open access without any embargo. The print copy was then made available to purchase (Eve, 2014).

4.5.1   Non-UK funders approaches to OA monograph publishing

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

- The Austrian Open Access Policy for FWF-funded projects includes a standalone publications policy for monographs, collections and non-standard publications. There are a number of options such as a lump-sum grant of up to €18,000 for production costs for innovative publication formats including foreign-language editing or translation and open access publication (Rieck & Reckling, n.d.)
- The Wellcome Trust has gone further by mandating open access publication for monographs based upon research it has funded, and will pay any associated publication fees (Wellcome Trust, 2014)
- The EU-funded OpenAIRE2020 project for post-grant FP7 publications was announced in February 2015. This €4m fund enables European researchers to cover the costs of open access publishing, although aimed predominantly at journal articles, the fund will consider monograph publications (Manola & de Castro, 2015)
- In the Netherlands, Sander Dekker, The State Secretary for Education, Culture and Science, wrote a Parliamentary document on open access to publications, outlining the Dutch position, which covers both books and journals (Dekker, 2014)
- In the United States, many private funding organizations such as the Ford Foundation (2015) and the Bill & Melinda Gates Foundation (2015) have also adopted policy mandates for research funding. The Gates Foundation states that its mandate "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 (Bill & Melinda Gates Foundation, 2015).

Therefore, there is nothing to suggest that international collaboration for open access monograph publishing is not possible, and may even be mandated.

4.5.2   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 it should be acknowledged that in some cases internet costs and reliability can be a problem.

5.0   Conclusion
Both the literature and the evidence given during the House of Lords and Commons inquiries and the HEFCE consultation show that there is still a great deal of unease about open access and what the funder requirements may bring for all types of research output, especially in the UK. These are the attitudes and concerns that the Press has to be ready to counter with logical and clear arguments that show the benefits of an open access Press. That said, open access publishing for monographs already has significant support from some authors. The 2014 OAPEN-UK author survey found that that nearly 50% were 'positive' or 'very positive' about open access for monographs, with that proportion rising to 71% among PhD candidates (Milloy & Collins, 2014).

Appendix 2.2 will explore the attitudes of researchers and learned societies to Creative Commons licence, a key aspect of open access publishing.

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Appendix 2.2. Creative Commons

1.0   Introduction[69]

As an open access publisher, Creative Commons (CC) licensing is central to the business model of the Press. Carroll describes this as enabling "new intermediaries to create business models for the distribution of creative works by professional authors" (2006, p.52). CC licences have been used in a variety of open access monograph publishing experiments such as OAPEN (2011) and Palgrave Pivot (Palgrave Macmillan, n.d.), peer reviewed journals such as Biomed Central (2015) and PLOS (n.d.) and Magnatune, an online record label, which used Creative Commons licensing as part of its business model (Garcelon, 2009; Corbett, 2011).

The publication of the Finch Report (2012) has led to step change in the way academic journals are published. Many funders including RCUK now require research outputs to be published in open access using a Creative Commons Attribution licence (CC BY). This allows others to share (copy and redistribute the material in any medium or format) and adapt (remix, transform, and build upon the material for any purpose, even commercially) (Creative Commons, n.d.). In relation to research monographs, current open access mandates from RCUK funders only apply to journal articles, but there is no guarantee that this will continue to be the case. The Wellcome Trust (2013a) has extended its open access policy to include scholarly monographs and book chapters (CC BY is strongly preferred, not mandated).[70] These mandates will have a direct impact on the dissemination of research by the University and potentially an impact on where authors choose to publish.

There is an atmosphere of scepticism, fear and misconceptions around Creative Commons. This is combined with genuine concerns and in some cases misinformation (Kosavic, 2010). This has led to misinformation being given to academics particularly in the arts, humanities and social sciences (Burgess, 2015). This is evidenced in the review of the responses by researchers, learned societies and publishers to the HEFCE consultation on open access publishing, public evidence given to inquiries in the House of Commons and the House of Lords, and author surveys, such as those released by Taylor and Francis, InTech, Ithaka and OAPEN-UK (House of Commons Business, Innovation and Skills Committee, 2013a, 2013b, 2013c; House of Lords Science and Technology Committee, 2013a, 2013b; HEFCE, 2013; Frass, 2013a, 2014a; Kenneway, 2011; Housewright,

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[69] This appendix is based on the *Guide to Creative Commons for Humanities and Social Science monograph authors* (Collins, Milloy & Stone, 2013), the author was part of the research team that coded the two inquiries and a co-author of the guide. The guide addressed these concerns and others expressed by researchers working with the OAPEN-UK project, it was edited and peer reviewed by active researchers. In addition the guide was checked by Jisc legal experts, approved by Creative Commons and part funded by the Arts and Humanities Research Council. Both inquiries have been recoded and the guide re-worked for this thesis.

Eve's *Open access and the humanities: contexts, controversies and the future* (2014) derived much of the section on Creative Commons from the above guide and has cited this in the notes to page 89.

[70] Chapter 1 notes: Regarding future plans after the post 2014 REF, "HEFCE are signaling an intention to introduce Open Access for monographs after 2021 to the REF (or its equivalent)" (Tanner, 2016, p.34) and have laid out their "[p]rinciples for a future policy on open access monographs" in a consultation document released in December 2016 (HEFCE, 2016, pp.36-38).

Schonfield & Wulfson, 2013; Milloy, 2010). An example is the 2013 press release from the Linnean Society; "[t]he CC-BY licence is of concern per se, because an author's work can be adapted, and so risk them being misrepresented, with no comeback" (Rollinson, 2013). This is not a correct interpretation of the Creative Commons licence and will be discussed further below.

This appendix uses thematic analysis to code and identify a number of common questions and themes.[71] It is divided into the general themes, which have emerged from the coding and will draft answers to the issues raised. As an open access publisher, the Press needs to understand these attitudes and be ready to proactively address author questions and concerns as they arise as part of the publication process.

2.0 Copyright and Creative Commons

Copyright is the "exclusive right given by law for a certain term of years to an author, composer, designer, etc. (or his assignee), to print, publish, and sell copies of his original work" (OED Online, 2015). Copyright, which is separate from an author's moral rights, arises automatically as soon as a work is reduced to a material form, such as writing (MacMillan, 2008). Although originally designed to protect the rights of the author to financially benefit from the fruits of their labour, Fitzpatrick argues that in recent years "copyright has increasingly come to be assigned to corporations, rather than being retained by the individual whom the principle was in theory meant to protect" (2011, p.80).

Broadly speaking, there are two models that are used to handle author copyright in publishing, Copyright Transfer Agreements (CTA) or Transfer of Copyright Agreement and License to Publish (LtP). Copyright can be transferred to a third party, for example, the publisher, by the author in either an assignment or a licence. For many traditional publishing models, the publisher will require the author to assign the copyright to the publisher using a CTA in order to generate revenue from the work. The length of the contract will vary from publisher to publisher. CTAs, which also vary from publisher to publisher, usually transfer exclusive rights of reproduction, public performance, public display, and modification of the original work to the publisher, including those pertaining to electronic forms and transmissions. In addition, the publisher, as the copyright holder, has exclusive rights concerning use of the work. For example, distribution, access, pricing and updates.

Once the CTA has been signed, the author must ask permission for reuse unless the use is one of the statutory exemptions in copyright law. Common rights reserved by authors and granted by publishers in a contract, whether based on a CTA or an exclusive LtP are the right to:

- Make further copies of all or part of the work for private use and class room teaching
- Reuse all or part of the work in a compilation of a work or text book by the author
- Make copies of the published work for internal distribution within the institution that employs the author.

If a publisher does not offer these rights as standard in the contract, in the most extreme cases the author may not be able to use their own work in course packs or other teaching, use sections, such as tables and figures in conference papers or deposit the work in an archive, repository or web site.

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[71] It should be noted that only the major themes that are relevant to the thesis are discussed in this appendix.

Willinsky (2006) comments that while most journal publishers insist on a CTA, many monograph authors hold the copyright for their works, implying that the monograph publisher only holds the right to first publication. Eve (2014) suggests that it is more probable that the publishers wish to be assigned the copyright in order to reproduce the work in other geographical areas, rather than to protect the author against copyright violation. Therefore, by signing a CTA, the author has given away the right to ever benefit economically from the work, which is an antithesis of the principle of copyright (Fitzpatrick, 2011). It is for this very reason that CC licences actually offer protection at least as good as traditional licences (Milloy & Ferwerda, 2013).

In an LtP, which is often the preferred licence of open access publishers, the author retains copyright and licenses rights to the publisher to maintain control over their rights. Eve (2014) notes that in an exclusive LtP the author retains the economic rights they lose in a CTA but they then effectively give away the practical benefits of doing so as the publisher has the exclusive rights to make money from the work. Whereas with a non-exclusive right to publish, or in the case of the Press, an exclusive right to first publication, the author retains the right to licence the work to others. The loss of any income in either LtP model, may also depend on whether there is a royalty clause in the contract. Some of the main differences between a typical Copyright Transfer Agreement and a Licence to Publish are illustrated in Table 1.

	Copyright Transfer Agreement	Licence to Publish
Copyright	All copyright is transferred to the publisher including exclusive rights of reproduction, distribution and modification of the original work to the publisher	Right to first publication held by the publisher. Copyright held by the author under a CC licence
Archiving	Author archiving rights are held by the publisher	Author controls archiving rights
Use of abstract	Publisher controls rights for use of abstract	Author may use for commercial purposes, e.g. can be given to A&I services to index
Third party rights	Author must clear all third party rights before the agreement is signed	Author must clear all third party rights before the agreement is signed

Table 1. Copyright Transfer Agreement vs. Licence to Publish

Different agreements affect the way in which an author is able to use and distribute their own work. Therefore, it is essential that authors discuss the contract with their publishers and check that they are happy with the rights that have assigned or licensed and the clauses of the contract that determine what they can and cannot do. However, a small survey of University of Huddersfield

authors conducted in 2010 (Stone 2010a, Stone, 2010b) revealed that only 68% of those that replied to the survey ever read their own copyright agreements.

It should be noted that the LtP route, which uses the Creative Commons licence is one of a number of alternative models that could be negotiated by an author. For example, it is possible to request a number of addendums, such as those outlines in the SPARC Author Addendum (SPARC, 2006). There are also a variety of sample LtP agreements available, depending on country and jurisdiction, such as those available at the JISC/ SURF Copyright Toolbox (JISC/SURF, n.d.).

Morris et al. (2013) state that regardless of whether the author signs a CTA or LtP, there are four areas, which should be covered in each agreement:

- The publisher needs to be able to defend the copyright of the author's work
- The publisher needs to be able to sublicense the work, e.g. translations
- The author needs to be able to self-archive in an institutional of subject repository subject to embargo
- The author needs to be able to reuse the work, e.g. classroom use.

However, it is interesting to note that while a LtP and Creative Commons licence allows this by default, many commercial publishers, still do not allow the last two points.

2.1   Creative Commons

Creative Commons was launched in December 2002. It was developed from an initiative of law professor Lawrence Lessig at Stanford University (Willinsky, 2006; Klimpel 2012). CC is an international not-for-profit organisation that aims to improve clarity about what can be done with published content. CC licences enable the author to specify the conditions of re-use that best suit their needs while ensuring that the work is duly credited. This generally means academic books or journal articles, but CC licences are used by all kinds of content creators – photographers, musicians, artists, Wikipedia contributors and data, to give just a few examples. CC licences are available in three different versions, a simplified version, a legal version, which is the actual licence, and a machine readable licence. The simplified version and machine readable version links to the full version.

Carroll likens the use of Creative Commons licenses to facilitating "cheap speech, for example, allowing a teacher to easily find materials to copy for course packs without having to request permission" (2006, p.48). However, the variations of the licences can complicate this view, the discussion about the use non-commercial licences expands upon this below.

Table 2 illustrates the six variations of the Creative Commons licences to choose from. The six Creative Commons licences are built on copyright and last for the same length of term as applicable copyright. In their evidence to the House of Lords inquiry regarding Creative Commons, PLoS reported that "objections that have been raised to its use are largely based on misunderstanding and ignorance" (House of Lords Science and Technology Committee, 2013b, p.235). Criticism or misunderstanding of Creative Commons may in fact be a criticism or misunderstanding of copyright in an online environment (Corbett, 2011). Creative Commons is a relatively mature set of licences based upon copyright laws and the licences have been successfully adopted by the academic community, particularly in the sciences.

ATTRIBUTION (BY)

Apart from requiring references to the author(s), rights holder(s), source of the work and the license text itself, this CC variant puts no further restrictions on the user. She can use the work freely and edit it in any thinkable way. Therefore, using the work in remixes and mashups is allowed.

ATTRIBUTION – SHARE ALIKE (BY SA)

Just like BY this CC variant allows all kinds of re-use and editing, even for commercial purposes. However all edited versions of the work (derivatives) must, if they are published or distributed, be available under this very same license.

Only these two license variants are certified to be free licenses in the meaning of freedomdefined.org and are thus suitable to make sure works licensed under it stay re-usable.

ATTRIBUTION – NO DERIVATIVES

This CC variant does not allow the work to be edited. Commercial uses are allowed.

All CC variants above can be combined with the NC module (for „non-commercial use only"; commercial use requires additional approval). This leads to six possible CC variants altogether, this being the additional three:

BY-NC   BY-NC-SA   BY-NC-ND

PUBLIC DOMAIN — There's an additional legal tool called CC0 (CCzero) for setting a work free without any specific conditions. CC0 thus is a complete waiver of copyright and related rights. This is meant to help creatives to voluntarily place works in the „Public Domain". According to Creative Commons, this tool is especially suitable for databases.

Table 2. The six variations of Creative Commons licences (Klimpel, 2012)[72]

Graf (Graf & Thatcher, 2012) questions whether copyright itself has a valid function in science and scholarship. Ideas, principles and scientific results are not subject to copyright and science is measured by reputation not money. It is for these reasons that CC BY is the most appropriate licence. The ability to build on existing research is a common view in the physics community, CC BY enhances this (Gulley, 2013). However, it is uncertain whether this view would be reciprocated in other sciences or the humanities and social sciences. In a response to Graf, Holl (2012) argues that although ideas cannot be copyright, the resulting outputs can be and that articles using or arguing with the results of a study are derivatives of the idea and not the article and that modification of the article is a very unscientific idea.

2.2   The link between CC licences and open access

The Budapest Open Access Initiative (2012) defines open access as contents that users,

> read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the

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[72] Used under a CC BY-SA 3.0 Unported licence https://creativecommons.org/licenses/by-sa/3.0/legalcode

only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

It does not automatically follow that all open access will be Creative Commons and all Creative Commons will be open access. However, Wilbanks argues that Creative Commons is a "well-tested and deeply established as an open access licence for both for-profit and non-profit publishers" (2013, p.441). It is enforceable around the world because it offers an internationally established legal structure that is aligned with the aims of open access. CC BY is the most "liberal licence that allows any kind of use under copyright as long as the author is credited in the manner in which he or she specifies" (Willbanks, 2013, p.441). It fulfils the tenets of open access (Graf & Thatcher, 2013; Willbanks, 2013; Budapest Open Access Initiative, 2012) and is the required licence for UK research funders. It also drives tens of millions of dollars of revenue for scholarly publishers, such as BioMed Central and PLoS. Indeed, despite the flaws in copyright, Corbett (2011) believes that CC licences strengthen the influence of copyright law.

Mabe (2011) argues that "rules governing publication must allow publishers to obtain the exclusive use of copyrighted content in relevant media (e.g. online, electronic, print, micro-fiche etc.) so that the substantial investments they make in scholarly communication can be recovered" (p.2-3). This is a very traditional view from the publisher. Morrison (2012) argues that Mabe does not address the question of how the public (as funders) actually benefit from the results of this research. Mabe's argument certainly contradicts Fitzpatrick's (2011) description of the original purpose of copyright - for authors to financially benefit from their labour.

Klimpel (2012) notes that the real threat is to stay with the status quo of copyright, the assumption that 'all rights reserved' means 'nobody is allowed to use my content'. This effectively describes current academic publishing practice. Although it directly contradicts the aims of academic endeavour, to disseminate research widely, it also contradicts the aims of the Press that "material should be published on Open Access via the University Repository, in order to maximise the potential for dissemination to as wide an audience as possible" (Appendix 1.1). Klimpel concludes that the use of Creative Commons licences express the desire to say that "[e]verybody is allowed to use my content, under the following terms and conditions" (2012, p.9), and this certainly underlines the objectives of the University Press.

Mabe's view has largely been superseded by developments in the UK. The question of the traditional 'copyright' view verses Creative Commons being partly answered by Finch (2012) and the subsequent RCUK policy on open access (2013). The RCUK policy suggests that the paradox of publically funded research remaining behind a pay wall could be answered by the principle that all publicly funded research should be freely accessible, and that this research should be made available using a CC BY licence.

Maracke describes the Creative Commons licensing model as "the best-of-both-worlds" (2010, p.13). It gives an addition option for copyright holders to be more flexible with theirs rights. However, Morrison (2012) implies the CC BY alone is not enough. This is certainly the view that is being taken by the Press. CC licences are being used in tandem with LtP agreements.

2.3   The growth of CC BY

UK funders polices (RCUK, 2013; Wellcome Trust, 2013b) build on the work of the Open Access
Scholarly Publishers Association (OASPA). A trade association established in 2008 to represent the
interests of scientific, technical and scholarly disciplines open access journal publishers. OASPA
"strongly encourage (but currently do not require) the use of the CC-BY license wherever possible"
(Redhead, 2012). OASPA cite "the emerging consensus on the adoption of CC-BY". This reflects the
fact that the more restrictive Creative Commons licence limits the possible reuse of published
research (Redhead, 2012). In 2012 OASPA released figures showing the growth in CC BY licenses (see
Figure 1).
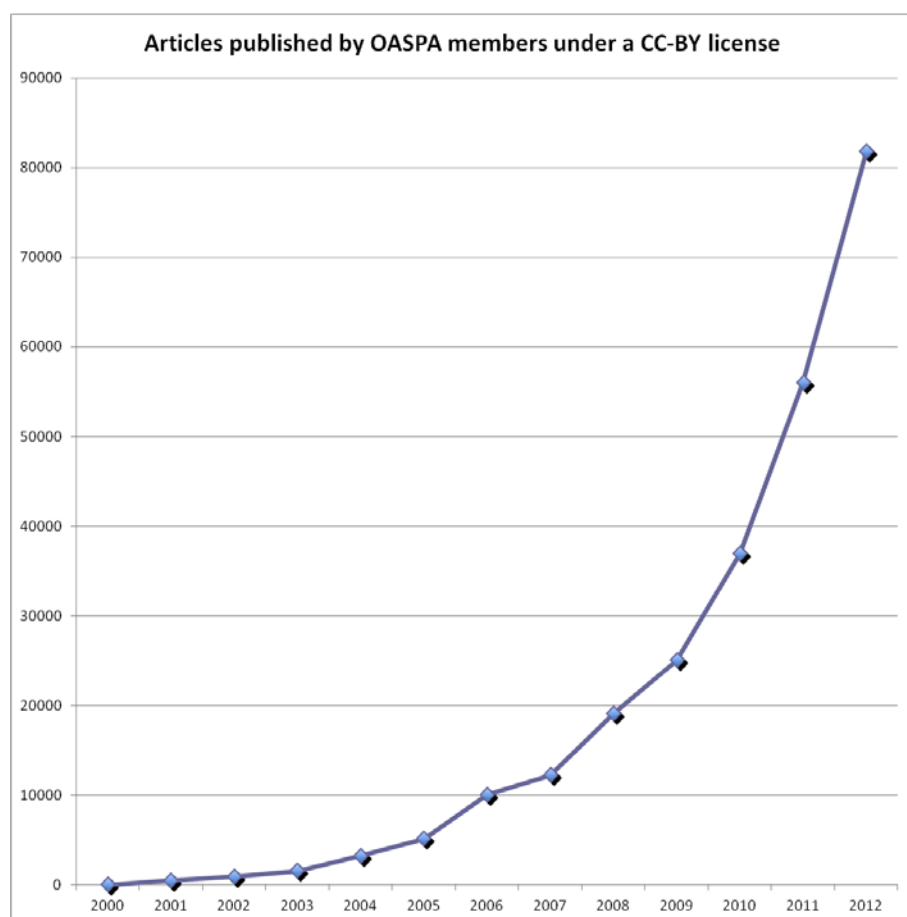
Figure 1 Growth in use of the CC-BY license (Redhead, 2012).[73]

Suber (2011) appears to contradict these figures in his 2011 list of open access journals from
scholarly publishers. The list states that only 15% of society journals used Creative Commons
licences. An increase from the 3% in the 2007 list (Suber & Sutton, 2007). In November 2012,
Morrison (2012) reported that this figure had risen to 28%, with only 11% using CC BY. Suber does
not include hybrid open access journals in the study (these were included in 2007) due to the shear
amount of hybrid titles available. "Hybrid OA journals are so risk-free for publishers, and
consequently so numerous, that including them would have taken most of our time" (Suber, 2011).
One can therefore assume that even if a small number of hybrid articles use Creative Commons

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[73] Used under a Creative Commons Attribution 4.0 International Public License
https://creativecommons.org/licenses/by/4.0/legalcode

licences, this number will significantly increase the number of articles. The RCUK and Wellcome mandates will certainly increase the number of articles using CC licences over the next few years.

3.0   Author awareness of Creative Commons and copyright

In a 2010, as part of International Open Access week (Shockley, n.d.), a small survey of research active staff was conducted at the University of Huddersfield. The survey looked at the attitudes of staff and researchers to open access and the University repository, 114 responses were received in total. Two questions covered author's attitudes to copyright. 74% of those who responded thought that, on submission of a journal article to a publisher, copyright should stay with the author, employer or funding council. Of those who said 'other', the majority thought that copyright should be shared. However, 25% did not read their own CTA, which usually transfers all copyright to the publisher. Of the 68% who did read the copyright transfer agreements, the results from the previous question in the survey implied that they did not necessarily agree with what they were signing. Thus many authors in this particular survey seemed unaware of what the copyright of their work was and that they were transferring their rights.

Morrison (2013a) criticises the OASPA data shown in Figure 1 indicating that many more articles are published on open access every year without a CC BY licence and refers to recent research by Taylor & Francis regarding author attitudes (Morrison, 2013b). However, as noted in Appendix 2.1, this survey states that these authors do not represent the majority of open access authors (Frass, Cross & Gardner, 2013a). Although the views expressed in the Taylor & Francis survey do resemble some of the comments received by the two inquiries.

Given this level of awareness it is perhaps unsurprising that there are also misunderstandings about CC licences and therefore potential barriers to open access publishing. In their 2007 digital content strategy, the National Library of New Zealand also suggested that there was,

> some evidence that the effectiveness of such licences are limited by creators' and users' understanding of copyright law. Creators may end up being unsure about what rights they hold under the law, and what rights for use are they actually licensing under Creative Commons (2007, p.21).

Corbett (2011) also suggests that the confusion over copyright also extends to the experts, who continue to debate both terms and conditions and the theoretical foundations.

The remaining sections of this chapter are based on the views expressed in the two inquiries and others, which have come to light as part of the OAPEN-UK researcher surveys (Jisc Collections, 2012, 2014) and Taylor and Francis surveys (Frass, Cross & Gardner, 2013a, 2014a). These concerns are of specific importance to the Press. CC BY is the licence that the Press has adopted in order to maximise the distribution of its publications. Major concerns will be outlined below. Misunderstandings and misrepresentation of issues regarding Creative Commons will then be addressed using details from the CC website and relevant literature.[74]

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[74] The original guide was checked by Jisc legal experts, approved by Creative Commons.

4.0　Copyright and the law

4.1　Creative Commons licences as an alternative to copyright

It is important to be very clear that Creative Common licences are **not** an alternative to copyright. In written evidence to the House of Lords inquiry, the Association for Learning Technology expressed concerns that "there seems to have been a wilful misunderstanding of the interplay of Open Access and APCs with factors such as copyright, Creative Commons licensing, moral rights, journal impact, and academic freedom" (House of Lords Science and Technology Committee, 2013b, p.17).

CC licences are "a form of copyright licence that can be linked to via the Web" (Carroll, 2006, p.47). They are built on copyright and last for the same length of time as applicable copyright. Indeed Creative Commons licences would not work without copyright (Klimpel 2012). The licences permit certain re-uses, enabling the author to specify the conditions of re-use that best suit their needs while ensuring that the work is credited.

4.2　Copyright ownership for a Creative Commons publications

The Rt. Hon. David Willetts MP, Minister of State for Universities and Science, Department for Business Innovation and Skills (BIS) at the time of the House of Lords inquiry stated that "much of the discussion seems to be based on misinterpretation and misrepresentation of what the CC-BY licence will and will not allow" (House of Lords Science and Technology Committee, 2013b, p.108).

The link between CC licences and open access has often meant that they are assigned as part of an LtP as described above. In this case, copyright usually remains with the author. However, as with many aspects of publishing, this is all subject to the agreement between the publisher and the author. There is no reason why the author should not assign copyright to the publisher on the condition that their work is subsequently licensed using Creative Commons.

The approach that the Press has taken for journals has been to require the author to sign a LtP and assign a CC BY licence to the work. Press monographs have been treated in a different way due to previous agreements with authors. However, the same methods are being adopted for future open access monographs (See Appendix 1.1).

Once a work is published under a Creative Commons licence, the author cannot prevent use under the terms of that licence until the copyright in the work has expired. However, the author, as copyright holder, can make the work available under different terms and conditions. An author of a work can also waive the existing conditions or grant additional permissions that are not covered by the Creative Commons licence. For example, if a work was assigned a Creative Commons licence with a non-commercial clause and the author was contacted by a publisher who wanted to include a chapter of the book in an edited collection, which would be sold for profit, this can be permitted. Thus, CC licences allow the author, as a creator of content, to be precise about how others may, and may not, use their work. Therefore, the licences are flexible enough to allow the owner of the copyright to say exactly what is and is not allowed. This is not too different from the present situation. The important change is that the owner of copyright often moves from the publisher to the author.

4.3   Pursuing a breach of a Creative Commons licence in a court of law

Creative Commons are very clear about this, the licences are drafted to be enforceable around the world, and have been enforced in court in various jurisdictions (Corbett, 2011; Hagedorn et al., 2011). In addition many individuals and organisations, including Governments are now using the licences.

The parties to a Creative Commons licence are the 'Licensor' and 'the Author'. The Licensor is defined as the individual or entity that offers the work under the terms of the Creative Commons licence, for example the University Press. Therefore, in this case the publisher is responsible for enforcement. In the event that the author offers the work to the public it would be the author. It would also depend on the agreement between the author and the publisher.

4.4   Plagiarism

It is important to note the difference between an infringement of copyright or CC licence and plagiarism. Plagiarism is primarily an issue of academic ethics rather than the law. Although it has some crossover with copyright, content can be plagiarised even after it is out of copyright. In addition, sanctions for plagiarism, in academia, are usually carried out through institutions and employment decisions rather than through the courts.

A number of comments were made to the inquiries over concerns about plagiarism. For example, the Social History Society reported that Creative Commons "offers virtually no protection against plagiarism", and that "commercial re-use, offers virtually no protection against plagiarism (republication of an author's work will be possible, subject to the author being merely 'credited')" (House of Lords Science and Technology Committee, 2013b, p.346). This view is countered by evidence given by Eve; "one of the criticisms of CC-BY, that it will enable "plagiarism" is wholly untrue" (House of Commons, 2013b, p.220). Dr Michael P Taylor stated that it was "…flatly wrong to say that CC BY encourages plagiarism" (House of Commons, 2013c, p.190). Indeed, Ben White, Head of Intellectual Property at the British Library reported that "it's possible to plagiarise anything – but everyone wants to be discovered" (White in Milloy & Ferwerda, 2013).

The purpose of Creative Commons licences is to allow copyright holders to offer their works to the public on conditions expressed in the selected license. All Creative Commons licenses require that the original author is attributed, meaning that any plagiaristic use is unacceptable. The author can also require users to cite the original publisher of the work. And users must provide a link to the original version of the work, if the author has made this available. The Social History Society statement is a good example of the misinformation described by Rt Hon David Willetts MP (House of Lords Science and Technology Committee, 2013b, p.346).

As with third party rights (see below), the problem of plagiarism is to do with enforcement rather than protection. Plagiarism has been and will always remain a serious issue of academic misconduct, but this is an issue that relates to all forms of publishing, rather than something which relates specifically to Creative Commons licences and open access.

5.0   International collaboration

5.1   International use of Creative Commons

Creative Commons licences were originally written to work within the US legal system. However, global interest in the licence led to the foundation of Creative Commons International in 2005 (Garlick, 2005). Creative Commons International works with local experts to ensure that licences are adapted, or 'ported', so that they fit with national copyright legislations. The porting process itself includes the translation of the licences and legal adaptations to the particular jurisdiction so that they are legally enforceable while maintaining the key elements of the original licence (Maracke, 2010). In 2015 there were over 100 affiliates working in over 79 jurisdictions worldwide to support and promote CC activities (Creative Commons, 2015).

Creative Commons licences are in constant development. The international 'unported' licences on version 3.0 were launched in 2007 and were used by the Press initially. Simmonds (2010) warns that if copyright owners do not attach the appropriate Creative Commons licence to their jurisdiction, then it may not exactly align with the copyright law of their country. However, version 4.0 of Creative Commons, launched in 2013, has sought to answer "questions about the degree to which the 3.0 licenses could ever be fully accepted internationally" (Creative Commons, 2014). As a result, the Press has now updated its licenses to version 4.0.

5.2   Creative Commons licences and international authors

At first glance, this area would not seem to be of particular interest to the Press. However, the Press has already published work by European and North American authors and recording artists. There is no reason to assume that Creative Commons licensing would discourage international authors from publishing with UK publishers and thus the Press. Indeed, the ability of the Press to offer CC licences may be more attractive to international authors who want to publish using Creative Commons licences but do not have this option in their native country.

6.0   Book sales

6.1   Income verses open access

There is concern over the issue of book sales regarding CC BY licensing. The Association of Learned and Professional Society Publishers (ALPSP) stated that "[p]ublishers need to consider how they will replace this lost income" (House of Lords Science and Technology Committee, 2013b, p.23).

However, this is why projects such as OAPEN-UK (Milloy, 2010) have been funded by Jisc and AHRC. To establish whether open access publishing with CC licences has an impact on sales. In addition new business models are also being investigated (Crossick, 2015). This will be discussed further in Chapter 7 and Appendix 1.1.

6.2   Author royalties

Dr Paul Kirby and Dr Meera Sabaratnam reported that Creative Commons licenses also affect those authors "who want to retain the right to royalties from the reproduction of their works". (House of Lords Science and Technology Committee, 2013b, p.198). This issue was highlighted in initial research undertaken by OAPEN-UK. The same concerns were expressed by librarians in early focus groups. However, focus groups with authors revealed that royalties were viewed as relatively unimportant for academics seeking to publish their work (see Figure 2). Issues such as reputation

and prestige, which were closely tied to promotion and grant awards, were more important. (Jisc Collections, 2012; Milloy, Stone & Collins, 2013) This point is also discussed in Appendix 2.1.

Figure 2 Author priorities. Services rated important/very important (Jisc Collections, 2012)[75]

7.0   Funder mandates

7.1   Author flexibility

There is a great deal of comment in the evidence about authors being forced into adopting a licence that they disagree with. For example, Sage Publications reported; "real concern is over the blanket move towards compulsory use of the CC-BY licence for open access articles" (House of Lords Science and Technology Committee, 2013b, p.342). This is something that the Press can expect to face; either as part of a funder mandate or as part of its policy on open access and Creative Commons.

The sciences have been using CC BY licences for journal articles for a number of years. In the case of publishers such as Biomed Central and PLoS this has been the basis of their business model. As such, there is support from the evidence from the sciences. However, there are objections from the social sciences and humanities researchers, for example the Society for Research into Higher Education (SRHE) reported that they were "extremely concerned about the current policy decision to require only the lowest form of protection for authors and all publishing partners by limiting copyright licensing arrangements to Creative Commons Attribution (CC BY)" (House of Lords Science and

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[75] This work by Jisc Collections is licensed under a Creative Commons Attribution 3.0 Unported License

Technology Committee, 2013b, p.351). Again, this is down to misunderstanding of some of the aspects of Creative Commons licensing.

At present, the only mandate for researchers to use a Creative Commons licence for their monographs is from the Wellcome Trust. Even if other research funders such as RCUK and HEFCE do decide to support open access for monographs, there is no guarantee that they will select a Creative Commons licence to enable this, although it seems likely that they might.

7.2   Funding requirements

Funding bodies are entitled to set such terms as a condition of funding. Just as publishers do as a condition of publishing. Researchers can choose whether or not to accept these conditions when the funding is offered. They can in theory decline the funding if they disagree with the terms. If major funders such as HEFCE decided to move towards supporting CC licences, there would be very little choice for researchers who did not want to use these licences. But ultimately the funder is free to decide how it wants the outputs of its investment to be made available as a condition of contract.

OAPEN-UK has demonstrated that many researchers feel their considerable investment in a book justifies more negotiations with funders when it comes to licence terms (Jisc Collections, 2012, 2014). This is something that researchers and their representatives still have an opportunity to consider. This needs to be considered when books are published by the Press.

8.0   Questions over reuse and author rights

8.1   Sharing outputs that have been published under a Creative Commons licence?

There are many more opportunities to make a publication with a Creative Commons licence available than through traditional publishing routes. Discoverability is discussed in Chapter 2 and as part of each press imprint case study. However, there are certain issues around the idea of sharing and free use and re-use that were pertinent to the inquiries and Creative Commons licensing. These have particular relevance to monograph publishing, although some issues also effect journal articles.

There are many opportunities to make an open access monograph with a CC licence available. For example, publishers' websites, library catalogues, university and subject repositories, Google Books, specialised open access book aggregators such as the OAPEN library and the Directory of Open Access Books (DOAB), web scale discovery systems, author pages, learned society pages and funder and charities sites. However, although this helps to disseminate the work and fulfils the funder mandate, some of the types of dissemination listed above will be dependent on the type of licence used and the content included in the work. These issues have been subject to a great deal of discussion in the two inquiries and are discussed in detail below.

8.2   Third party rights: permission for text or images to be published under a Creative Commons licence

This issue was raised in specific relation to the humanities and social sciences. The Academy of Social Sciences "noted that CC-BY is not structured to establish permission to re-publish from literary sources or with respect to copyrighted images" (House of Lords Science and Technology Committee, 2013b, p.10). This is another example of misrepresentation of the facts regarding CC licensing. This is explained by the British Sociological Association comment in the House of Commons inquiry,

"[t]he general naivety about intellectual property rights and online reuse is likely to create significant problems for monitoring and enforcing the correct licensing and reuse of research and its 3rd party material" (House of Commons Business, Innovation and Skills Committee, 2013b, p.153).

Open access publishers in the sciences have been successfully dealing with this challenge for some time (Burgess, 2015). Essentially, if an author wants to use images, text, graphs or diagrams that are not published on open access, they need to get permission. In evidence to the House of Lords inquiry, the Wellcome Trust suggests that this is not a major barrier, and can be readily managed by applying a different licence to third-party content (House of Lords Science and Technology Committee, 2013b, p.414).

In reality, there is no difference in clearing third party rights for a work published in the traditional manner and that published through a Creative Commons. Traditional CTAs include a section on clearance of third party rights. CC licences actually make it very easy to include third party content by allowing exclusions in the licence. Authors clearly mark third party content to ensure that users understand the different licence conditions which apply to that content. An example from the Creative Commons wiki illustrates this

> Example of marking your own work:
>
>> Except otherwise noted, this blog 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 © 2009 Jane Park, used under a Creative Commons Attribution-Noncommercial license: http://creativecommons.org/licenses/by-nc/3.0/
>
> (Creative Commons, 2013)

A further example can be seen in the first volume of the Press's student research journal *Fields*, where an author has sought appropriate permission for a number of figures and assigned copyright appropriately. The article itself is available on a CC BY licence (Lockwood, 2015).

Clearly marking the excluded elements in the text and stating the terms under which third party content has been made available ensures that those reusing that content without permission from the original rights holder are in breach of copyright. Even if they found the content in an open access article. Conversely, the Institute of Physics Publishing have found that readers do tend to view the article as a single unit and may not read or adhere to the licencing statement (Gulley 2013). However, it could be argued that there is little difference between this scenario and users adherence to copyright in traditional forms of publishing. This then becomes a matter of enforcement for the author/publisher/licensor of the work and risk assessment for the user, rather than an issue that has purely arisen from adopting a Creative Commons licence.

There are other concerns. The aim of open access is to ensure that more people can read academic publications. Even though exclusions may ensure that third party material is protected, there will be a much bigger audience for that material. Therefore there could be a perception on the part of third party rights holders that there are more opportunities for illegal misuse. Third parties may also be

concerned that inclusion of their content may undermine their business model/revenue streams. For example, a poet may not give permission for his/her poem to be included if it means that fewer people will buy the poem. Once again, this is more a question for open access than Creative Commons. So the issue is really about enforcement. Some of these concerns are already in evidence in relation to traditional publishing business models. For example, the reluctance of some third party rights holders to allow their content to be used in e-books.

Corbett (2011) suggests that many authors assume copyright applies to all work and cites the use of an eight word, 47 character haiku licenced under a CC BY-SA licence. This haiku may not actually be protected under copyright as a literary work and so would not need to be attributed with a different licence. The implication from this is that an author is likely to be more cautious than maybe necessary. Ultimately, if authors are unable to get agreement from the rights holders they would have to choose alternative content. This is no different from the traditional publishing route. However, concerns of the third party rights holders may be greater.

8.3   Reuse and moral rights

A CC BY licence means that anyone can reuse an author's work, but they must abide by certain conditions. Moral rights have been the subject of much academic debate (Corbett, 2011). For example, Masiyakurima, states that "[c]opyright protection must therefore be seriously overhauled if moral rights are to be widely perceived as vehicles for protecting authors' rights" (2005, p.411).

Article 6bis of the Berne Convention states that:

> (1) Independently of the author's economic rights, and even after the transfer of the said rights, the author shall have the right to claim authorship of the work and to object to any distortion, mutilation or other modification of, or other derogatory action in relation to, the said work, which would be prejudicial to his honor or reputation.

> (2) The rights granted to the author in accordance with the preceding paragraph shall, after his death, be maintained, at least until the expiry of the economic rights, and shall be exercisable by the persons or institutions authorized by the legislation of the country where protection is claimed. However, those countries whose legislation, at the moment of their ratification of or accession to this Act, does not provide for the protection after the death of the author of all the rights set out in the preceding paragraph may provide that some of these rights may, after his death, cease to be maintained.

> (3) The means of redress for safeguarding the rights granted by this Article shall be governed by the legislation of the country where protection is claimed" (World Intellectual Property Association, 1979).

All Creative Commons licences since version 2.0 require attribution (Brown, 2004). Thus, an author must be attributed unless it has been specifically stated that the author does not want this. If the author does not want to be attributed the user must comply, indeed inappropriate attribution is unlawful (Burgess, 2015, p.20). This would address the concerns of authors who did not want their work being used to advertise or endorse another work without permission. Although a CC BY licence does not stop the work being used in such a way, there are still traditional methods for the original author of the work to object. For example, using comments or letters to the editor, or publishing a

follow up article (Gulley, 2013). Once again, there is little difference in reacting to a CC BY licenced work than a traditionally published output. Therefore, because Creative Commons licences require attribution there is no effect on moral rights, except when the work is dedicated to the public domain (CC0).

Users must clearly mark any changes they have made to the original work, so that these are not associated with the original author. Reuse must not imply that the author endorses or supports the changes that have made or the new work that has been produced. Mandler's (2014) objection to CC BY is that it is an attribution licence, meaning that although it can be seen that the original work has been altered, it is difficult to see how. Instead Mandler favours the CC BY-NC-ND licence (see below).

Regarding the use of a work that the author does not condone or support. The evidence to the inquiry shows further misunderstanding of Creative Commons. For example, the Political Studies Association of the UK view was that "[t]his means that the authors effectively lose control over their work; so long as it is attributed anyone can use the work." (House of Lords Science and Technology Committee, 2013b, p.245). The Zoological Society of London (ZSL) considered that the "CC-BY licence effectively removes many of the key rights of authors over their work" (House of Lords Science and Technology Committee, 2013b, p.418).

Maracke (2010) notes that the authors right to object to derogatory treatment of the work does impact on the potential to modify the work and create derivatives. Therefore the author does have the right to object. This is corroborated by the Wellcome Trust as part of the submitted evidence,

> Moreover, the CC-BY licence *does* protect authors against having, for example, poor translations done or against having their articles reprinted in anthologies where the context might be offensive, through the author's moral rights, which give authors the right to be correctly attributed and to object to derogatory treatment of the work (House of Lords Science and Technology Committee, 2013b, p.413).

If a work is adapted or used in a way that the author does not agree with (for example, because it is incorrect, or because the author does not support the stance of the users) there are several options. The simplest is to waive the right to attribution for that specific instance of use. As stated above, the user must remove the attribution or they will be in breach of the Creative Commons licence.

Creative Commons licences all contain a 'no endorsement, no sponsorship' clause, which explicitly says that users may not imply that the original author supports or endorses their reuse of the work. If they violate this clause, they are in breach of the Creative Commons licence. Users must also be very clear about any changes they have made to the work. For example, removing words, or they will also be in breach of the Creative Commons licence.

As with plagiarism, misuse of academic research is a longstanding and recognised problem. Nothing in the Creative Commons licence makes it acceptable for a user to misrepresent or misuse an author's work. But with open access, more people will be able to find academic content because it is no longer behind a pay wall. Unfortunately, some of these people may put the content to uses that are not acceptable to the original author. The issue is again one of enforcement.

Moral rights vary by jurisdiction, but usually include the right to be identified as the author of the work, the right to have a work published anonymously, and the right to the integrity of the work.

However, it is interesting to note that despite being a signatory of the Berne Convention, under United States copyright law only authors of visual work are protected under against the two moral rights described above (Corbett, 2011).

Organisations such as CrossRef are investigating ways to help researchers understand which version of an open access publication they are using, as a CrossRef member, the Press will seek to adopt best practice.

9.0   Questions about commercial use

9.1   Concerns over CC BY and the preference for using a 'non-commercial' licence

A number of learned societies, such as the Royal Historical Society, expressed concerns over the use of a CC BY licence as the most liberal Creative Commons licence (House of Commons Business, Innovation and Skills Committee, 2013c, pp.115-118; House of Lords Science and Technology Committee, 2013b, pp.322-326). The Wellcome Trust's mandate on monographs recommends a CC BY-NC licence (Wellcome Trust, 2013b). Furthermore, respondents to the Taylor and Francis survey (Frass, Cross & Gardner, 2013b) selected the CC BY-NC-ND as the second most preferred licence after an exclusive licence to publish. CC BY was by far the least preferable licence. Although the amount of objections to the CC BY licence dropped from 52% citing it as least preferred in 2012 to 35% in 2014 (Frass, Cross & Gardner, 2014b). There are implications here for both funders and ultimately the Press, if it is to push the idea of CC BY licences.

However, definition of 'non-commercial' in Creative Commons is open to interpretation (Corbett, 2011; Hagedorn et al., 2011). This is certainly backed up by some of the statements to the inquiries, which show that the definition is still open to misunderstanding and misinterpretation (House of Lords Science and Technology Committee, 2013b). In addition the intended effects of use of the NC licence can often by achieved by using others means, but the use can have unwanted consequences that have not been identified by the author (Klimpel, 2012).

The licence formerly used the words 'commercial purposes', this has now been replaced by 'commercial advantages'. However, this is open to interpretation in itself as it is not defined by Creative Commons or in the law of most countries (Hagedorn et al., 2011; Keller & Mossink, 2008) and does not contain a moral evaluation of the business conduct of the organisation (Klimpel, 2012). There is some debate and further misunderstanding about whether non-commercial means for not-for-profit. Klimpel (2012) argues that authors who choose the NC licence are in fact disassociating themselves with inappropriate profiteering, using the example of licence fee claims for distributing singing sheets in kindergartens as something that has caused public outrage, but which, under copyright law, is entirely justified.

Linksvayer (2011) noted that there had been a lack of disputes regarding CC BY-NC as licensors were liberal in their expectations in what the licences would do, while licensees were conservative in the interpretations of permissions. While this argument has value this could also have the negative impact of discouraging the commercial funders described above. For example, charitable "not-for-profit" organisations (Hagedorn et al., 2011) or blogs which contain advertisements (Klimpel 2012). Even if text and or pictures with a CC BY-NC licence were used in a free publication by a charity, if

this led to increased membership or public interest leading to voluntary contributions it could be conceived as gaining commercial advantage and therefore in breach of the licence.

These arguments are compelling, but are in direct contrast to the findings of Morrison (2012) and the learned societies who are arguing for a non-commercial element. Morrison argues against CC BY and the OASPA statement on open access for members (OASPA, 2015) by saying that the strongest OA licence is CC BY-NC-SA. Morrison sees the danger of CC BY being the ability to re-issue the work as a commercial offering. Keller and Mossink (2008) argue that any use of share alike or no derivative works create restrictions on the use of educational and research material. The no derivatives option prevents translations, abridgments, summaries and other adaptations of a work and is arguably even more restrictive and makes building on research and collaboration very difficult (Graf & Thatcher, 2012). Keller and Mossink (2008) suggest that creating derivatives of a piece of work is the very essence of the scholarly process and therefore, no derivatives and share alike licences are too restrictive to this process. As a result SURF, the Dutch higher education and research partnership for network services and information and communication technology, has "emphatically" said no to the CC BY-ND, CC BY-ND-SA and CC BY-NC-ND-SA licences and considers the use of the CC BY-NC and CC BY-NC-SA licences as being 'less desirable' (Keller & Mossink, 2008). However, the ND licence may be applicable to some authors and musicians (Klimpel, 2012). Indeed this is the recommended licence for the University of Huddersfield thesis policy (University of Huddersfield, 2009).

Additionally, supporting UK economic development and growth is a key reason for the Government's support for open access publishing. Graf dismisses the use of the CC BY-NC licence for this reason stating that "commercial use can mean more impact for a work" (Graf & Thatcher, 2012, p.2).

Willbanks (2013) argues that a licence such as CC BY-NC requires legitimate justification. For example, if article publication costs have been covered by an APC, then reserving the rights is a way for the author to double dip. This is a very interesting argument and one with some merit. Journal article authors do not get paid, scholarly monograph authors rarely receive an honorarium or royalty payment, so the profit is always made by the publisher or other party. Restricting commercial use does not protect the author from loss of revenue. Wilbanks states that non-commercial licences discriminate against entrepreneurs and "fail every definition of open access, open knowledge and open source" (p.441). Linksvayer (2011) notes a long term trend towards a lower proportion of NC use and concludes that it may in fact work as a gateway to more openness. This certainly appears to be the attitude of publishers such as Brill Open (2015) who allow the use of both CC BY and CC BY-NC licences for both books and journal content.

Another argument, which also has relevance to the Press, is that by releasing content on a CC BY licence, as an open access e-book or journal article, allows others to make a profit from the work at a later stage. A CC BY-NC licence would prevent this. However, this argument is also deeply flawed. If the Press was to publish an e-book on a CC BY licence and ensure that it was widely published and easily accessible, why would anyone go to another site that had re-published the book and was selling it at a cost? The original work would have to be referenced. Wilbanks observes that, "[a]nyone who pays for an object under CC BY is either making a donation, or is paying a tax for being inept at searching the Internet" (2013, p.441). Thatcher (Graf & Thatcher, 2012) counters this argument by stating that open access monograph publishers, such as the National Academic Press,

Bloomsbury Academic, University of Michigan Press and Penn State Press would not have been able to publish if the works were licenced under CC BY. This is due to the lack of available funding meaning that those presses rely on the income from print on demand and/or PDF sales and that CC BY encourages others to publish the work for profit. There appears to be little evidence that this is the case. For example, the Press aims to cover costs only and would therefore sell print on demand at little over cost. There would be little worth in trying to undercut this, and potentially little demand given the sales figures discussed in Chapter 3. Indeed, revisions that may be required in order for commercial interest to be realised may mean that the costs outweigh the benefits (Keller & Mossink, 2008).

It does appear that author reactions to re-use change depending on the phrasing of the question (Frass, Cross & Gardner, 2013c). Mention of CC licences seem to cause a greater negative reaction, whereas questions about re-use do not. In a later question in the Taylor and Francis survey (Frass, Cross & Gardner, 2013c) 44% of authors agreed that there should be no restrictions on reuse of research outputs. By permitting all commercial re-use removes the problems and uncertainties described above. It allows users to re-use the work without worrying about whether they might accidentally make money from it!

9.2   Making money from another's intellectual property?

There is some overlap between intellectual property and moral rights (discussed above). Many of the points of evidence discuss both issues together. Societies such as the Social History Society believe that "[u]nfettered creative commons licensing would constitute a serious infringement of intellectual property rights and pose a threat to UK intellectual capital" (House of Lords Science and Technology Committee, 2013b, p.346). Regarding commercial gain and IPR, Keller and Mossink (2008) argue that this is exactly the status quo we already have. An author signs all commercial rights over to the publisher, including derivative works such as translations. It is the publisher who earns the money from this, with the author receiving nothing. This is certainly true for the journals market and also for the scholarly monographs market where data suggests that proceeds are rarely substantial enough for royalties to be earned (Eve, 2014).

Furthermore, authors surveyed by the OAPEN-UK project did not rate monetary compensation as an important reason to publish a scholarly monograph (Jisc Collections, 2012). CC licences may actually offer researchers new opportunities for revenue streams. For example, open access publishing will make research outputs far more visible to commercial companies via resource discovery systems and search engines than dissemination via traditional publishing. A reader outside of the university sector will face a paywall. This may subsequently create income via research funding and enterprise from commercial companies that seek partnerships with the academics. Keller and Mossink (2008) describe the use of non-commercial licenses, which would negate the potential for further funding and collaboration as 'consequently counterproductive' to the role of public educational institutions.

The issue of profit is also one of contractual obligation. If researchers and their employers enter into a contract with a funder or organisation, which requires the publication of funded research findings to be published in a certain way, e.g. CC BY, then the researchers must either abide by that or negotiate to change the conditions of funding or employment. This has neatly summed up by the Earl of Selborne in the House of Lords inquiry,

Can we agree, at least, that if the author, quite frankly, is not going to outgun the Research Council UK—if it is publicly funded research or funded by another organisation—it should be the funder who should decide and not the publisher? (House of Lords Science and Technology Committee, 2013b, p.404).

Keller and Mossink (2008) conclude that far from rejecting the current state of affairs for exactly the same reasons that some are fighting open access and, by association, Creative Commons, many authors are fighting fiercely to keep it. This is evidenced from the statements to the House of Commons and House of Lords enquiries.

10.0   Conclusion

Many concerns about Creative Commons licensing have been expressed in response to the findings of the Finch Report and the subsequent RCUK policy. These are evident in public evidence given by researchers, learned societies and publishers to enquiries in the House of Commons and the House of Lords. Many of these concerns are natural and will be felt by potential Press authors. Researchers, rightly, feel strongly about their intellectual output, especially monographs, which may often be the culmination of years of work. Creative Commons licences offer what appear to be significant changes in the way that work is made available to the public. It is understandable that they lead to some concern.

However, as this appendix has shown, there are some misunderstandings about what is permitted by the CC licences. Plagiarism and misuse of content are expressly prohibited by the terms of all Creative Commons licences. In many cases, the real concern is about what happens when breaches of these prohibitions occur, and this is where effort needs to be focused. Open access makes content available to a much wider audience, many of whom are not familiar with the conventions of the academy. CC BY licences give greater rights to reuse work, while still protecting the author's moral rights. As a consequence there may be some users who do not respect the terms of the CC BY or other CC licences, either through malice or just through lack of understanding. However, this would be the same with any licence and terms and conditions of use. The main issue is to ensure that authors and publishers have a clear understanding of the importance of CC licences and copyright and that they are agreed as to how these licence terms will be enforced. Eve argues that, despite "different spheres of endeavour" there is not a single author that would not benefit from any of the Creative Commons licences even if it was to gain free access to a book momentarily (2014, p.95).

If the Press is to be successful in its aims it is important to explain the benefits of using a CC licence. The following points were made as part of the OAPEN-UK guide to Creative Commons and endorsed by Creative Commons:

- The author keeps ownership of copyright
- The six Creative Commons licences are flexible enough to say exactly what is and what is not allowed
- They enable an author to modify copyright terms to best suit their needs
- They ensure that authors get the credit they deserve for their work
- Although once a Creative Commons licence is applied it cannot be altered, the author can waive the existing conditions or grant additional permissions

- The author is not prevented from selling the work or making a profit, unless otherwise specified in their contract with the publisher
- Creative Commons does not affect the format of the publication; print copies can still be produced
- Depending on the agreement between the author and publisher, royalties, where received, are not affected
- The peer review process is also unaffected
- Third party content CAN be included in a work published under a Creative Commons licence subject to their agreement
- The Creative Commons licence can be applied as an international licence
- Breach of a Creative Commons licence can be pursued in a court of law
- An author's moral rights are unaffected (except in a CC0 licence)
- An author can waive their right to attribution if the work is adapted or used in a way that they do not like.
  (Collins, Milloy & Stone, 2013)

While there is an argument to say that CC leads to some loss of control for authors (Graf & Thatcher, 2012), this is also the case with a CTA where the traditional publisher controls these permissions. However, the potential benefits far outweigh any negative effects and this is the view of established publishers, such as Institute of Physics Publishing (Gulley, 2013). It certainly seems beneficial as a policy to adopt for the University of Huddersfield Press, both for journals and for monographs.

However, authors need to know far more about Creative Commons, their moral rights and copyright in general. The OAPEN-UK *Guide to Creative Commons for humanities and social science monograph authors* (Collin, Milloy & Stone, 2013) has been well received, but the Press web pages also need to address these issues.

Understanding new ways of communication and sharing of information and enforcement when things go wrong are key to developing new business models. Morrison (Morrison, 2012, p.60) implies that CC BY is not enough and that it should be included in the LtP from the journal or book publisher, citing Co-action as an example of CC BY plus licence being a better way forward. This hybrid example is the method adopted by the Press, which will ask authors and editors to sign a Licence to Publish while adopting a CC BY licence where possible.

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Appendix 3.1. University of Huddersfield Press publications Pre-2010

The Press was responsible for the publication of a number of monographs before the re-launch in 2010. Although out of scope for this research, it is important to understand how far the Press has come in a relatively short space of time. A number of these were credited to the University of Huddersfield, others were credited to the University of Huddersfield Press. Regrettably there is no paperwork associated with these publications so costs and initial print runs are not known. In addition, no contract or licensing agreements were signed at the time. Instead there appears to have been a gentlemen's agreement with the authors.

Sons and daughters of labour

This particular title was published in 2007 and marks the centenary of the Labour Party and is an edited work consisting of case studies, essays by academic historians and recollections from party activists. The book itself was edited by a number of senior academics in the University and contained thirteen chapters written by academics and prominent labour MPs, including David Blunkett. However, a marketing plan was never put together and this may help to explain the poor sales. The title page verso states that the chapters are copyright the authors. There is real potential for this title to be turned into an open access title. However, all of the authors would have to be contacted as no contract appears to have been signed.

Teacher education at Huddersfield

This title credits the University Press as publisher. It was fully funded by the School of Education and Professional and marked the sixtieth anniversary of Huddersfield Technical Teacher Training College. The book includes a note from the then Head of Computing and Library Services, Professor John Lancaster,

> The University of Huddersfield has a developing publications programme utilising information and communications technologies and more conventional publishing methods. These encompass open access electronic journal publishing, print on demand publishing, a developing institutional electronic repository, a range of web based technologies and tradition book publication (Cook et al., 2008, p.ii)

Looking back at this seven years on, the statement can only really be described as visionary, as many of the ideas described, such as open access and journals publishing were not even started until 2011.

Unfortunately the book itself, while of interest to the history of the University has not sold well. It is uncertain how many copies were printed, however, around 600 remain in store. Like *Sons and daughters of labour*, it may be pertinent to produce an open access copy. However, there are no electronic files of either book in existence.

Issues in post-compulsory education and training

This was the last of the pre-2010 titles to be published by the Press. The book was an edited work consisting of nineteen journal articles, all of which had been previously published by authors in the School of Education and Professional Development. The book was produced as a reader for students

and retailed at £10. It is understood that it created a revenue stream for the School. Exact numbers sold do not appear to have been recorded. However, there is an ethical question which arises from this publication. All nineteen articles were available to students in the University as part of current journal subscriptions, effectively students had free access to these articles instead of being asked to pay for the book. Although the publishers were contacted for re-use permission in a commercial work (Taylor and Francis, n.d.), there is a question of whether it was ethically correct to charge students for work that was freely available to them as library subscriptions. The Committee on Publishing Ethics (COPE) guidelines do not cover this particular case (COPE, 2013), indeed a number of publishers have themselves republished their own journal content as book chapters. This form of publication no longer fits with the remit of the Press and would do nothing to increase its prestige.

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Appendix 3.2. Grey literature

Grey literature can be defined as, "[t]hat which is produced on all levels of government, academics, business and industry in print and electronic formats, but which is not controlled by commercial publishers" (Fourth International Conference on Grey Literature, 1999).

Royster (2008) found that a review of an average month's most viewed repository downloads at the University of Nebraska-Lincoln would yield that more than half of the top ten would be 'original documents' rather than pre-prints of published material and that student dissertations account for more than half of the most downloaded works each month. Royster concluded that there is potential here for publishing this original content. This is certainly true for the University repository at Huddersfield. With regards to the University grey literature output, this includes outputs from Schools, Departments or Research Groups and may take the form of reports, working papers, discussion papers, Government reports and PhD output. Some of this output will be assigned an ISBN on request, other material, such as theses may be made available as part of University policy. Essentially, grey literature at the University covers all written material that is not formally published by commercial publishers or the University Press. As Royster states, peer review of these outputs is provided by the faculty, not the publisher. Each dissertation/thesis comes complete with potential peer reviewers in the form of the supervisors and external examiners. However, much of this material may form an important part of a research output and must be made publicly available in order for funders and the general public to have access to this research. Grey literature has formed a small but well used part of the University repository since its inception in 2007. This output represents 5% of the full text outputs in the repository.

An assessment of the University of Huddersfield's grey literature was conducted by the author for the Press Editorial Board in 2014. This revealed that there was potential to develop a number of avenues and in one case the Press had missed an opportunity to publish a highly significant book, *Children of Prisoners* (Jones et al., 2013), which was entered into the 2014 REF and has had 1,928 full text downloads in the two years since publication in July 2013.

The main opportunity for the Press is to use the grey literature report to identify areas of research, which may be targeted for future monograph publication (and possibly new journal titles), rather than using the repository as an overlay service to publish all grey literature through the Press (Lawson, 2013). In addition the repository provided access to 140 doctoral theses in 2014. The Press could contact potential authors to discuss the possibility of converting their theses into a monograph publication. Although Harris warns that a hurdle in the Australian Research Council funded 'From thesis to book project', "…was the relatively slow receipt of manuscripts from the selected doctoral students" (Harris, 2007, cited in Steele, 2008).

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Appendix 4.1 Huddersfield Open Access Publishing Project Plan

Project Information			
Project Identifier	*To be completed by JISC*		
Project Title	Huddersfield Open Access Publishing (HOAP)		
Project Hashtag	#hoapp		
Start Date	1 May 2011	**End Date**	31 October 2011
Lead Institution	University of Huddersfield		
Project Director	Sue White		
Project Manager	Graham Stone		
Contact email	g.stone@hud.ac.uk		
Partner Institutions	n/a		
Project Webpage URL	http://library.hud.ac.uk/blogs/projects/hoap/		
Programme Name	*Information Environment Programme 2009-11. Strand D: Activity Data*		
Programme Manager	Josh Brown		

Document Information			
Author(s)	Graham Stone		
Project Role(s)	Project Manager		
Date	24 May 2011	**Filename**	HOAP_plan_ver1.0
URL	*http://library.hud.ac.uk/blogs/projects/hoap/documentation/*		
Access	This report is for general dissemination		

Document History		
Version	**Date**	**Comments**
1.0	24/05/2011	

A Appropriateness and Fit to Programme Objectives and Overall Value to the JISC Community

Background

1. Background to Teaching in Lifelong Learning journal

The Teaching in Lifelong Learning: a journal to inform and improve practice was conceived and initiated as one objective of the application by the University of Huddersfield, along with its partner colleges and wider networks in the lifelong learning sector (LLS), to become a Centre for Excellence in Teacher Training (CETT) in 2007. The application was successful and the Huddersfield University's Distributed Centre for Excellence in Teaching Training (HUDCETT) became operational in September 2007 with a remit to support initial teacher training (ITT) and continuing professional development (CPD) across the wider LLS and including higher education. The focus of HUDCETT was both regional (across the North of England) and national. The national elements included the establishment of a journal that would be supported (both financially and in terms of editorial, peer reviewers and submission of papers) by all the CETTS that existed across England (some 11 in total) and that would provide the following:

- Papers that reflected on work that focused specifically on practitioners and trainee teachers in ITT and CPD across the LLS
- An opportunity for novice researchers from the sector to develop and hone their writing for publication skills with shorter papers (two to four thousand words) but yet were peer reviewed and met the normal academic standard expected in published journals
- A space for practitioners who had undertaken dissertations at Masters level or who had undertaken research in their own organisations, to present their findings to a wider audience and to the benefit of that audience
- Contributions to practitioners' understanding of pertinent issues that would inform their practice, thus improving their capacity and that of the sector in quality enhancement
- As a cross-CETT production, the journal would be an accessible, relevant and focussed publication that was written by the sector, about the sector and for the sector
- A cost-effective method of introducing trainee teachers to academic publications
- A journal that could be used to inform policy-makers and stakeholders and represent a thoughtful, considered and practical approach yet founded on solid academic constructs

Given the present and future public sector funding cuts and their impact on institutions in the LLS, it is likely that, despite the benefits above and the reasonable pricing structure of the journal (£50 per annum for two issues), many institutions would cancel their subscriptions.

2. Background to University of Huddersfield University Press

The University of Huddersfield Press has been recently established to provide an outlet for publication for University authors. It aims to encourage new and aspiring authors to publish in their areas of subject expertise and to raise the profile of the University through publications. It also provides a publishing outlet for specialist works or those with a local focus which would not necessarily be attractive to large commercial publishers. The principles governing the Press are that:

- All material published should be of high quality and peer reviewed
- As a general rule, material should be published on open access via the University Repository, in order to maximise the potential for dissemination to as wide an audience as possible. Publications may also be made available by print-on-demand.
- The Press will operate on a cost recovery profit sharing model, with any profits being reinvested into the Press

The University Press is managed by Computing and Library Services. Decisions on which items to publish are taken by a Press Editorial Board, following evaluation of proposals based on agreed criteria. The Editorial Board comprises senior representatives from Schools, Research and Enterprise, and Computing and Library Services. To date, three books and three CDs have been published; details are available at the following links:

- http://www.store.hud.ac.uk/browse/product.asp?catid=26&modid=1&compid=1
- http://www.store.hud.ac.uk/browse/product.asp?catid=27&modid=1&compid=1

The next stage of the development of the University Press will include journal publishing.

3. Background to University Repository

The University Repository was established in 2006, using EPrints software, as part of the University's preparation for the 2008 Research Excellence Assessment. It now contains over 8750 items, 32% of which are in full text or equivalent (51% of items published after 2008). In conjunction with the University Research and Enterprise Directorate, the Repository provides records for the University's Research Information Management System developed as part of a JISC bid. In January 2011, the Repository was ranked 12th in the UK (175th in the world) in the ranking of world repositories, an initiative of the Cybermetrics Lab (http://repositories.webometrics.info/index.html). In March 2011, the Repository recorded over 12,000 full text downloads for the first time.

Aims and Objectives

4. The main aim of the project is to develop a low cost sustainable platform using EPrints software to convert the University's Teaching in Lifelong Learning journal from its existing model of a print subscription journal to an open access e-journal with a print-on-demand option. Given the current economic climate, the search has been to find a sustainable format for the journal and an open access (OA); online facility would fulfil this objective. This platform will then be used as a pilot to convert other existing University journals in the future as well as a 'best of Huddersfield research' title that would draw its content from the Repository.

5. Benefits to the wider community

- Development of a low cost platform for OA e-journals using EPrints software that could be adopted by other higher education institutions (HEIs) as a low cost alternative
- Development of a toolkit for other HEIs to use when considering conversion to OA for in-house journals
- Creation of an electronic archive via the Repository for an existing print only journal
- Dissemination of OA journal articles via Directory of Open Access Journals (DOAJ)

- Furthermore, the open and free access would allow a much wider audience for journal readership, both nationally and internationally, thus benefitting both future readers and contributors
- The journal would also act as an example of how novice and emerging researchers could use such journals to act as a place for their first publications
- Other researchers and practitioners could also consider how they might use the journal as a template for the development of new journals in their own sphere of interests, thus facilitating the furtherance and widening of niche interests and their public dissemination and debate.

Overall Approach

6. The overall approach of the project is to convert the existing print subscription journal published by the University Press to an OA electronic journal with a print-on-demand option. In order to follow good practice, the journal will continue to publish in print alongside the open access version until the end of the current volume when it will convert to an e-only option with full archive.

7. The project will look to implement the recommendations of the RIN report, 'If you build it, will they come? How researchers perceive and use web 2.0' (http://www.rin.ac.uk/our-work/communicating-and-disseminating-research/use-and-relevance-web-20-researchers), by encouraging community building and knowledge sharing via web 2.0 tools and technologies. For example, although Teaching in Lifelong Learning is a peer reviewed title, the project will encourage reader comments and ratings and social tagging as part of the publication process. The project will build on work already undertaken in the University on training researchers in web 2.0 tools and technologies (http://25researchthings2011.wordpress.com/2011/01/25/welome/) to include appropriate web 2.0 tools and technologies in a way that is engaging to researchers.

8. The project aims to build upon work by the University of Glasgow, who developed a basic platform using EPrints Version 2.x. This will be developed in conjunction with EPrints using Eprints Version 3.x in order to give increased functionality, such as dynamic tables of contents etc.

9. The journal will be registered with the DOAJ, to which the library is a member, thus indexing it in pre-harvested content services such as Summon, EBSCO EJS and Ex Libris Primo.

10. The project will investigate the feasibility of crossref membership in order to assign DOIs and deposit metadata for all University online journal articles with crossref, a point raised in the recent JISC Managing Research Data (International) programme workshop, 28-29 March 2011.

11. In addition a 'best of Huddersfield research' title will be investigated as a way to promote high quality research in the University.

Project Outputs
12. The primary outputs will be

- Fully open access journal(s)
- Protocols to enable editors to promote open access and self-archiving (see below)
- Author PDFs for inclusion in the individual author's Repositories
- A toolkit for other HEIs to adopt
- A 'best of Huddersfield research' journal

13. The project will work with EPrints in order to release the software to the EPrints community and to include appropriate web 2.0 functionality.

14. The project will report all outputs via a project blog, which will discuss wins and fails via a number of themed posts using appropriate tags. A similar method is being successfully used by the JISC funded Library Impact Data Project (http://library.hud.ac.uk/blogs/projects/lidp/) and produces updates of the project together with targeted tweets to engage the community.

Project Outcomes

15. To develop new protocols, which will enable editors to promote open access and self-archiving which will:
- Create a generic 'notes for contributors' section
- Assign copyright to the author using a licence to publish
- Send a PDF of the article to the author for use in repositories etc. rather than a print copy of the whole issue, thus reducing production costs
- Review the archiving policy, by moving from a 1 year embargo to a SHERPA ROMEO green model where authors can archive pre-print, post-print and publisher version/PDF
- Constitute a protocol for establishing journals that meet all of the requirements of traditional publishing houses for inclusion in citation databases

16. To develop an editorial workflow that is based exclusively around an peer reviewed, open access and online publication.

17. To develop a culture of open access publishing within the University

18. To create a community for early career researchers (ECR) to publish

19. To disseminate research to areas such as FE colleges that may not be able to justify subscriptions in the current economic climate

20. The project will be a success if the following measurable targets are achieved:

- EPrints software is developed as a low cost sustainable platform for OA publishing
- The Teaching in Lifelong Learning journal is made available as on OA E-journal
- A toolkit is developed for other HEIs to use
- A 'best of Huddersfield research' title is launched

B. Risk Analysis and Success Plan

21. Risk Analysis

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
Retention of staff	2	2	4	Motivation via good working environment and personal development

Articles do not pass criteria for inclusion in 'best of research' title	1	4	4	Review criteria
Failure to get all parties to share same understanding of purpose (project team)	1	5	5	Use sound project methodology
Lack of sufficient papers for peer review or that are not accepted for Teaching in Lifelong Learning	1	5	5	Highlight and promote the benefits of open access to the wider community and practitioners alike
External technical issues	2	5	10	Ensure full support from Eprints staff - Provide workarounds
Internal technical issues	2	4	8	Include appropriate staff in project team Provide workarounds
Other internal projects that might have an impact	3	3	9	Include key staff in project and steering groups Schedule key staff time according to work packages
Organisational changes that might take place during the project	2	4	8	Include key staff in project and steering groups

Exit and Sustainability Plans

22. The work on campus-based publishing in the scope of this project has a finite goal. However, the aim of the project is to publish an open access e-journal, which will continue after the project funding has ended. It is anticipated that the reduced production costs from an open access model, e.g. approx. £2,500 savings in printing and postage could actually reduce the contribution needed from the 11 CETTs significantly in future years.

23. In addition, planned outputs of the project will be taken further as follows:

- To audit the University Schools and Services for other journal titles and to use the outcomes of this project as best practice to develop and launch other University e-journals using templates and guidelines provided, known titles include:

- o CeReNeM Journal (http://www2.hud.ac.uk/mhm/mmt/research/cerenem-journal/issue-1.php)
- o RADAR (http://www2.hud.ac.uk/ada/research2/images/RADAR_Vol_1.pdf)
- o TLM (http://www2.hud.ac.uk/news/tlm/archive/)
- o Mental Health & Learning Disabilities Research & Practice (http://www2.hud.ac.uk/hhs/mhrg/journal/index.php)

24. Although the EPrints IRstats module uses different criteria to the PIRUS2 project, it is envisaged that this project could contribute COUNTER statistics to authors and HEIs at some point in the future when the PIRUS2 project becomes a full service.

C. Intellectual Property Rights

25. All IPR generated in the course of the project will be owned by the University. The University is committed, nevertheless, to full public disclosure and dissemination of the results of the project within the sector.

D. Project Team Relationships and End User Engagement

26. Project Team

Graham Stone (Project Manager 0.2 FTE)

Having worked with e-resources for over 15 years, Graham is Library Electronic Resources Manager and is responsible for the management of the Library Electronic Resources Team and University Repository. He has participated in a number of JISC funded projects and is currently project manager for the Library Impact Data Project. Currently Chair of the UK Council of Research Repositories (UKCoRR) and a member of the UKSG Committee since 2001, Graham is UKSG Secretary and a member of the Serials, Journal of Electronic Resource Librarianship and University of Huddersfield University Press editorial boards. He is editor-in-chief of E-Resources Management Handbook, an OA e-book, and co-author of the University's 25 Research Things web 2.0 course.

Sue White (Director of Computing and Library Services 0.05 FTE)

Steered the initial work at Huddersfield on library usage data and an advocate of collaborative working and data sharing between libraries; the latter exemplified by current participation in HEA Change Academy project on library shared services. Involved at strategic level in previous JISC projects INHALE, INFORMS, and Climbié Inquiry Date Corpus Online project. Sue is also Director of the University of Huddersfield Press.

Dr Ian Pitchford (0.2 FTE)

Research Excellence Framework and PGR Manager at the University and has over seven years' experience in the administration of research and postgraduate research matters and has worked at universities in the United Kingdom and United States. Dr Pitchford holds a PhD in evolutionary development psychopathology, a Master's degree in psychiatry and Bachelor's degrees in biomedical sciences and in combined sciences. He is a Chartered Biologist, a member of the Institute of Biology, and a member of the Association of Research

Managers and Administrators and is currently focusing upon the upcoming REF and attended the ARMA seminar on the 'development of the REF data requirements'. Founder and editor for three years of Evolutionary Psychology, an open access, peer reviewed journal (http://www.epjournal.net/).

Dr Denise Robinson (0.1 FTE)

Initiated and introduced courses that would be attractive to those students who previously had been excluded, directly or indirectly, from educational opportunities and in so doing, developed teaching approaches that were also appropriate. This work has resulted in a prestigious National Teaching Fellowship award in 2009. Director of the Huddersfield University Distributed Centre for Excellence in Teacher Training (HUDCETT). Denise has instigated and led on taster/introductory courses for ethnic minority groups to encourage more to enter teacher training; she has also supported similar initiatives on Access to Teacher Training for under-represented groups. Denise has steered and edited the development of 'Teaching in Lifelong Learning' to its launch in March, 2009.

Cherry Edmunds (0.2 FTE)

Cherry Edmunds has been a member of the Repository team for almost three years. During this time she has also worked in the Journals team where she dealt with the administration of both print and electronic material, and was also involved with the set up of the University LOCKSS initiative. She has now been based in the Electronic Resources team for 18 months. She has experience of working with both staff and publishers in encouraging material to be added to the repository, and in ensuring the correct copyright procedures are being upheld. Cherry is currently gaining experience working with COUNTER statistics and the application of these in determining future procurement of electronic resources.

27. Steering Group

The project team will report to the University of Huddersfield Press Editorial Board who will act as the steering group for this project. The University of Huddersfield Press Editorial Board consists of senior members of Computing and Library Services, Research and Enterprise and University Schools.

28. Stakeholder Analysis

Stakeholder	Interest / stake	Importance
JISC	Funding body/supporter of open access	High
Vice Chancellor	University's Strategic Plan	High
Pro Vice Chancellors – Research and Enterprise; Teaching and Learning	Development of a forum for early career researchers (ECR)	High
Schools	Savings in costs of administering subscriptions and printing	High

Researchers	Opportunity to publish research	High
Other HEIs	Method of dissemination of early career research	High
Wider community	Free access to research	Medium
University Press	Dissemination	High
crossref	Increased uptake of DOI use	High
PIRUS2	COUNTER statistics	Medium

29. Evaluation Plan

Timing	Factor to Evaluate	Questions to Address	Method(s)	Measure of Success
Months 2-3	Creation of platform as low cost solution using EPrints software	Can the specifications be met?	Testing	Launch of platform
Months 4-6	Teaching in Lifelong Learning journal is made available as on Open Access E-journal	Does the journal conform to SHERPA guidelines etc.	Observation, peer review	Inclusion in DOAJ, SHERPA Romeo etc
Months 6	Make the toolkit available to the HEI community	Does the community find the toolkit data useful?	Peer review, analysis of responses	Take up by other HEIs
Months 6	Launch of 'best of research' title	Is the content of appropriate quality	Peer review	Measuring usage

30. Quality Plan

- Quality of articles. Teaching in Lifelong Learning articles are subject to peer review
- Quality of articles. 'Best of research' articles to be approved by University Press editorial board using approved criteria
- Quality of project outputs. All wins and fails will be recorded via the project blog, where the community will be encouraged to comment on the appropriateness of outputs. Further assistance to be sought from JISC as appropriate.

31. Dissemination Plan

Timing	Dissemination activity	Audience	Purpose	Key message
May 2011	University newsletters	University Staff	Raise Awareness	News item to outline project
May 2011	Project Web pages JISC Web Pages	University Staff JISC Community	Raise Awareness	Project plan and report to outline key aims and objectives
May 2011/ June 2011	HUDCETT web site and newsletter	All visitors to the site and readership of the newsletter and including the wider network of practitioners	To raise awareness and inform the sector of the benefits of the journal	Ease of access and freely available Relevance and appropriateness of the journal in supporting improvements in practice
June 2011	Association of CETTs (ACETT) meetings	10 CETTs and their networks of practitioners	As above + a particular focus on dissemination across all the networks	As above + benefits to the whole sector and a role in policy-development
September 2011	Informing the University Council for the Education of Teachers (UCET) of the availability of the journal	All universities who deliver ITT are members and will receive this information	As above + encourage teacher educators to access and use the journal with their trainee teachers	Benefits of using the journal with trainee teachers and in supporting the development of novice researchers in their own institutions and FE college partners who deliver ITT for the LLS
September 2011	Launch 'best of research' title	Research community	Raise Awareness/ Inform	Promote high quality research at Huddersfield
September/ October 2011	Release toolkit including protocols and workflow	JISC Community	Raise Awareness	Inform about lessons learned
October 2011	Final Report to the JISC	JISC and future projects	Inform	Inform about lessons learned

E Projected Timeline, Workplan & Overall Project Methodology

32. Timeline

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6
Work Package 1	■	■	■	■	■	■
Work Package 2	■	■	■			
Work Package 3		■	■	■	■	■
Work Package 4		■	■	■	■	■
Work Package 5						■

33. Work packages

Work package 1: Project Management and Reporting Schedule	
Project Plan, Budget	Month 1
JISC website project page and project blog	Month 1
Interim reports to be delivered as appropriate	Months 2-6
Final Report/ Completion Report	Month 6
Project web site and associated reports archived in the University Repository	Month 6
Work package 2: Software development	
Specification document produced	Month 1-2
Institutional Repository is customised	Month 2-3
Work package 3: Teaching in Lifelong Learning development	
Revision of journal notes for contributors	Month 2-3
Investigation into crossref membership	Month 2-3
Loading of back issues onto platform	Month 3-4
Development of toolkit and workflow	Month 4-6
Inclusion of journal in DOAJ	Month 5-6
Work package 4: 'Best of Huddersfield research' title development	
Investigation into feasibility of this title	Month 2-3

Publication of article selection criteria	Month 3-4
Inclusion of journal in DOAJ	Month 5-6
Launch	Month 6
Work package 5: Sustainability Planning – working with future titles	
Audit the University to identify other journal titles	Month 6

Standards

34. By using the EPrints software we will use the standards for metadata and harvesting recommended by the JISC Standards for the Digital Repositories Programme. In addition we will seek to use a number of other standards such as PIRUS2 and crossref where appropriate. During the project we will seek further advice on standards from the Repository Support Project and the DOAJ.

Project Management

35. The project will be managed in accordance with the University's standard project management methodology and the JISC's best practice guidelines. A project team will be established consisting appropriate staff listed below and will report to senior University managers and the JISC as appropriate. Support will be provided by the JISC Programme Manager in the first instance, including notification of relevant events or developments. The project will work with the user network set up by SPARC Europe as appropriate.

Appendix 5.1. Analysis of journals listed at the British Conference on Undergraduate Research web site

Title	Discipline	Institution	Remit	Issues per annum	Editorial Board	Peer review
Bioscience Horizons	Biosciences	Oxford University Press	Undergraduate and taught postgraduate research articles and review articles	1	Academics	Yes
The Plymouth Student Scientist	Biological sciences; healthcare sciences; marine and engineering sciences; earth, ocean and environmental sciences; computing and mathematics; and psychology	University of Plymouth	Assessed undergraduate student research projects	2	Academics	No
The Plymouth Student Journal of Health & Social Work	Health Professions, Nursing & Midwifery, and Social Science & Social Work	University of Plymouth	Showcase for Schools of Health Professions, Nursing & Midwifery, and Social Science & Social Work	Archived	Academics	No
Earth and Environment	Earth & Environment	University of Leeds	Showcase for School of the Earth & Environment	Archived	Academics	No
BURN	Biosciences	University of Nottingham	Showcase for School of Biosciences	Archived	Academics	No

[British Journal of Undergraduate Philosophy](#)	Philosophy	British Undergraduate Philosophy Society	Papers delivered at BUPS conferences, papers submitted directly for publication, and interviews by prominent philosophers and academics	1-2	Academics	Yes
[British Undergraduate Journal of Ophthalmology](#)	Ophthalmology	British Undergraduate Ophthalmology Society	Research by medical students and junior doctors	1	Academics	Yes
[Début: The Undergraduate Journal of Languages, Linguistics and Area Studies](#)	Languages, Linguistics and Area Studies	UK Subject Centre for Languages, Linguistics and Area Studies	Scholarly papers written by undergraduate students in languages, linguistics and area studies	Archived	No information	Yes by academic and postgrads
[The Internet Journal of Criminology](#)	Criminology	Nottingham Trent University	Showcase for criminology undergraduates and taught postgraduates	Archived	Academics	No
[Diffusion: the UCLan Journal of Undergraduate Research](#)	Interdisciplinary	UCLAN	Showcase journal for UCLAN students	2	Students with academic editor	Yes
[University of Sussex Undergraduate History Journal](#)	History	University of Sussex	Showcase for University of Sussex history undergraduates	Archived	No information	No information

Durham English Review	English literature	Durham University	Undergraduate research in English literature	Irregular	Students and academics	Yes
educationUndergraduate	Interdisciplinary	Bishop Grosseteste University	Showcase for undergraduate research Bishop Grosseteste University	Archived	Academics	Yes
Enquiry: The ACES Journal of Undergraduate Research	Arts, Computing, Engineering and Sciences	Sheffield Hallam University	Showcase for Sheffield Hallam University	1	Students with academic editor	Yes
Ethnographic Encounters Social Anthropology	Social Anthropology	University of St Andrews	Social Anthropology students of the University of St Andrews	1-2	Students and academics	Yes
(JUST) The Journal of Undergraduate Science and Technology	Engineering, Mathematics and Physical Sciences	University of Exeter	Showcase for undergraduate research University of Exeter	Archived	Students	No
Fields: Journal of Huddersfield Student Research	Interdisciplinary	University of Huddersfield	Undergraduate and taught postgraduate research across all disciplines at Huddersfield	1	Academics	Yes
Geoverse	Geography	Oxford Brookes University, University of Reading, University of Gloucestershire and Queen Mary, University of London	Undergraduate research in geography	Archived	Students and academics	Yes by postgraduates

Ideate: the Undergraduate Journal of Sociology	Sociology	University of Essex	Showcase journal for sociology students at Essex	2	Students and academics	No
Groundings: arts, humanities, and social sciences.	Arts, humanities, and social sciences	University of Glasgow	Themed issues in the disciplines of arts, humanities, and social sciences	1	Students	Yes by undergraduates
The Student Researcher	Interdisciplinary	Trinity Saint David	Showcase for undergraduate research at Trinity Saint David	1-2	Students and academics	No
Reinvention: An International Journal of Undergraduate Research	Interdisciplinary	University of Warwick, Monash University	Academic articles from all disciplinary areas and all universities.	2	Students and academics	Yes
Research Futures within the related fields of Events, Hospitality, Leisure, Sport and Tourism.	Events, Hospitality, Leisure, Sport and Tourism	University of Chichester, University of Wolverhampton, the University of Northampton, and IMI University Centre, Lucerne	Undergraduate research from any undergraduate in Events, Hospitality, Leisure, Sport and Tourism	Archived	Academics	Yes by postgrads
Oxford University Undergraduate Law Journal	Law	Oxford University	Undergraduate research at Oxford University in UK law	1	Students and academics	No information

Surrey Undergraduate Research Journal (SURJ)	Interdisciplinary	Surrey University	Undergraduate research across all disciplines at Surrey	Due 2015	No information	Yes
The Undergraduate Exeter	Interdisciplinary	University of Exeter	Showcase for undergraduate research University of Exeter	2	Students	Yes
Transformations: A Journal of Undergraduate Research in Education	Education	British Education Studies Association	Undergraduate research in Education	1	Students and academics	Yes

References

British Conference of Undergraduate Research. (2015). *Undergraduate journals*. Retrieved from http://www.bcur.org/research/undergraduate-journals/

Appendix 5.2. Proposal for Undergraduate research journal

Background

In line with the new University teaching and learning strategy, we propose the launch of a new open access Undergraduate research journal along the line of 'Reinvention' published by the University of Warwick and Monash University (http://www2.warwick.ac.uk/fac/cross_fac/iatl/ejournal/).

However, it should be noted that Reinvention does have a different scope and editorial structure to the proposal outlined below.

Content

The remit of the journal would be to publish the best in undergraduate research from Huddersfield, ideally at least one paper from every school up to around 14 articles per issue. Content would be licenced under a Creative Commons licence in order to ensure maximum dissemination, while allowing the authors to retain all copyright and moral rights.

Initially the journal would publish one issue per year, with the first papers being commissioned by the editorial board from stand out dissertations in the schools, however, moving forward the editorial board would need to be proactive in encouraging calls for papers. A content plan would be needed for the first 6-12 months of the journal.

Initially the journal would be published as a 'super-journal' combining content from all disciplines, this could then be scaled up to as many as three subject journals, or the preferred choice, the number of articles and issues could be increased with the inclusion of special issues (http://www2.warwick.ac.uk/fac/cross_fac/iatl/ejournal/issues/) spotlighting the work of certain disciplines and schools, e.g. an international student special issue.

Launch Date

We envisage that the first issue will be published in autumn 2014.

Hosting

The journal would be hosted on the University Press HOAP platform (see http://eprints.hud.ac.uk/journal/till/), this would allow for maximum exposure in Google (Scholar), Yahoo and Summon. The journal would also be registered with the Directory of Open Access Journals (http://www.doaj.org/).

Hosting would include an RSS feed to the journal, registration of article DOIs, a licence to publish and recommendations for notes for contributors etc.

Editorial Board

In order for the journal to be successful an editorial board consisting of representatives from all Schools (a mixture of experience would be ideal), student representation and external members (possibly external examiners?). This would give 14+ members – all would need to be proactive in encouraging content.

An editor would also be required, preferably an experienced member of the Huddersfield Team, possibly outside of the schools?

Peer Review

The journal must be peer reviewed, however, it may not be necessary for it to be double blind peer reviewed. Dissertation supervisors, the editorial board and external examiners could act as the review pool. We hope that this will be particularly attractive to external examiners as they can count this towards their own professional development and esteem.

Guidance for peer review would be displayed on the journal landing pages, these would need to comply with the COPE Ethical Guidelines for Peer Reviewers, 2013 (http://publicationethics.org/files/Ethical_guidelines_for_peer_reviewers_0.pdf).

Supporting infrastructure

In order to provide a pool of potential authors to sustain the journal it is recommended that a series of writing workshops are introduced for undergraduates, either as a standalone series or by opening up existing workshops, such as Writing for publication (http://www.hud.ac.uk/hr/staffdevelopment/coursedetail/index.php?courseId=7027) or Academic Writing (http://www.hud.ac.uk/hr/staffdevelopment/coursedetail/index.php?courseId=8302). The workshops also need to be linked to the submission process for the journal.

Potential costs

Start-up costs

- Initial set-up costs for the HOAP platform would be approx. £600+VAT
- Journal cover/branding could be supplied by Computing and Library Services at no additional cost.

On-going costs

- Copy editing costs could be neutralised by accepting papers with minor revisions, e.g. grammar and spelling, which would encourage the authors to refine their own papers. Author guidelines would be provided as an aid. If we choose to use copy editing, there would be an estimated cost of £50-100 per article
- DOIs would be purchased by CLS for each article at no additional cost. References would also be brought up to the CrossRef standards, e.g. DOIs would be added where applicable
- CLS staff would publish the articles via the University Repository at no additional cost
- There may be a resource costs for extending the writing workshops to undergraduates.

Recommendations

The draft proposal has been endorsed by the Press Board in principle; if the proposal is taken further it would need a full proposal to be taken to the University Press Editorial Board.

Appendix 5.3. Student evaluation survey for Fields

Questions for student authors about Fields process
As this has been the first year of getting the student research journal started, we would like to get some feedback from you about the process so that we can develop and improve it.

1. In general, how did you find the process of submitting your work to Fields?
2. Did the feedback from the School panel help you to rewrite your submission?
3. Do you feel you had enough information about the journal requirements?

About the bursary
4. As part of the process a bursary of £400 (in two instalments) was offered to all students who were selected at the School stage in order to support them to develop and rewrite their submission so that it was suitable for an academic journal.
5. Was the bursary important to you?
6. Would you have been able to undertake the work without a bursary?
7. Would you recommend that the University continues to offer the bursary to support students to develop their work?
8. Do you think the bursary should be paid differently, i.e. in one instalment?
9. Any other comments about the process?
10. Is that the information you needed?

Appendix 6.1. Huddersfield Contemporary Records report

Project Information	
Project Identifier	*HCR*
Project Title	Huddersfield Contemporary Records
Project Hashtag	
Start Date	**End Date**
Lead Institution	University of Huddersfield
Project Director	Sue White
Project Manager	Graham Stone
Contact email	g.stone@hud.ac.uk
Partner Institutions	n/a
Project Web URL	

Document Information	
Author(s)	Graham Stone
Project Role(s)	University Press Manager
Date	4 October 2012 **Filename** HCR_Reveiw_ver1.0
URL	
Access	Internal only

Document History		
Version	**Date**	**Comments**
0.1	26 Sep 2012	Draft version
0.2	27 Sep 2012	After comments from Sue White
0.3	27 Sep 2012	After comments made in the HCR meeting
1.0	1 Oct 2012	After approval by the University Press Editorial Board

Note: Reference to appendices have been removed from Appendix 6.1 as they are not relevant to this thesis

1.0   Project Summary

Huddersfield Contemporary Records (HCR) was established in 2009 as an outcome of the music e-publishing project, which aimed to produce "procedures and investigate the viability of online digital streaming as a means of distributing output" from the Centre for Research in New Music (CeReNeM) and the Huddersfield Contemporary Music Festival (HCMF) in order to enhance the profile of the music department within the University nationally and internationally and to showcase individual composers and performers.

Initially a Teaching and Learning bid to produce CDs was unsuccessful. The project was then taken forward by Music and Computing and Library Services (CLS) on a pilot basis. The aim of the pilot was to investigate the viability of Huddersfield Contemporary Records and to develop appropriate mechanisms and procedures.

The original outputs of the project were to include:

Year 1 (2009-10)   3 releases

Year 2 (2010-11)   5 releases

Year 3 (2011-12)   6 releases

Year 4 (2012-13)   6 releases

Provisional funding of £69,000 for the project from 2010-13 was proposed, comprising contributions from Business and Enterprise, Yorkshire Forward, Music research funds and other external funding. This was to cover salary, production, marketing and website development costs.

1.1   Project Outputs and Outcomes

Output / Outcome Type	Brief Description and URLs (where applicable)
Produce online digital streaming of music output	This was not achieved within the pilot (discussed below)
To produce 3 pieces of work initially, then up to 10 per year thereafter	5 pieces of work were produced as part of the pilot (see below)
Develop appropriate mechanisms and procedures	A CD production plan and production flowchart have been produced
Joint contribution of funding over the period of the pilot	Funding for the project has come from CLS and the Music research fund. The initial idea for up to £69K was not pursued.

Set up and manage cost centre	The cost centre (LIB025) has been set up and is administered by CLS
Add bibliographic records to the Repository /Library catalogue	Berweck, Sebastian (2009) *Extended Piano.* http://eprints.hud.ac.uk/8406/ Bellamy, Mary, Harrison, Bryn, Cassidy, Aaron and Lim, Liza (2010) *Transference.* http://eprints.hud.ac.uk/14914/ Cassidy, Aaron, Barrett, Richard, Johnson, Evan, Hübler, Klaus K. and Lim, Liza (2010) *Strange forces.* http://eprints.hud.ac.uk/14916/ Cox, Geoffrey and Marley, Keith (2011) *Nothing but the hours.* http://eprints.hud.ac.uk/12067/ Sundin, Paulina E., Hellstrom, Sten-Olof, Dodd, Rose, Elison, Barbara, Bernier, Nicolas, Fawcus, Jamie, Thibault, J.F. and Bokowiec, Mark (2011) *In search of the miraculous.* http://eprints.hud.ac.uk/12246/
Manage contact between the Press and the agent (AWAL)	This outcome does not appear to have been completed.
Clarify royalties, copyrights	In general, royalties do not apply for this pilot as the PRS will only pay out per quarter when the amount is about £200. Copyright was cleared for the pilot, however, there are some on-going issues, which require further clarification.
Ensure effective branding and marketing	The 5 releases have a distinct style of branding. Marketing strategies were not completed during the pilot.

1.2   How did you go about achieving your outputs / outcomes?

Recording/production

The original output of the project was to produce online digital streaming of music output. The option investigated was iTunes. However, this proved to be unworkable due to IPP and copyright issues. A third party (HCR) uploading artist's work meant that the cost for licences and contracts were too expensive and complicated. This is partly because of the iTunes business model, which is set up to maximise profit, we are not creating large surpluses required in order to afford this option.

Procedures were developed for the pilot (Appendices 1 and 2), although these were not always followed during the project. This led to increased costs and delays in production and release dates.

The figures below are based on the LIB025 Cost Centre and a recent stock check. The gratis copies have been calculated by deducting the known sales via LIB025 and the stock currently in CLS. However, we believe that we may have sold far more copies than are indicated here.

CD Title	Produced	In stock	Gratis copies	Sold
Transference	1000	684	295	21
Strange Forces	1000	703	278	19
Nothing but the hours	500	425	73	2
In Search of the Miraculous	500	437	54	9
Extended Piano	1050	638	396	16

Therefore they may not accurately reflect the number of sales for Extended Piano – a strategy document from Liza Lim (12/12/2009) states that approximately 25 copies were sold at the Huddersfield Contemporary Music Festival that year and that 500 were acquired by Sebastian Berwick himself. However, we only have a record of postage for 100 copies being sent to Germany for Sebastian.

A note in Liza's strategy document notes that 50 copies of the Berwick CD were produced in order to make the deadline for the HCMF due to production delays. 50 complementary copies were also released in lieu of artists' fees plus two copies for each composer. There is a discrepancy here as the stock in CLS does not match the number of copies thought to have been distributed.

Income/expenditure

	Income	Expenditure
General	£ 4,338.15	£ 1,822.01
Extended Piano	£ 168.28	£ 85.67
Transference	£ 229.96	£ 1,460.35
Strange Forces	£ 227.00	£ 1,361.09
In Search of the Miraculous	£ 51.43	£ 1,092.47
Nothing but the Hours	£ 23.86	£ 1.23
Total	**£ 5,038.68**	**£ 5,822.82**
Surplus/Deficit		**-£ 784.14**

Where we have expenditure figures for Transference, Strange Forces and In Search of the Miraculous, it appears that production costs are fairly stable, from £1000-£1500, depending on the number of copies produced. However, we are not making many sales compared to the costs; in addition we are providing a large number of CDs free of charge. This increases the amount needed to break even on sales for the remainder.

The figures used above are taken from a separate spreadsheet held by Ann West, they do not necessarily correspond to the information in Agresso in LIB025. Unfortunately on inspection of the Agresso figures it appears that there are other unrelated items of income and expenditure (relating to books sales). It took some time to set up a system for managing and monitoring the budget with Financial Services and Research and Enterprise, this and the lack of information in some of the notes fields make the exact picture difficult to extrapolate.

It does appear that each CD/DVD would need at least £1000-£1200 in subsidies to break even and on examining the sales so far the project does not appear to be self-funding going forward.

In addition, it appears that some of the composers involved have now started to register their works with other music publishers and this is requiring us to pay backclaims from the MCPS in retrospect for music that, technically, we should own. This could become a substantial outgoing if all composers continue to do this.

Copyright/licensing

It has been a very steep learning curve for the pilot regarding music copyright and licensing issues and Janet Waterhouse is to be thanked for her guidance and support in this area.

There does not appear to have been any discussion regarding contact between the Press and the agent (AWAL).

In general, royalties do not apply for this pilot as the PRS will only pay out per quarter when the amount is about £200.

Copyright was cleared for the pilot; however, there are some on-going issues, which require further clarification. As stated above, HCR is now receiving backclaim notifications from the MCPS for work that should be owned by the University.

Distribution

Of the total sales transactions that were available (43 in total), Amazon account for 23%, the University Online Store for 61% and direct sales 16%.

In addition to the production costs of each item, there are also general costs incurred. Amazon fees are £300 a year, in addition there are other unexpected licensing fees (discussed above). Expenditure on Amazon has been £600 for the length of the project; income before deductions for postage was £123.53.

Marketing/Branding

Branding of the 5 recordings was of a high standard and the project wishes to thank Mike Spikin for his work on the releases and subsequent marketing materials.

Our records show that 3 review copies were sent out for Extended Piano and 7 each for Transference and Strange Forces. There are no details about where the review copies were sent and no information about any reviews that may have resulted, although Liza Lim is investigating this further.

There has not been a systematic approach to promotion during the project, however, opportunities have been taken where they exist e.g. at the HCMF.

2.0   Conclusions

It is important to note that while the HCR pilot has not been a commercial success, it has certainly been a critical success and has created a series of very high quality and well packaged recordings.

The critical question for this review is, do we wish to carry on and can we continue to deliver high quality products of a professional standard? If so, a more systematic structure is needed for the whole process including clarity in costs, legal implications, web presence, marketing, downloads etc.

Recording/production

The pilot has concluded that iTunes is not a commercial model that would work for future HCR releases.

An alternative method of digital dissemination may be more appropriate e.g. the free iTunesU approach taken at the Institute of Musical Research (www.sas.ac.uk/videos-and-podcasts/music/brian-ferneyhough-string-quartet-6-performance) or via distribution services such as CD baby (http://www.cdbaby.com/) who charge a nominal fee per CD ($49) and act as an aggregator, distributing to iTunes, Spotify etc. for 25% of sales. However, an alternative funding model would also be required to support this.

The procedures developed in the pilot will need further refinement for future releases. This needs to be linked to a co-ordinated plan, which will engage artists and make sure that the correct procedure for obtaining licences is followed for all recordings. This in part was due to there being no firm contracts in place, which in turn led to misunderstandings. This approach led to recordings being made that were not correctly licenced, which caused delays as they had to be re-recorded.

As noted in Liza's strategy document, we will not be releasing as many copies to artists in future; however, it does appear that a large number of copies are being given away, although some of these have been review copies. Review or other free copies will result in less income and a higher cost price for production based on the fact that we have fewer to sell than we produce – if we decide to continue with this business model

The issue over paying for registered works could be overcome if the music is also published as a score by the University Press. This could then be made available via 'print on demand'.

Income/expenditure

There is a need to reflect on the intended outcomes of any further CD/DVD production for Huddersfield Contemporary Records. Based on the first 5 releases it is clear that the label is not going to turn a profit, or break even. However, if the intention is to produce recordings of special interest that showcase the high quality outputs of University composers and performers then a subsidy would be necessary to continue recording. This subsidy would not only be required to support the production of new releases, but also to account for on-going costs that CLS incur as publishers.

There is a clear need for further liaison with Financial Services and Research and Enterprise about budget management.

Copyright/licensing

Lack of information regarding contact between the pilot and the agent (AWAL) has meant that it is difficult to draw any conclusions in this report.

It appears that it was not made clear to some composers that they would not receive royalties from the pilot. Given the number of CDs produced and the subsequent sales royalties were unlikely.

Copyright and ownership of the works created for HCR needs to be better understood and defined. Each claim is in the region of £200 and there is no budget to pay for this. The University must make composers aware of who owns the work (this is an area for further discussion as to whether it is the University or the composer), and this must be supported by senior management in the University. The University has a choice to either pay or contest each claim. Once the University is clear as to who holds the rights to the work it can request composers not to publish with other publishing houses.

Distribution

It appears that the Amazon distribution costs are a substantial overhead for the project and are not converting to a high enough proportion of sales. These costs need to be reviewed in the light of future releases.

Marketing

No details on the outcome of marketing opportunities were available, so we cannot say whether the review copies were actually reviewed or whether that review was favourable.

There is also very little detail on our marketing strategy, e.g. what the market was for each recording and how we were going to reach that market. The first question may not be appropriate if the long term view is to promote the high quality output of Huddersfield's staff rather than to make a profit; however, the question of how we reach the right audience is a very important one. Future releases would benefit from the adoption of a customised version of the CLS marketing template.

A lack of understanding of the market has led to an over production of CDs during the pilot. We have been carried forward in part by the enthusiasm of our artists rather than our understanding of the market for sales/distribution of free copies and this has led to 1,000 copies boing produced when a

smaller number may have been more appropriate. Again, this is dependent on what our stated aims are going forward, for example, we may wish to follow other universities examples and provide more promotional copies at events.

3.0   Recommendations

After consultation with key staff in the School, this report recommends that HCR is continued as a project until 2016.

A 3 year strategy document should be created for future recordings to ensure that the correct procedures are followed in order to meet production deadlines and keep within limited budgets.

The strategy document needs to detail the number of projects planned (initially up to 3) and justification for the artistic direction, the full cost implications and a strategy for obtaining future funding and collaboration.

A further recommendation is to tailor the strategy document to look not only at the future of the HCR project, but also as a means to enrich the University's research environment leading up to and beyond the Research Excellence Framework in 2014.

Recording/production

The report recommends that an alternative method of digital dissemination be investigated and that funding is sought should it be decided that it is a viable approach to use for future recordings.

A guide to potential costs should be created, which could be used to inform future releases, these costs need to include production, licensing and other general overheads.

All future recordings need to be fully costed in advance and a suitable proforma developed so that these recordings can be approved by the University of Huddersfield Press (or appropriate body) before moving forward.

Income/expenditure

The report recommends that the business model is investigated further, and that decisions are made as to whether a profit or promotional model is used, or indeed whether there is a balance to be found between the two, such as so called 'fremium' models where downloads are free while CD orders incur a charge. The outcome of this recommendation will have an impact on the licensing model. A free download/promotional copy model may incur reduced licensing fees and simplified administration costs, while attracting significantly more downloads and therefore exposure for the University than a traditional sales model would. It could be argued that this is worth far more to the University in the long run.

In addition the report recommends that contact be made with other universities and specialist labels, such as Crónica in Porto, Portugal in order to fully understand their models.

Moving forward, it is recommended that there is further liaison between HCR and Financial Services and Research and Enterprise over an appropriate system for budget management for the income

and expenditure within the LIB025 cost centre. This will allow a clear picture of costs for future projects.

It is recommended that separate spreadsheets be created in order to achieve this.

CLS/School of Music, Humanities and Media must decide on the desired outcome of future projects and provide the necessary funding in advance in order to cover full costs.

Copyright/licensing

It is recommended that the project investigates whether an agent is required and to document the reasons either way.

It would be unwise to mention royalties for future releases based on sales from the pilot.

It is recommended that the University Solicitor works alongside HCR to produce guidelines for the ownership of composers work, and that composers are either instructed not to publish with other publishers, or that funding is allocated to pay for MCPS backclaims.

It is also recommended that contracts are drawn up with composers for future releases in order to be able to contest any such claims and to make composers aware of theirs and the Universities rights.

Further to the above, it is recommended that HCR and the University Press investigate the option of publishing scores via a 'print on demand' option.

HCR should investigate different 'educational' licensing options that will allow us to make more promotional copies available at a lower cost to the project.

Distribution

It is recommended that unless the £300 per year Amazon fees are subsidised as above, this means of distribution is removed and future releases rely on the Online Store and direct sales if this business model is pursued.

The report recommends that the project investigates alternative distribution models related to music downloads, such as CD Baby.

It is recommended that contacts at the Institute of Musical Research are followed up in order to investigate their iTunesU model for free downloads.

Marketing

In addition to a proforma in order to approve new releases, it is recommended that each release be accompanied by a marketing plan, which should include aims and objectives for each release and the potential market, list of possible reviewers etc.

It is also recommended that information on whether review copies lead to a review and whether that review is favourable are kept in order to influence decisions on future releases.

Research needs to be undertaken into the market, this includes niche labels and university releases in order to get a better understanding. This in turn will influence decisions on how many copies to press and what marketing initiatives need to be pursued.

In order to aid marketing, an area on the proposed University of Huddersfield Press website should be developed.

Appendix 6.2. HCR Case Studies

Case study 1

Heather Roche, 'clarinet and electronics', this is a programme of solo clarinet works, some with electronics featuring many university composers and premiered by PhD graduate Heather Roche at the 2012 hcmf//.

One of the works had already been recorded in December 2012, the remaining works were to be recorded in two sessions in Easter 2013 and summer 2013. The recordings would be made in the University studios and mixed and mastered in-house. In house recording means that there are no costs associated with the production of the recording. Only one composer was already published by Ricordi, although the composer had already indicated that these costs may be minimal or waived.

It was proposed to distribute this as a digital-only release. However, it was also proposed to produce a very small number of promotional copies for Radio promotion. This release was to showcase a recently graduated PhD performer playing compositions by existing academic staff, post-doctoral research fellow and PhD students.

Case study 2

Ensemble ECH, a newly formed ensemble comprising academic staff, postgraduates (and a mature undergraduate). The release would include a number of new live electronic compositions specifically written for members of this group. The aim would be to showcase a different side of compositional and improvisational work being undertaken within the Music Department and would demonstrate research into live electronic composition especially. Once again the recordings would be studio based and produced and mastered in-house, thus there would be no production costs or publication costs associated with the production of this release.

Case study 3

The hcmf// project would comprise material from the first two years of hcmf//'s European composers' development project (this is postgraduate level work from the UK, Netherlands and Italy). These would comprise of download only releases and all agreements would be cleared with all composers and performers so no fees will be payable. This would, in theory, mark the start of a longer term relationship between HCR and hcmf//.

Appendix 7.1. University of Huddersfield Press Sustainability report

This document will discuss sustainability issues that face the University of Huddersfield Press if it continues to grow.

Research in the States has identified two levels of business plans for library publishers (Hahn, 2008):

- Publication level planning – this is already partially in place for the three imprints, with the introduction of new proposal forms and workflows, further details are discussed below
- Programme level planning – this area needs considerable work, which will include scalability, staffing etc., however, we can only start to consider this area in detail once we have the publication level planning in place

UHP is currently managed by the Library Information Resources Manager as part of a portfiolio of duties, which complement the Press, e.g. Open Access (APC payments and management of the Repository, Library resources budgets). Occasional admin support is given by the CLS Admin Office and a member of the Information Resources Team.

Publication level planning

Publication planning has developed organically from lessons learned after each new publication. Three years after the launch of its first book and journal, UHP has now published 10 books, 5 journals and 7 CD/DVD releases to varying levels of success in the last 4 years.

The sections below outline the publication journey for each title and identify the gaps we currently have in the process. Although the workflow is working well with the number of titles we publish a year, if we were to grow our portfolio, we would start to struggle in terms of capacity. In addition, the processes outlined below, the majority of which are undertaken by the Information Resources Manager with assistance from various members of the Press Board in an ad hoc capacity, prevent some of the more strategic planning at the programme level from being carried out – see Programme Level Planning below.

Journals publishing journey

This section outlines the typical road to publication for a Press journal title and identifies the gaps in the processes

1.   Press identifies an opportunity or press is approached by a school/editor

      Gap: We have an exciting opportunity as the Press starts to approach research centres for possible titles, however, at present there is nobody in place to actively commission new titles in this way. This role would include liaison with academics and researchers in research areas identified by the University as being of strategic importance or just outreach and awareness raising, monitoring conferences held at the University or raising the external profile of the Press through liaison with local societies in the region with a view to hosting some of their content.

2.   Conversation about the press. The initial discussion including an outline of the aims of UHP, a demonstration of an existing journal, the proposal form and marketing plan

   Gap: this is currently very ad hoc, the whole process needs formalising and updating (see also evaluation and marketing and above)

3.   Proposal submission sent to board and initial email exchange

   Gap: This procedure needs firming up with agreed deadline dates for the board to reply and an approved structure for the discussion

4a.   Rejection

   Gap: Lack of a structured process on rejection, conversation about re-submission etc.

4b.   Acceptance. This process includes the conversion of the proposal form into a specification for the journal platform build. This conversation happens between the UHP and the journal editor(s). It also includes discussion with the editor(s) on plans to commission or call for content

   Gap: This process is broadly mapped out already as a result of the Jisc HOAP project, however, there is still work to be done on formalising the referral to COPE/OASPA on best practice and a firmer structure for deadlines.

5.   Preparation of first issue

   Gap: Essentially we are missing the role of a managing editor, e.g. liaison and support of journal editors, including applying a structure to the publication plan, meeting deadlines and general editing. Currently we can agree a plan, but do not have the capacity to follow it through if things start to slip.

6.   Marketing and Launch event

   Gap: There is currently no follow up and planning after the launch. Presence at appropriate conferences, events, either in person or through attending academics is also necessary.

7.   Issue build, including DOIs etc. This process is almost entirely automated and staffing support within the library is good, unless we grow our journals and issues.

8.   Analysis and follow up with editor (and authors), such as statistics, social media, marketing

   Gap: There is currently no structure or methodology to this process

9.   New issue prep

   Step 5 and repeat

Book publishing journey

This section outlines the typical road to publication for a Press monograph title and identifies the gaps in the processes

1. Press identifies an opportunity or press is approached by a school/editor

   Gap: We have an exciting opportunity as the Press starts to approach research centres for possible titles, however, at present there is nobody in place to actively commission new titles in this way. This role would include liaison with academics and researchers in research areas identified by the University as being of strategic importance.

2. Conversation about the press. The initial discussion including an outline of the aims of UHP, a demonstration of an existing journal, the proposal form and marketing plan

   Gap: this is currently very ad hoc, the whole process needs formalising and updating (see also evaluation and marketing and above)

3. Proposal submission sent to board and initial email exchange

   Gap: This procedure needs firming up with agreed deadline dates for the board to reply and an approved structure for the discussion

4a. Rejection

   Gap: Lack of a structured process on rejection, conversation about re-submission etc.

4b. Acceptance including agreement of author(s) contract, publication schedule and budget/funding

   Gap: We now have a standard contract in place and marketing plan, which is agreed with the author, however, we lack formal procedure for referral to COPE/OASPA guidelines on best practice and a firmer structure for deadlines.

5. Manuscript preparation

   Gap: Although we outline our peer review processes on the University website and this is seen as robust enough for inclusion in DOAB, we need to be much firmer in our application of peer review, especially as a new OA publisher we can expect to be challenged on this. Again we lack a managing editor role that could lead on this, applying a structure to the publication plan, ensuring that peer review of chapter 1 is undertaken (by the board and 2 named reviewers), facilitation of editing, proof reading and copy editing. This has resulted in a number of difficulties in recent monograph publications.

6. Physical publication, external printer/typesetting

   Gap: We need to establish a database of suppliers with appropriate skills, 3 quotes etc., selection, review publication schedule

7. Marketing and Launch event

   Gap: There is currently no follow up and planning after the launch. Presence at appropriate conferences, events, either in person or through attending academics is also necessary.

8. Analysis and follow up with editor (and authors), such as statistics, social media, marketing

Gap: There is currently no structure or methodology to this process

Music publishing journey

This section outlines the typical road to publication for a Huddersfield Contemporary Records release and identifies the gaps in the processes

1.   Press approached by a research group/composer/performer

   Gap: At present, although agreed in principle, there is no strategic plan in place with CeReNeM in order to agree a release schedule and format, e.g. digital only, CD etc.

2.   Proposal submission to board and email exchange

   Gap: this is currently very ad hoc, the whole process needs formalising and updating (see also evaluation and marketing and above)

3a.   Rejection

   Gap: Lack of a structured process on rejection, conversation about re-submission etc. Given the nature of most of the recordings, which have already gone through a form of academic peer review within CeReNeM, this formal process would need to be different from the processes for the other two formats

3b.   Acceptance including agreement of composer/performer(s) contract, PRS licence, which would need to be agreed at this point once format is agreed, release schedule and budget/funding

   Gap: We are very close to having the necessary contracts for composers and performers in place, however, a more structured approach will then be required

4.   Recording and mastering

   Gap: Formal agreements need to be in place to agree the ownership and storage of glass masters and any legal issues that may arise from this stage in the process

5.   Physical production/handover of digital files/uploading onto CDBaby

6.   Marketing and Launch event

   Gap: There is currently no follow up and planning after the launch. Presence at appropriate conferences, events, either in person or through attending academics is also necessary.

7.   Analysis and follow up with CeReNeM, composers, performers, such as statistics, social media, marketing

   Gap: There is currently no structure or methodology to this process

General tasks

In addition to the gaps outlined above, the following tasks need to be completed in the day to day running of the University Press. These tasks cover both publication level and programme level planning.

- Checking COPE for best practice and emailing editors etc.
- Checking other groups, e.g. OASPA, DOAJ, DOAB, SPARC, LPC
- Representation at meetings/conferences
- Awareness raising, e.g. delivery of internal comms plan, flyers, leaflets, identity
- Delivery of training and one to ones with staff/researchers over a number of sessions
    - Introduction to the University Press/open access publishing
    - Introduction to authoring open access monographs
    - Guide to Creative Commons and copyright
    - Writing workshops
    - Getting the most from publishing: social media, bibliometrics, enhancing citations
- Writing retreats
- Editors/author days
- Web pages
- External suppliers liaison
- Finance

Programme level planning

We need to develop the programme level planning for the Press along similar lines to the sustainability model components recommended in the table below, which was developed by Mullins et al (2012).

Best practice	Key elements
Audience or client segments	The various audiences, constituents, or markets that derive value from the proposed service
Value proposition	The content and/or services that serve the needs of each client segment
Core activities and resources	The set of activities that an initiative undertakes to provide a service or produce a publication, and to support the income model itself, as well as the resources and partnerships required for the activities
Distribution channels	The channels through which the initiative reaches its audiences or clients and delivers it value
Income streams	The mechanisms by which an initiative actually generates income – including, potentially, both earned revenue and subsidies – from the clients to which it delivers value

In addition:

Audience could be expanded into a table to highlight the key stakeholders

Core activities cover the 3 imprints of the Press in addition to the admin, publishing costs etc., journals set up. We also need to state which activities we do and don't we do, e.g. types of pub, marketing, peer review

Distribution would include all list channels e.g. DOAJ, DOAB, CDBaby, Amazon etc. for each output plus marketing in house and central marketing. The Repository itself is effectively main point of distribution for the University Press.

Income streams would identify funders, school or research income. There is an option to continue the current preponderantly ad hoc funding model, where funding decisions are made at a publication level. However, if the press expands its publication plans to include more monographs and sound recordings, additional start-up journals and further development of the HOAP platform and the Press web pages, then there is a need for an element of core strategic funding on a more formal basis in order to give continuity (see funding models below)

Scalability of library publishing services

A 2007 ARL survey found that very few library publishers were able to "support even 10 journal titles or more than a handful of monographic works". This is exactly the case for the University of Huddersfield Press, we need the following building blocks in place if we want to be able to expand, otherwise the press could prove a victim of its own success, this is echoed by comments made by Georgia Tech., where the library has hesitated in more aggressive marketing of the press due to fears that this could generate more demand than the press could satisfy (Mullins et al, 2012). The press has to identify the resources it needs in order to expand successfully.

Staffing

For example, if we increase the number of journals, we increase the necessity to staff the Press to plug the gaps described above. The Press has similar staffing levels to other start up University Presses, e.g. University of South Florida in 2007 and Columbia University. Mullins et al (2012) found similar figures, staff allocated to publishing activities ranged between 0.9-2.4 FTE, with staff dedicated to library publishing programmes described as 'relatively rare'. However, in 2011, USF recruited two full-time staff positions, with 0.5 FTE from each position working on the additional workload from the expansion of USF journals. This has been identified as a service level boundary, a 'crucial step' in identifying a manageable workflow in order to ensure that too much is not taken on. This is really the crux of the matter and was also identified by Hahn (2008), either the University/Library needs to reallocate greater staffing resources from the library or new resources need to be identified.

Funding models

A funding model for the Press needs to be a mixed model, which would include the following:

- A contribution from the library, however, as identified in the States, "There is a solid base of support within the library budget, but for real growth to meet existing and emerging demands for publishing services, many institutions see that additional support from campus administration will be necessary"
- Contributions from the university, this would include dedicated staff and resources in order to publish an agreed number of publications a year, including start up journals and recordings. Although this additional funding could still be under the administration of the library, it would effectively move away from the 'library as publisher' model. An existing

example of this is the Purdue model which aligns itself closely with the strategy of the University

- Contributions from a fee based model, similar to that proposed by Georgia Tech. (Mullins et al, 2012), although this would still need to follow an open access model. Huddersfield's journals programme has a similar model to this at the moment, where Schools are asked to contribute to the initial set up of the landing pages, however, if the University funded this model for 'internal' journals, a fee model for 'external' journals could still be applied
- Contributions from research funders, for example, two books have already been funded from Heritage lottery Fund monies, an additional monograph from Leverhulme trust money. This would need to be costed at the time of grant application, in which case there needs to be collaboration between the Press and the pre-awards office in the research and enterprise Directorate
- Other models such as a shared monograph publishing model or crowd funding could also be applied, but they are as yet untested.

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Appendix 7.2. A proposal for exploration of University Press shared and collaborative services by the Northern Collaboration

Introduction

In October 2014, the Northern Collaboration[76] held an exploratory meeting of its members to discuss possible collaboration and shared services relating to University Presses and potential library publishing ventures. The meeting was attended by 14 member libraries, with additional representation from UCL Press, Liverpool University Press, Roger Tritton and Martin Eve. Following the meeting, members went away to reflect on how they might wish to progress. Some (e.g. the White Rose Consortium) are now developing their own Press, and others already have well established University Presses (Manchester and Liverpool). However, a number of university libraries expressed an interest in further exploration of the potential for shared /collaborative services in this area. We believe the Northern Collaboration would provide a regional group of sufficient size and diversity to progress these issues further.

It is not the intention to develop a Northern Collaboration Press, per se, and in common with other Northern Collaboration projects, this particular initiative will be of interest to a subset of member institutions rather than the total membership. As stated above, this project would be exploratory and would not commit participating institutions to any future activity.

On behalf of the Northern Collaboration, and building on the initial discussions of October 2014, the University of Huddersfield is willing to lead on/co-ordinate three proposed areas of activity. These require further discussion with HEFCE/Jisc, along with an exploration of possible sources of funding to undertake the activities. The activities comprise:

1. Benchmarking
2. Best practice/ workflow efficiencies
3. A Library Publishing Coalition for the UK

1.   Benchmarking

A data gathering exercise to assess the current state of play regarding new university presses or library publishing ventures in the UK. The data gathered would be used to create a report that would:

- Identify the relevant presses / library ventures
- explore if they can be categorised by their mission / vision and objectives (whether they are open access, the types of format, e.g. journals, monographs, music recordings/scores)
- benchmark their readiness / how established they are
- identify the funding set up and resourcing
- identify the technologies and infrastructure employed

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[76] http://www.northerncollaboration.org.uk/

- identify the publishing policies (dual format simultaneously, licensing models, business models)
- identify the dissemination and routes to market

The report would provide a baseline against which further benchmarking and monitoring could be undertaken. This would provide a useful tool for new university presses or initiatives entering the marketplace and assist understanding by funders, publishers, institutions as to the progress and success of new university presses / library initiatives.

Method: Survey questionnaire. Initially this could be piloted within the Northern Collaboration to ensure that data gathered is agreed as useful and attainable prior to wider release.

For the purposes of this exercise, university presses at Oxford, Cambridge, Bristol (Polity Press), Wales, Manchester, Liverpool and Edinburgh would be considered as well established. In an editorial for UKSG eNews, Anthony Cond (2014), Director of Liverpool Press suggested that there are a number of others, Buckingham, Chester, Hertfordshire, Huddersfield, Imperial, Institute of Education, UCL, UCLan, Westminster and York. Cond also comments that Exeter, Nottingham, Northumbria, Middlesex, the Open University, Dundee and Leicester live on as imprints of commercial publishers. Further additions to the list, which Cond admits is not definitive, would include Cardiff and St Andrew's University Presses.

2.   Best practice/ workflow efficiencies

"…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."

Taken from the forthcoming OAPEN-UK publication *Guide to Open Access monograph publishing for Arts, Humanities and Social Science Researchers*

The Northern Collaboration would undertake to compile best practice; admin guides etc. business models and recommendations for appropriate membership, e.g. COPE, OASPA, DOAJ, DOAB etc.

- Test bed for business models, experimentation with new models of dissemination, peer review, editorial processes, production and marketing workflows
- Exploration of shared services / communities of practice e.g. peer review, administration
- Creation of best practice as it stands guides – continually updated as it is an evolving area
- Guidelines for new library / NUPs to establish credibility and a trusted brand
- In addition shared administration and peer review networks could be planned and built.

3.   A Library Publishing Coalition for the UK

The first two areas could be further developed to establish a Library Publishing Coalition (LPC) for the UK, which could become a basis for best practice and discussion of innovative approaches. Potentially a UK LPC conference could be planned. It would be important for the work to include the wider community, particularly Learned Societies, who are often neglected in this discussion, but who

were very vocal in the HEFCE and RCUK consultations on open access. This could be an opportunity to open the discussion and dismiss a number of myths around OA publishing. Learning from our UK experiences, the LPC could in the longer term develop into a European Library Publishing Coalition.

National Monograph Strategy

The areas described above contribute to the following parts of the National Monograph Strategy Roadmap:

- #2 Measuring the impact of monographs. Any work to establish new university presses could help to feed in to this piece of work
- #4 New monograph business models. The Northern Collaboration could act as a test bed for new business models. In addition, work recommendations from the Crossick Report and OAPEN-UK would also be included
- #7 A systemic changes think tank. A UK/European LPC could contribute directly to this areas by building up knowledge and expertise.

We believe that #3 Developing a new shared monograph platform would be out of scope, however, the Northern Collaboration would be interested in working with Jisc and other new university presses (UCL and Cardiff, for example, have expressed strong interest in this area) to explore the potential opportunities of building on existing products, and also to consider the possibilities of shared back office functions.

Sue White
Chair of the Northern Collaboration
& Director of Computing and Library Services
University of Huddersfield

Graham Stone
Information Resources Manager
& University Press Manager
University of Huddersfield

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