

Critical Issues in Open Access and Scholarly Communications

Contents

Executive Summary	2
Key Recommendations	2
Summary and Recommendations	3
Update on current UK policy	6
OA monographs timeline	6
Part 1. Key issues in open access and scholarly communications	7
Summary of recommendations	7
Discussion	14
Part 2. Which issues are being addressed? Which still need to be?	14
Summary of recommendations	14
Discussion	17
Part 3. Roundtable discussion	18
Summary of recommendations	18
Discussion	20
Part 4. Closing remarks	20
Summary of recommendations	20
Index	23

Executive Summary

Critical Issues in Open Access and Scholarly Communications was a one-day event that aimed to widen the dialogue on open access books, examining the implications of UK policy for research culture and values, the future of scholarly publishing and for the Arts, Humanities and Social Sciences (AHSS). Academics were given centre stage in recognition of the fact that open access policy impacts researchers and universities at least as much as scholarly publishing, and because preceding events had focused on input from other stakeholders including publishers and learned societies.

Key themes included a review of the relation between monographs and open access; how to move beyond the impasse of ideological oppositions; differences between open access for science and humanities; scholar-led open access and the relation between open access and copyright reforms. The spirit of the event was both reflective and practical, oriented to acknowledging the challenges of open access that have already been addressed while exploring remaining issues in funding and policy, research assessment, quality assurance and peer review and academic freedom. The event highlighted questions of difference and diversity throughout, and included perspectives from early career and retired academics.

Open access remains a contentious area of debate and policy and the rationale for this event was to acknowledge and even affirm that in order to seek a route forwards - given the significance of its impact on publishing and the academy. There was, characteristically, no consensus in a room composed of researchers, managers, publishers, librarians, funders and other interested parties. There was, however, a shared commitment to a future ecology of scholarly publishing and communications in AHSS that is sustainable and diverse.

This report includes detailed summaries of the main contributions and discussions, and the key recommendations are listed below. As well as funding and mandates, the principle concerns were with open access policies and models designed for and derived from Science, Technology, Engineering and Maths (STEM) fields with, as yet, little adaptation to AHSS. In light of the differences in research practice, process, output and funding between STEM and AHSS disciplines, there can be no simple adaptation or automatic progression from STEM to AHSS or from journal to monograph publishing. The consistent value of the monograph to AHSS research culture needs to be recognised, even as it continues to evolve as a form of scholarly communication and intersect with other forms of textual and non-textual research.

Critical Issues in Open Access and Scholarly Communications focused on UK policy in light of the alignment between UK Research and Innovation (UKRI) and Research Excellence Framework (REF) policy. While that broad alignment was affirmed during the event, the relative autonomy of UKRI and REF open access policy was, notably, underlined, along with the fact that REF policy for 2027 is still to be determined. I hope that this report will contribute, in some part, to the development and co-ordination of policies that have such far-reaching consequence for universities in the UK and for the publishing sector globally.

Key Recommendations

- Develop an open access policy that recognises and responds to the distinctiveness of AHSS
- Involve AHSS researchers at every career stage in developing priorities for open access
- Look beyond the gold and green models
- Highlight values of academic freedom, equality and diversity
- Recognise the importance of practice research
- Reflect on open access in a global context
- Reconsider the mandate for open access monographs in light of the significant differences between STEM and AHSS
- Separate any mandate for open access monographs from the REF
- Acknowledge that few UK universities can afford to cover the costs of gold open access monograph publishing
- Re-evaluate a set of priorities and objectives for scholarly communications before developing business models to support them
- Reject fee-based models that lack adequate funding

Summary and Recommendations

Critical Issues in Open Access and Scholarly Communications was a one-day event held at Goldsmiths, University of London, in May 2019. It responded to two major policy developments: first, the intention signalled by the four UK funding bodies to move towards an open access policy for long-form publications and to mandate open access book publishing for the Research Excellence Framework exercise in 2027 and second, the fact that UKRI signed up to Plan S, a Europe-wide coalition aiming to accelerate the transition to full and immediate open access.

The event aimed to widen the dialogue on open access books, examining the implications of UK policy for research culture and values, the future of scholarly publishing and for the AHSS. It reflected on the most recent findings from the Universities UK (UUK) open access reports and provided a platform for gathering additional evidence and feedback from across the university sector.

Incorporating representatives from funding agencies, the UUK working group on open access monographs, REF panellists, senior managers (research), publishers, learned societies, scholarly associations and researchers from a range of institutions - who highlighted both the challenges and opportunities of open access monograph publishing - the event was structured around the following questions:

- What is the current UK policy on open access, and on open access monographs in particular?
- What is at stake for REF 2027, research culture and values, early career researchers and diversity in scholarly publishing and practice?
- Who benefits from open access or from publishing as usual?
- What are the challenges of open access monograph publishing?
- What kind of experiments are made possible, what collaborations might emerge?
- Why publish, and where might online, open and platform-based publishing lead us next?
- What changes might be respectively desirable, equitable and feasible at national and global scale? Or result as consequences from open access developments?

It might seem unwise to draw conclusions from a one-day event attended by twenty speakers representing different and often conflicting interests and investments in open access. However, Critical Issues in Open Access and Scholarly Communications brought together a large group, of around one hundred and fifty speakers and delegates, from what can seem like - but should not be - different worlds: publishers, librarians, academics, funders, policymakers and senior managers from universities. Academics were given centre stage in recognition of the fact that open access policy impacts researchers and universities at least as much as scholarly publishing, and because many previous events had focused on input from other stakeholders. This was not then an isolated intervention, but a contiguous event that recognised a one-size-fits-all, or one-world solution to open access is impossible. There will always be differences, but these differences can and must come together and work better towards the goals that are held in common.

The growth of open access is a matter of competing values and conflicting ideologies that can only be simplistically represented as top-down versus bottom-up, policy-driven or scholar-led. Common ground arises more through negotiation than convergence, which is to say that neither one type of open access or another; neither an experimental nor an instrumental approach is inevitable. Open access is not a matter of technological evolution or progress. I have written elsewhere¹ about the dangers of a technological consensus that obscures and depoliticises a legitimate struggle over the present conditions and future prospects for scholarly research and publishing. If the debate on copyright reform is too often reduced to a false opposition between progressives and conservatives, tech modernisers and a publishing industry stuck in the past, then the reform of access to scholarly research should be based on a better understanding of politics as antagonism rather than opposition - each and all sides are mutually constitutive.² It is also important to see technology as an intrinsic component rather than a driver of social change.³

One of the things that impressed me, during this difficult day-long debate involving so many competing and overlapping points of view, was the extent to which a better understanding seemed possible. Recognising the many points of opposition in the room, as well as those shared via social media, was one step towards a more viable politics of open access, understood not as the next stage in the evolution of digital scholarly publishing but as an arena and an opportunity for re-evaluating research, practice and publishing in a wider disciplinary, cross-institutional and social context. In as far as any conclusions were drawn, among the most important was the need to go backwards - rethink, re-evaluate and re-contextualise open access - in order to go forwards.

In fact, our discussion had a pragmatic as well as philosophical frame. Oppositionalism is false because it fails to generate movement or change. Oppositionalism is its own impasse. Collectively, albeit non-harmoniously, we decided to move on. The structure of our event was important here, combining space for critique and reflection with a request for constructive intervention, acknowledging the challenges that have been addressed and identifying those that still require attention. I am grateful to all of the speakers for their directness and for putting their contingent solutions and provisional recommendations on the line.

At a recent meeting of the Association of University Presses,⁴ I was asked to reflect on the barriers to entry for open access. Without acceding to open access or any other model as the sole destination for scholarly publishing, I summarised these barriers alliteratively as: models, mandates and money. A good number, if not all of the recommendations that emerged from Critical Issues in Open Access and Scholarly Communications can be grouped under these headings.

The unattributed summary that follows seeks to draw together the various perspectives articulated during the event. It does not purport to represent a consensus of opinion, but presents various recommendations and principles that emerged during discussion.

Models

It is necessary to completely re-think, rather than adapt models and policies derived from STEM fields and journal publishing to AHSS and book publishing (where book publishing includes scholarly monographs, trade books, edited collections and other long-form output). There should be a tailor-made open access policy for AHSS that recalls the long investment and involvement of scholar-led initiatives and recognises the importance of practice research.

Policy development for UKRI, REF and Plan S⁵ should recognise key differences between AHSS and STEM fields, relating, for example, to the centrality of monographs to AHSS research practice and the lack of funding relative to STEM. Monographs are vital to the humanities in two senses: they are central to research culture and output; and they are a living, not a static or fossilised form. Individual monographs may grow in importance and increase their impact over a long timeframe, and the form or genre of the monograph continues to evolve.

It is legitimate for AHSS scholars to seek greater control over the pace of open access and its priorities. Scholar-led initiatives that arise in response to academic challenges and demands are the most likely to endure. A greater sense of ownership within and across the academy is key to building an investment in open access for AHSS. It is only on this basis that open access might be regarded as a transformation rather than an obligation or a mere technological affordance, an opportunity to reflect on the configuration of research, practice and publishing and the role of scholarship in global society. Academic involvement should be wider and more inclusive, across the Higher Education sector, than the current UUK Open Access Co-ordination Group.⁶

The gold and green models for open access⁷ are too limited and policy should look beyond them. Goldsmiths Press, for example, is a green open access monograph publisher in name (anticipating the need for compliance), but neither green nor gold in practice. The green model is more sustainable, but not otherwise more satisfactory than gold, especially for long-form publications. Open access titles are therefore migrated from Goldsmiths' institutional repository to PubPub⁸, MIT's extended book platform.

Open access is not free and already exists in the form of the library. Libraries are a public good and a site of inclusivity. As a society, we have failed to invest in them. Universities should improve their interface with the wider public library system. The current library repository model for green open access is unsatisfactory and has tended to decouple and decontextualise articles from journals (and chapters from books). It will be necessary to invest publicly in a 21st century infrastructure with effective search and machine learning/AI affordances.

A library model of open access involves making repositories more searchable, networked and social and redirecting acquisition budgets to fund (or match fund) gold open access, often through library subscription schemes. Such a model should take account of the need for wider academic and publisher involvement in the pace and priorities of open access for AHSS.

The values of scholarly research should be disentangled from the ideology of open access, thereby highlighting academic freedom, equality and diversity in place of the currently dominant values of efficiency, transparency and compliance. Open access for AHSS should be radically diverse, meaning diverse at every level from inclusion (more diverse readers, authors and publishers) to infrastructure and workflow and from scholarly practices such as peer review, citation and free labour to the forms and outputs of scholarly publishing.

It is necessary to re-think and re-prioritise academic freedom in the context of open access as a mandate regulating where scholars may publish and in the context of open access as a moral discourse governing scholar attitudes and behaviour.

A more positive approach to copyright would support further moves toward open access in AHSS and help to address the challenges of third-party rights in particular. Widening, and thereby simplifying, current copyright exception⁹ so that it covers fair dealing for any extract, would remove copyright clearance costs and support free expression. Publishers are not doing enough to recognise the latitude that currently exists within copyright legislation and may be obliging authors to seek copyright permission where this is not needed.

There should be no specific requirement for CC-BY licenses¹⁰ and there should be more authorial control over licensing. It is also important to be clear about the consequences of more restrictive licenses, with regard, for example, to determining where they do (scholarly monographs) or do not (trade books) apply.

Debates on open access pay too little attention to the role of practice research and are overly fixated on the transition from articles to books. The role of practice research and of research that is not published in conventional textual forms should be highlighted in future open access policy.

It is also necessary to reflect on open access in a global context and consider how decisions made, for example, in the UK, have global effects and could create further inequalities especially through the implementation of models based on Book Processing Charges (BPCs).¹¹ Geopolitical barriers to entry must be taken into account¹² and the Global North might look to the Global South for examples of sustainable open access in the arts and humanities. It is important to speak internationally all of the time.

Mandates

Where there is broad support for open access within the arts and humanities, there is not the same level of support for mandates. Mandates can be a distraction and draw more attention to themselves than to the issues at hand. They have a narrowing and homogenising effect on the debate and development of open access. The mandate for open access monographs should be re-considered in light of the significant differences between STEM and AHSS.

Recommendations might work better than mandates and the best incentive to open access is adequate funding and a greater degree of ownership and control within and across the academic community.

An unfunded mandate will exacerbate existing inequalities but stakeholders might work together to share costs and promote, for example, recovery and diversity projects.

Mandates are not an end in themselves. They cannot be extracted from the wider context of employment, career development and institutional management structures in which they take their place and which they inevitably influence. Mandates can help to move things forward but only if progress is underway and key challenges are being overcome. It is therefore important that open access for monographs should not be seen as a force disrupting a fairly stable system but as an issue that arises in the context of that disruption and is embedded within it. This is why the broader challenges of open access need to be addressed rather than assuming that mandates will themselves drive the solutions.

While policy based on a variable percentage of monograph submissions to REF 2027 might be inoperable if it were sensitive to existing structural inequities, an obvious solution would be to separate any open access monograph mandate from the REF altogether.

REF has come to dominate UK research in AHSS but is not of itself a good reason for undertaking and publishing research. The REF is not why universities exist and open access can and should matter outside of the REF. Policymakers should exercise caution when seeking to influence researcher behaviour. A REF mandate for monographs could drive researchers to a limited number of publishers that in turn are likely to charge high BPCs.

Reviews of open access policy are on-going, meaning that policy for REF 2027 has yet to be decided. Two different policies are in scope (for UKRI and for REF) and while there is an opportunity to align them, it is also necessary to be mindful of key differences between policy governing grant funded research and that governing submissions to the REF. To what extent does the scale of the REF place it outside of a UKRI mandate for monographs that would apply to directly grant-funded research? Could the REF be governed by a recommendation for open access monographs rather than a mandate?

Current REF policy does not include reasonable adjustments for researchers or practitioners with dyslexia and dyspraxia. This is a particular issue with respect to the green open access model and the obligation to deposit accepted manuscripts in institutional repositories within a particular time frame. Guidance concerning *reasonable adjustments* should be included for REF 2027.

Money

The financial impact of open access on individual universities and on the HE sector as a whole cannot be separated from current economic constraints and those forecast by Brexit and the Augar review of student fees.¹³ Even under current constraints, few universities can afford to cover the cost of gold open access publishing. It is important that policymakers acknowledge this in order to avoid a hardening and consolidation of the existing hierarchy within the HE sector. Compliant institutions will have to draw on existing budgets and will be left with the difficulty of devising open and ethical procedures for allocating funds. In a bare-bones scholarly publishing economy, how will universities decide what and who to publish? Clearly, issues of diversity are at stake.

Open access monograph publishing is a mixed blessing for retired and unaffiliated academics. While removing paywalls, it also presents financial challenges that may preclude participation. Along with early-career researchers (ECRs) on temporary, fractional, zero hour or other precarious contracts, and researchers attempting to enter the university system, retired and independent scholars might have to pay to publish their work. In order to avoid such inequities and barriers to entry, policymakers should consider exemptions for scholars working outside full-time university employment.

What is needed is a variety of models - business and otherwise - not least to avoid becoming reliant on a system of BPCs that is potentially unsustainable. A model based on international collaboration rather than competition also facilitates the inclusion of BAME, LGBTQI, working class and other non-conforming identities.

There is enough funding available globally to support open access monographs. The main questions are about the cost of transition and how to ensure an equitable distribution of funding.

Policymakers need to think carefully about the pros and cons of having dedicated funding streams for open access monographs.

In an open access publishing environment, revenue derived from the sale of print books will continue. It is important to avoid reproducing divisions of interest between publishers, librarians and researchers and to recognise the significant differences of scale, profitability and values within the publishing industry. Support should be provided for the growing number of small, innovative university presses in the UK that offer a way for the scholarly community to gather together and collaborate within the academy in order to deliver more books in open access.



Funders can help libraries to re-direct their budgets toward open access resources by means of match funding.

While there are obvious, and increasingly acknowledged risks, there are also opportunities to improve equality and diversity in scholarly publishing and the Reanimate project¹⁴ offers a model for doing so. The success of such collaborative models - already involving researchers, publishers, libraries and universities - would ultimately depend on funder investment albeit in multi-payer schemes.

Too much focus on business models is a way of putting the cart before the horse. The more important task is to re-evaluate a set of priorities and objectives for scholarly communications before developing business models to support them.

There should be no fees for publishing (Article Processing Charge (APC)s or BPCs). Fee-based models that lack adequate funding point to a future dystopia for scholarly communications in which researchers inside - and on the margins of - the academy will be forced to pay in order to publish their own work or self-publish on Amazon.

The scholarly publishing industry is not homogeneous and enterprises operate at vastly different scales. Policymakers should have a view to the overall scope, vitality and diversity of a global scholarly publishing industry and not turn to small-scale or purely experimental projects, sometimes funded abroad, to justify UK mandates. At the moment, medium-scale enterprises, often in the form of mission-driven, not-for-profit university presses are most likely to be overlooked in policies designed to disrupt large-scale, for-profit enterprises.

Acknowledgments

Hosting any large-scale event is very much a collaborative effort and I am grateful to everyone involved including Graham Stone and Verena Weigert at Jisc, Janneke Adema at Coventry University, Maria Delgado at The Royal Central School of Speech and Drama, Helen Snaith at Research England, and a number of my colleagues at Goldsmiths, especially Adriana Cloud, Guy Sewell, Charlotte Clark, Caroline Rondel, Ben Wilson and Simon McVeigh.

The many contributions and debates outlined in this report were captured by a number of reporters and have been summarised in good faith. However, there is no summary without some degree of interpretation and, as the instigator and organiser of the event, as well as the author of this report, I take responsibility for any errors or omissions relating to that.

Sarah Kember

Professor of New Technologies of Communication and Director of Goldsmiths Press
August 2019

Update on current UK policy

The following information was provided as a backdrop to the debate.

OA monographs timeline

(Graham Stone, Senior Research Manager, Jisc)
repository.jisc.ac.uk

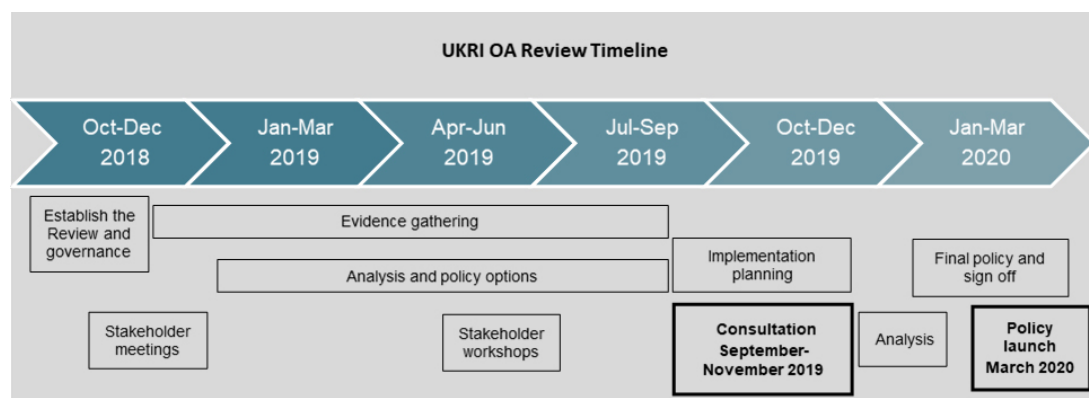
UKRI OA review

Public consultation on the draft policy September to November 2019, policy announcement in March 2020.

OA monographs and book chapters are in scope.

UKRI expects the revised policy to apply during 2020, the exact start date will be confirmed in due course.

<https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>



Part 1. Key issues in open access and scholarly communications

Summary of recommendations

- **Open access for monographs should not be seen as a force disrupting a fairly stable system but as an issue that arises in the context of that disruption and is embedded within it. For this reason, the broader challenges raised in the original 2015 report by Geoffrey Crossick need to be addressed rather than assuming that mandates will themselves drive the solutions**
 - **It is important that policy does not reinforce the existing funding hierarchy between UK universities but rather recognises and supports the need for a more collaborative or mutual model**
 - **Where there is broad support for open access within the humanities, there is not the same level of support for mandates**
 - **A more positive approach to copyright would support further moves toward open access in AHSS and help to address the challenges of third-party rights in particular**
- 1.1 **‘The 2015 Report to HEFCE on Monographs and Open Access: Reflections Four Years On’** (Geoffrey Crossick, Distinguished Professor of the Humanities, School of Advanced Study, University of London)
- 1.1.1 It is worth considering the key drivers behind a long-standing interest in open access monographs and other long-form publications. Where some interest has been driven from within the academy and associated experimentation with form and infrastructure, much stems from a sense that monographs are the next step after journal articles and before practice outputs.
- 1.1.2 *A linear progression from journal articles on to monographs is a mistake.* Online reading of journals was normal before there was a push for digital open access. This is not the case for monographs. In addition, the monograph has a different place within research - the process of research as well as its articulation, sharing and engagement.
- 1.1.3 The belief that open access for monographs necessarily follows that for journal articles does not just come from enthusiasts for open access but is also assumed by research funders. And whereas the academic proponents of open access have experimented and proselytised for open access monographs, the issue for research funders has become one of mandates, of requirements that monographs be made available through open access.
- 1.1.4 What has happened since the publication in 2015 of the HEFCE report on Open Access & Monographs, commissioned from Geoffrey Crossick, is that a broad discussion about the challenges and opportunities has been overtaken by a narrower debate about mandates.
- 1.1.5 The report explains why the monograph is such a significant feature of arts, humanities and social-science disciplines, and identifies a range of challenges that should be addressed before an extensive move to open access can be contemplated, let alone achieved. *There has been little progress with respect to these challenges, not because they are difficult, though most of them are, but because funders and the academy have focused instead on mandates.* Mandates are introduced in order to move forward the culture within the academy and the innovations in infrastructure without which the broad practice of open access publishing of research cannot be achieved. The danger is that the mandate comes to distract attention from these longer-term goals. Funder requirements lead to a narrowing of vision and detract from the bigger issues facing any move towards extensive open access for monographs. The debate has become narrow, polarised and at times Manichaean.
- 1.1.6 *It is important to see why monographs are different, rather than just raising practical problems hampering the progress of open access from articles onwards.* The monograph has a distinct place within the ecology of research practice and scholarly communication and is central to most (though not all) of these disciplines. It allows the length and space needed for the detailed examination of a topic, presents complex and rich ideas and argument supported by contextualised analysis and evidence, and it weaves them together in reflective analysis and narrative. All of this in ways that are not possible in a journal article or a series of journal articles. The monograph is also fundamental to the research dynamic, captured in the idea of thinking through writing the book which is a process of structuring ideas and argument and relating them to evidence. The monograph is thus much more than a way to communicate the outcome of research. All of this generates a culture of attachment, helps explain why academics feel a strong sense of identity with the books they write. Which might also explain some of the vehemence in responses to policy interventions.

- 1.1.7 *The materiality of the book is fundamental, a place where text does not reign alone. There are many non-textual dimensions - images, layout, the way one turns through a book, the way one holds it. Reading a chapter is easy on a screen but reading a whole book in that way is something with which people are far less comfortable. That is not primarily about time, but about the process of engagement with the book. The 2015 Higher Education Funding Council for England (HEFCE) report saw real opportunities with digital and open access because print books have limitations as well, and the experiments in enriching the digital text in ways that cannot be achieved with a printed page are exciting. Nonetheless, the printed book is fundamental to what the monograph is currently about in the research culture, which is why print books seem to sell well alongside their open access version.*
- 1.1.8 *The core challenges originally outlined in 2015 still remain. The technical challenges remain considerable, above all getting closer to the experience of reading a print version, recognising that a monograph is not simply a linear text. If these technical issues are not resolved then the open access monograph will become merely a set of discrete open access chapters and the distinctive place occupied by the monograph will have been vacated. Other challenges include: third party rights, open access licenses and career progression. *But the biggest elephant in any room where open access monographs are discussed is business models.* Except that the elephant seems to have been given the new name of BPCs. *There is, of course, no such thing as free open access but that doesn't therefore mean that one business model - someone paying the publisher for Gold open access publication - is the only or the best way forward.* There are new open access university presses, traditional publishers using book processing charges, freemium models where the sale of print editions is one of various sources of income. There are mission-oriented models, co-operative crowd-sourced approaches such as Knowledge Unlatched and others that fall between these categories. It is not clear that any one is scalable and the problems of scaling up are distinctive to each.*
- 1.1.9 *The report concluded that far more work was needed to identify the range of business models and their place in an eco-system of scholarly communication, and that a working group could lead on evaluating and initiating progress. Instead, the debate has homed in on the cost of BPCs because of the need for urgent and therefore familiar solutions to be found, even though BPCs would contribute to neither innovation nor efficiency.*
- 1.1.10 *The proliferation of studies and initiatives since 2015 is welcome but, without some authoritative drawing together of progress and identifying what more is needed, key challenges remain. These are not merely practical challenges but are central to winning support for open access monographs.*
- 1.1.11 *Mandates are not an end in themselves. They cannot be extracted from the wider context of employment, career development and institutional management structures in which they take their place and which they inevitably influence. With strained relationships in these and other areas it is hardly surprising that they fuel critiques of open access mandates. One cannot expect to extract any discussion of research strategy and funders' policy from their context.*
- 1.1.12 *Movement towards greater open access for long-form publications is contingent on understanding the framework of research activity and scholarly communication within which they sit, and how that framework and its imperatives would change in an open access environment, while retaining the key features that make them sustain arts, humanities and social-science research. *Mandates can move things forward but only if progress is underway and key challenges are being overcome.**
- 1.1.13 *Open access should not be regarded as the disruptive force in an otherwise relatively stable system of research practice and scholarly communication. The system of scholarly communication has for a long time been disrupted by major changes, long before open access for monographs became a serious issue. It is possible to track significant shifts over recent decades: for example, in the character of monograph publishing and its profitability; in library financial pressures and acquisition strategies, in globalisation and market competition in higher education, in research assessment and impact, in digital technologies and new forms of scholarly communication and discoverability; and in new ways of reading and user expectation of much faster location and retrieval of content. *It is therefore important that open access for monographs should not be seen as a force disrupting a fairly stable system but as an issue that arises in the context of that disruption and is embedded within it. This is why the broader challenges raised in the original 2015 report need to be addressed rather than assuming that mandates will themselves drive the solutions.**
- 1.2 **'Enough About Ideology, Let's Talk About Values'** (Sarah Kember, Professor of New Technologies of Communication, Goldsmiths and Director of Goldsmiths Press)
- 1.2.1 In order to move forward on the question of open access and monographs it is important to avoid "raking over old coals" and instead seek to build on arguments and recommendations that have been presented throughout the consultation period and in key reports by or on behalf of, for example: The British Academy (2018); Universities UK (2019); Jisc (2017) and HEFCE (2015).¹⁵ These have highlighted as yet unresolved issues of: funding; academic freedom; the pace of policy development and the need to *re-think, rather than adapt, policies derived from STEM fields and journal publishing to AHSS and book publishing.*

- 1.2.2 Reports by Jisc and Universities UK have depicted a complex, international and diverse book publishing ecology with discipline specific requirements, the need for more restrictive open access licenses and exceptions for fields such as creative writing. *There is a growing consensus that the current gold and green models are too limited*¹⁶ and that it is not possible to proceed on the basis of a one-size-fits-all approach to open access.
- 1.2.3 There is therefore a need for a *tailor-made open access policy for AHSS* that covers article and book publishing along with practice outputs, ignores the colour scheme altogether and does more than highlight small-scale projects, often funded overseas, that do not reflect either UK policy or a global publishing industry. This industry is not reducible to commercial journal publishing, even though it may be dominated by it. *Open access policy needs to be reframed in relation to scholar-led, not-for-profit and mission-driven university press publishing that is already, arguably, better attuned to the values of scholarly research in AHSS.*
- 1.2.4 *The values of scholarly research should be disentangled from the ideology of open access, thereby highlighting academic freedom, equality and diversity* in place of the currently dominant values of efficiency, transparency and compliance. The question of academic freedom is about where, as well as what, academics may publish¹⁷ and many feel that it has already been constrained¹⁸ by the national research audit, the increasing emphasis on impact and by measurements and metrics that fail to consider what really counts as scholarship, and who counts in it.¹⁹
- 1.2.5 Open access research operates in a culture of “free” content but the preferred gold model, incorporating BPCs, merely shifts the burden of payment from the reader to the author. Institutions are involved in both cases: paying for journal subscriptions and, to a more limited extent, books through library acquisition budgets and, where relevant, administering block grants to cover article processing charges. There is currently no prospect of block grants to cover much higher book processing charges but there is a policy environment that favours the devolution of financial responsibility to individual universities, many of which are already struggling with funding cuts and increased competition.
- 1.2.6 *The financial impact of open access on individual universities and on the HE sector as a whole cannot be separated from current economic constraints and those forecast by Brexit and the Augar review of student fees.* Even under current constraints few universities can afford to cover the cost of gold open access publishing. It is important that policymakers acknowledge this in order to avoid a hardening and consolidation of the existing hierarchy within the HE sector. Compliant institutions will have to draw on existing budgets and will be left with the difficulty of devising open and ethical procedures for allocating funds. In a bare-bones scholarly publishing economy, how will universities decide what and who to publish? Clearly, issues of diversity are at stake.
- 1.2.7 The role of universities is to engage critically and constructively in the development of open access policy, not simply to communicate, fund and administer it.
- 1.2.8 Publishers should join universities and researchers in seeking an ethical and sustainable route that takes proper account of the value of scholarly work in AHSS and its conditions of possibility: funding cuts; spiralling workloads, precarious contracts, low morale and a documented rise in ill-health.²⁰
- 1.2.9 BPCs and Minimum Viable Products (MVPs) are a reductionist and therefore unsatisfactory answer to the question of open access monographs. Both are too focused on the object or product where it is also necessary to consider the distinctive processes and practices of scholarship in AHSS: the very different stress on speed and a culture of slow rather than fast research and publication; an orientation to discourse, narrative and storytelling as well as data; practices, including peer review, that are less readily automated.
- 1.2.10 While debates about the value and variety of monographs should be ongoing, it is important to avoid creating false distinctions between kinds or categories of books - such as scholarly and commercial - that might restrict the activities of researchers and publishers and delimit impact and engagement.
- 1.2.11 AHSS academics across generations are aware of the value of monographs but should be more aware of the value of scholarly publishing as a non-homogeneous industry. Raising the profile of scholar-led, mission-driven, not-for-profit publishing within the academy and taking greater ownership of scholarly publishing across the sector should be distinguished from any obligation on individual researchers to become entrepreneurial self-publishers in a devolved and decoupled²¹ economy. Academics should lobby for an open access rooted in the academy and challenge a consumer approach in which individuals would be required to add the labour of evaluating different publishing services and providers to their workload.

- 1.2.12 Funders and policymakers might review the devolved, decoupled, consumer approach to open access, working with universities, libraries, academics and publishers toward a tailor-made policy for AHSS. This may highlight creative experimentation, critical intervention and social intervention over and above commercial innovation and a free market model of technological disruption and competition. Funders could help support a collaborative, institutional model of scholar-led publishing and shared infrastructure, building on existing initiatives such as Humanities Commons (US) and Community-led Open Publication Infrastructures for Monographs (COPIM) (UK).²²
- 1.2.13 Recognising the equal but different value of AHSS research in relation to STEM would modify the cyberlibertarian emphasis on rapid communication and information circulation that may benefit medical research but is less applicable to AHSS and is also the business model for social media and big tech.
- 1.2.14 In the absence of direct government funding for BPCs (estimated at £20m/year - but this is only for books submitted to the REF)²³ it is important to be wary of big tech business models and the rise of platform capitalism²⁴ in publishing. Platform capitalism describes the role of companies providing platforms for others to operate on and then becoming the main operators themselves: Amazon is a case in point. Knowledge Unlatched, the first library subscription model for open access, is a platform for linking libraries and publishers. A useful service, this has changed from being a non-profit to a for-profit company and is seeking exclusive contracts that will enable it, as Rupert Gatti of Open Book Publishers has argued, “to monopolise and dominate an industry”.²⁵
- 1.2.15 A major irony of open access policy is that in trying to break up the monopolies of commercial journal publishing, it may facilitate existing or potential monopolies in the technology industry and digital publishing.
- 1.2.16 Here it is worth noting that publishing in AHSS is not currently and, is unlikely to be, digital only. This is one of the reasons that Plan S, with its proposed ban on hybrid print/digital publishing cannot simply be adapted from STEM. It is not only that all open access publishers print (and sell) books. To do so effectively requires channels of distribution, marketing and discovery that cost money that in turn, takes time to recoup. There is, on this basis, no free or immediate open access and print sales will not fully subsidise delayed open access even if this turns out (and it may be too soon to say) not to harm print sales. The available models break down in practice, which means that open access is not only an addition rather than a substitute approach to publishing but has to be case by case. *The question then is whether open access can be meaningfully mandated in AHSS.* The same question arises with respect to any future model comprised substantially of exceptions.
- 1.2.17 *An unfunded mandate will exacerbate existing inequalities* but stakeholders might work together to share costs and promote recovery and diversity projects that, if they were to scale up, could contribute to opening up scholarly publishing and decolonising the canon.
- 1.2.18 Goldsmiths Press supports two such projects²⁶ and is more invested in the values of scholarly research than in the ideology of open access. Launched in 2016, it became the UK’s first green open access monograph university press publisher in anticipation of the mandate. Green open access is a more sustainable but not in other respects more satisfactory option for monographs than gold, and in practice the press operates in the space in between, using embargo periods, a fair and varied pricing model and migrating open access books between Goldsmiths’ institutional repository and MIT’s platform, PubPub. Partnered with MIT Press and part of the Radical Open Access Collective,²⁷ Goldsmiths Press is one example of a more ethical and sustainable route to open access.
- 1.3 **‘We Started Building a Progressive Ecosystem for the Arts and Humanities – You Won’t Believe What Happened Next!’** (Gary Hall, Professor in Media and Performance, Coventry University)
- 1.3.1 It is timely to reconsider scholar-led and grassroots open access movements in the context of, and as part of a wider political struggle.
- 1.3.2 Significant social and political change has accompanied transformations in communication technology (some argue that this is a post-digital era as digital transformations have already occurred) and those on the political right have realised the possibilities created by the new communications technologies far better than the democratic left.



- 1.3.3 How is it possible to use the new communication technologies for more progressive purposes that are attuned to today's changed political landscape? There are signs something of this kind is beginning to happen with, for example, the rise of platform co-operativism.
- 1.3.4 *Leading examples of using communications technologies for purposes grounded in the democratic principles of openness, redistribution and working collectively include: the Culture Machine journal of critical and cultural theory and Open Humanities Press (OHP), which involves multiple self-organising groups, all operating in a non-competitive fashion to make works of contemporary theory available on a non-profit, free/gratis, open access basis.*
- 1.3.5 OHP was a founder member of the Radical Open Access Collective, a community of presses, journals and other projects, formed in 2015. Now consisting of over 60 members, this collective seeks to build a progressive alternative ecosystem for creating and publishing research, based on experimenting with a diversity of non-profit, independent and scholar-led approaches.
- 1.3.6 The Centre for Post-digital Cultures at Coventry University is involved in re-inventing hardware, software and network infrastructures - especially those involved in the production and dissemination of research: books, journals, seminar series, conferences. But also, infrastructure that operates at a larger scale: archives, museums, libraries and so on.
- 1.3.7 COPIM is a consortium of six open access presses called ScholarLed. A strategic international partnership involving universities, libraries and technology providers, COPIM's designed to re-align open access book publishing, away from competing commercial service providers, to a more resilient, horizontal and cooperative knowledge-sharing approach, in which systems and infrastructures are collectively managed for the common good.
- 1.3.8 The working of these initiatives is often through communities and collectives and the output is more varied than books and journal articles. It can, as with COPIM, involve building, developing and maintaining far more than authoring.
- 1.3.9 *It is important to note that none of these projects seek to scale up. The priority is to remain small scale or "non-scale" by developing relationships with a diversity of others in different parts of the world through collaboration; and by allowing content and infrastructure to be openly copied, shared and re-iterated, free of charge. There is no interest here in creating a one-stop platform or seeking a monopoly over platforms and publishing activities.*
- 1.3.10 *The diversity of the humanities means that such paternalistic attempts to impose a one-size-fits-all order onto its publishing ecology are ultimately doomed to failure. Besides, doing so leaves little room for experimentation when what's needed is actually a variety of models - business and otherwise - not least to avoid becoming reliant on a system of BPCs that is potentially unsustainable.*
- 1.3.11 *A model based on collaboration and re-iteration - rather than growth and expansion also facilitates the inclusion of non-standard contributions from others, understood geographically, but also in terms of BAME, LGBTQI, working class and other non-conforming identities. At the same time, by producing free resources and infrastructure in this way, chains of equivalence can be established between our grassroots, community-led open access projects and a diversity of other movements and struggles locally, nationally and internationally.*
- 1.4 **'Open Access and the Humanities'** (Peter Mandler, Professor of Modern Cultural History, University of Cambridge)
- 1.4.1 *There is a gulf between real academic practice and policies that regulate it. Policy is often oblivious to, or fails to align with academic practice.*
- 1.4.2 There are a number of key differences between academic practice in STEM and humanities fields:

STEM	Humanities
Short articles – data and analysis	Long articles – persuasive text
Data self-generated and self-owned	Data owned by others
Data can/should be extracted, remixed	Text can't/shouldn't be remixed
Timely (1-2 year download half-life)	Not very timely (12-16 year half-life)
Journals expensive, corporate-dominated	Journals cheaper, UP-dominated
Monographs non-existent or marginal	Monographs central
Well funded	Not very well funded or underfunded



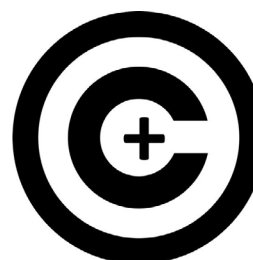
STEM – Research Council Policy	Humanities – REF policy
Short articles – data and analysis CC-BY	Long articles – persuasive text CC-BY NC ND
Data self-generated and self-owned CC-BY	Data owned by others CC-BY NC ND, exemptions
Data can/should be extracted, remixed CC-BY	Text can't/shouldn't be remixed CC-BY NC ND
Timely (1-2 year download half-life)	Not very timely (12-16 year half-life)
Journals expensive, corporate-dominated Gold OA	Journals cheaper, UP-dominated Subscriptions, exemptions
Monographs non-existent or marginal Monographs (initially) omitted	Monographs central Monographs (initially) omitted
Well funded Gold OA	Not very well funded or unfunded Green OA, subscriptions

STEM – Plan S	Humanities – Plan S
Short articles – data and analysis CC-BY	Long articles – persuasive text CC-BY
Data self-generated and self-owned CC-BY	Data owned by others CC-BY, no exemptions
Data can/should be extracted, remixed CC-BY	Text can't/shouldn't be remixed CC-BY
Timely (1-2 year download half-life)	Not very timely (12-16 year half-life)
Journals expensive, corporate-dominated Gold OA, no hybrids, no subscriptions	Journals cheaper, UP-dominated Gold OA, no hybrids, no subscriptions
Monographs non-existent or marginal Monographs (initially) omitted	Monographs central Monographs (initially) omitted
Well funded Gold OA, no hybrids, no subscriptions	Not very well funded or unfunded Gold OA, no hybrids, no subscriptions

STEM – Plan S	Humanities – Monographs
Short articles – data and analysis CC-BY	Very long, persuasive CC-BY
Data self-generated and self-owned CC-BY	Data owned by others CC-BY, no exemptions
Data can/should be extracted, remixed CC-BY	Text can't/shouldn't be remixed CC-BY
Timely (1-2 year download half-life)	Not very timely (possibly even longer half-lives)
Journals expensive, corporate-dominated Gold OA, no hybrids, no subscriptions	Monographs, UP-dominated Gold OA, much more expensive
Monographs non-existent or marginal Monographs (initially) omitted	Monographs central Monographs included
Well funded Gold OA, no hybrids, no subscriptions	Not very well funded or unfunded Gold OA, many authors excluded

- 1.4.3 *Policy development for UKRI, REF and Plan S should recognise all such differences, relating, for example, to the centrality of monographs to humanities research practice and to the lack of funding relative to STEM.*
- 1.4.4 *Humanities scholars favour a scholar-led grassroots approach to open access and open access policy should be reoriented to this approach.*
- 1.4.5 *It is important that policy does not reinforce the existing funding hierarchy between UK universities but rather recognises and supports the need for a more collaborative or mutual model.*
- 1.4.6 *Where there is broad support for open access within the humanities, there is not the same level of support for mandates.*
- 1.5 **‘QUOTE/UNQUOTE: The Future is Open-ish’** (Ronan Deazley, Professor, School of Law, Queen’s University Belfast)
 - 1.5.1 *A more positive approach to copyright would support further moves toward open access in AHSS and help to address the challenges of third-party rights in particular.*

- 1.5.2 Many people wish to use quotes or extracts from other people's copyright works - books, films etc. - in their own works. Copyright law currently permits the use of quotations or extracts, without requiring permission from copyright owners, if such use is "fair" and done for the purpose of criticism, review or reporting current events. This exception does not cover other uses of extracts, so quotations for illustration or analysis that most people would consider fair (e.g. a lyric or a few bars of music in a book about the history of pop music) may require copyright clearance and incur associated costs. *Widening, and thereby simplifying, our current exception so it covers fair dealing for any extract, would remove these costs and support free expression.*
- 1.5.3 Before the law changed in 2014,²⁸ copyright owners could prevent the minor use of quotations from copyright works unless it fell within fair dealing exceptions for criticism, review or news reporting. The law was amended to provide greater freedom for other purposes, as long this came under fair dealing.
- 1.5.4 *The Copyright, Designs and Patent Act 1998 section 30 (1) states that: 'Fair dealing with a work for the purpose of criticism or review, of that or another work or of a performance of a work, does not infringe any copyright in the work provided that it is accompanied by a sufficient acknowledgement (unless this would be impossible for reasons of practicality or otherwise) and provided that the work has been made available to the public.'*²⁹
- 1.5.5 *Publishers are not doing enough to recognise the latitude that currently exists within copyright legislation and may be obliging authors to seek copyright permission where this is not needed.*
- 1.5.6 Publishers need to be less risk averse and offer clearer statements on fair dealing to their authors. *Not all third-party material requires copyright clearance.*
- 1.5.7 It is not always the case that open access publishers are less risk averse than commercial publishers. Open access publishers such as Goldsmiths Press and Open Book Publishers are invited to review their statements on third party rights and to seek greater alignment between statements and disclaimers on the one hand and more positive copyright practices on the other.³⁰
- 1.5.8 Display At Your Own Risk (DAYOR) was a 2016 research-led exhibition experiment³¹ featuring digital surrogates of public domain works of art produced by cultural heritage institutions of international repute. It featured 100 works from 52 institutions in 26 countries. In a publication related to the exhibition, DAYOR stated that: "In the United Kingdom, where this project is based, general exceptions permit the use of work for non-commercial research and private study, for criticism or review, quotation, or reporting current events. The scope of each exception is defined differently, and the limits of the exceptions are not always clear. The principal exception we rely on for this project concerns copyright for the purpose of non-commercial research (Copyright, Designs and Patents Act (CPDA)1998, s.29). It is our opinion that the use of these digital surrogates for the purposes of the exhibition (as well as for this publication) is permitted according to the research exception. Naturally, extensive acknowledgement and attribution is paid to the original artist and the host cultural institution in accordance with the requirements of the exception."
- 1.5.9 DAYOR also stated that: "Many copyright owners that we were able to contact granted us permission to include their work within this resource, without requesting a fee. We are grateful to them. Some copyright owners were prepared to grant permission but only the condition of payment. Because of the non-commercial, critical and research-led nature of this project, no licensing fees were paid."
- 1.5.10 Elsewhere, DAYOR stated: "This project includes material for which we could not secure express permission - either because we could not identify the owner or because permission was contingent on paying a fee. We reproduce this work here in accordance with ss. 29 and 30 of the CPDA, permitting re-use for non-commercial research and for criticism, review and quotation."
- 1.5.11 The open access scholarly publishing community should work collaboratively to adopt more copyright-positive standards and share best practice.



be copyright positive ...
(it's good for you)

Discussion

There was some discussion about the kind of open access favoured by humanities scholars, and what a tailor-made open access policy for AHSS might incorporate. *Recommendations included: no requirement for Creative Commons (CC-BY) licenses and more authorial control over licensing; no fees for publishing (APCs or BPCs); a funding strategy that does not reproduce and consolidate the existing financial hierarchy structuring the UK HE sector; more priority for the values of academic freedom, equality and diversity; a re-consideration of the mandate for open access monographs in light of the significant differences between STEM and AHSS.*

While there was a generally positive response to the challenge of being more copyright positive and the publishers named, including Goldsmiths Press and Open Book Publishers, subsequently undertook to collaborate in order to foreground more copyright-positive standards and best practice, it was also noted that DAYOR relied on copyright exception for non-commercial research and that this model might be problematic for publishers and universities that operate, and that must increasingly be self-sustaining, within a competitive marketplace. It is not clear that such an exception could apply to textbooks or trade books and contributors had already noted that the division between commercial and non-commercial (trade and academic) publishing is not a clear one in publishing practice, and could be damaging if it were consolidated in policy. Rather than addressing the issue of copyright in binary terms such as publisher vs author indemnity or commercial vs non-commercial publication, it is more important to recognise that there have always been limitations and loopholes in copyright law. Intellectual and creative practice across disciplines has always been about living with and negotiating copyright³² and the more strategic approach is to recognise that copyright has never been fit for purpose, let alone in a digital age³³ and to agree priorities and work collaboratively toward shared goals.

Part 2. Which issues are being addressed? Which still need to be?

Summary of recommendations

- **Reviews of open access policy are ongoing and policy for REF 2027 has yet to be decided. Two different policies are in scope (UKRI and REF) and while there is an opportunity to align them, it is also necessary to be mindful of key differences between policy governing grant funded research and that governing submissions to the REF**
 - **Policymakers need to think carefully about the pros and cons of having dedicated funding streams for open access monographs**
 - **There will need to be flexibility around the choice of open access licenses for scholarly monographs**
 - **The question of diversity in scholarly publishing is not addressed solely at the level of access, representation and inclusion. It is also a factor in scholarly practices such as peer review, free labour and citation: in the design and workflow of scholarly publishing and in the provision, control and distribution of infrastructure**
- 2.1 **Funding and Policy** (Steven Hill, Director of Research, Research England)
- 2.1.1 UKRI operates across the UK with a combined budget of more than £7 billion. It brings together nine research councils including Research England (known as Research Councils UK - RCUK).³⁴ Research funding in the UK is divided between two groups of non-departmental government bodies, the RCUK and the Higher Education Funding Bodies (UK Funding Councils): HEFCE; Higher Education Funding Council for Wales (HEFCW); Scottish Funding Council (SFC) and the Department for Employment and Learning, Northern Ireland (DELNI). Policy for the REF is determined by the four UK Funding Councils.
 - 2.1.2 *Reviews of open access policy are ongoing with both bodies, meaning that policy for REF 2027 has yet to be decided.*
 - 2.1.3 *Two different policies are in scope and while there is an opportunity to align them, it is also necessary to be mindful of key differences between policy governing grant funded research and that governing submissions to the REF.*
 - 2.1.4 *There is enough funding available globally to support open access monographs. The main questions are about the cost of transition and how to ensure an equitable distribution of funding.*

- 2.1.5 When thinking about policy development, it is important to acknowledge that different research disciplines have different norms, practices and needs. There can be no one-size-fits-all approach to open access because of this. It is not just a question of tolerating a variety of business models for open access monographs, but of encouraging and celebrating them.
- 2.1.6 *Policymakers need to think carefully about the pros and cons of having dedicated funding streams for open access monographs.* The provision of block grants to fund article processing charges (APCs) enabled journal publishers to adopt certain business models (for example, combining APCs with subscription costs) that it is necessary to reflect on: what effect would this have on monograph publishing? Are there lessons to be learned? *In general terms, how interventionist should policymakers be?* Should they promote particular business models and if so, how should these be chosen? Policymakers want to stimulate the development of new business models.
- 2.1.7 There are differences between journal and monograph publishing, not least with regard to their profitability. Journals often make a profit but profits are significantly lower in monograph publishing and may indeed be negative. In addition, where journal publishing has become predominantly digital, there is an ongoing preference among AHSS scholars for print books. *In an open access publishing environment, revenue derived from the sale of print books will continue.*
- 2.1.8 *There will need to be flexibility around the choice of open access licenses for scholarly monographs. It is also important to be clear about the consequences of more restrictive licenses,* with regard, for example, to determining where they do (monographs) or do not (trade books) apply. If open access policy does not apply to trade books, how will a trade book be defined; on the basis of an author or publisher's intention, on the basis of price point? What about books that are an unexpected commercial success or those that cross over from an academic to a more general market? Enabling machine access to scholarly content is important, as is the issue of third-party rights. There should be less risk aversion with regard to the latter.
- 2.1.9 The work of the Universities UK Open Access Monographs working group³⁵ will continue to provide evidence for the UKRI Open Access Review.³⁶
- 2.2 **Research Excellence Framework (REF)** (Sylvia Walby, Professor of Sociology, City, University of London)
- 2.2.1 The negative connotations of the REF in AHSS stem less from UKRI policy than the way in which universities have responded to it. REF policy is organised around units of assessment, but universities prepare for the REF by predicting the outcome for individual researchers. Universities have individualised the REF; policy interventions should be made at sector level.
- 2.2.2 *The move to open access is a further complication and has exerted a downward pressure on the value of books in the REF.* The fact that disciplines such as sociology award the highest REF scores to scholarly monographs is clear to funders, but universities vary in the value they attribute to different kinds of research output and in their assessment of double-weighting for books.
- 2.2.3 *Monographs are a point of tension between the priorities of funders, university managers and researchers.* Funders are being asked to value research outputs equally and also recognise the specificity and particular importance of books. There is something of a contradiction here. Impact case studies are an important part of the REF. They may incorporate books (monographs, edited collections or other long form scholarship) but are owned by the university and researchers may not transfer them between employers.
- 2.2.4 *Books matter. They are at the heart of the political economy of AHSS output but it is important to recognise competing priorities of assessment and ownership.* There is also a need for more experimental business models to support open access monographs.
- 2.3 **Early Career Researchers (ECRs)** (Samuel Moore, Researcher and Consultant: Critical Information/Publishing Studies)
- 2.3.1 *There are four issues that underline the unfulfilled promise of open access in the humanities:*
1. *The humanities were involved in open access from the beginning (a fact that seems to have been lost).* The pre-history of open access might be dated to the early 1990s and to scholar-led humanities journals such as: *Surfaces*, *Postmodern Culture*, and the *Bryn Mawr Classical Review*. These journals were committed to expanding the audience for research, experimenting with copyright and returning ownership of scholarly communication to researchers. Critical humanities disciplines were noticeably present in early open access experiments.
 - 2.3.2 *Open access is about more than public access to research.* It consists of a movement of motives, practices and politics. There should be broader engagement with, and critical reflection on the ways in which research is published.
 - 2.3.3 *3. Mandates and compliance have a homogenising effect on open access.* The current policy environment favours traditional commercial publishers, and has produced long embargo periods and high APCs. Most UK humanities researchers, including especially ECRs encounter open access for the first time through REF policy and mandates. Compliance with open access mandates does not encourage researchers to critically reassess their publishing practices.

- 2.3.4 4. For a radically diverse ecosystem of open access to flourish, policymakers should: focus on the broader issues that motivate open access, not just the lack of public access to research; facilitate grassroots experimentation in the form of new university presses, library-led publishing, collectives such as ROAC; enable new forms of organisation to emerge; recognise the value of monographs and stop funding APCs.
- 2.4 **Unaffiliated and Retired Researchers** (John Scott, Honorary Visiting Professor, Universities of Exeter and Essex)
- 2.4.1 *Open access monograph publishing is a mixed blessing for retired and unaffiliated academics. While removing paywalls, it also presents financial challenges that may preclude participation.* A significant amount of research takes place outside of the university system - local history research being one example. Retired and unaffiliated researchers do not have access to institutional funds for BPCs and may not deposit work in institutional repositories. This makes it difficult for them to publish according to either the gold or green open access publishing models.
- 2.4.2 *Along with ECRs on temporary, fractional, zero hour or other precarious contracts and researchers attempting to enter the university system, retired and independent scholars might have to pay for their own publications.*
- 2.4.3 *In order to avoid such inequities and barriers to entry, policymakers should consider exemptions for scholars working outside full-time university employment.*
- 2.5 **Difference and Diversity** (Roopika Risam, Assistant Professor of English, Faculty Fellow for Digital Library Initiatives, Salem State University)
- 2.5.1 *The question of diversity in scholarly publishing is not addressed solely at the level of access, representation and inclusion. It is also a factor in scholarly practices such as peer review, free labour and citation: in the design and workflow of scholarly publishing and in the provision, control and distribution of infrastructure.*
- 2.5.2 Reanimate³⁷ is a feminist publishing collective that aims to address these and other aspects of diversity by recovering archival writing by women involved in media activism and by integrating intersectional feminist values in open access publishing. The pretext for the Reanimate project is that market forces operating on scholarly publishing are an obstacle to textual recovery and to the diversification of disciplines such as media, cultural and communication studies. The origins of the project lie in research undertaken on women and the anti-communist blacklist.³⁸ This uncovered unpublished material sheds new light on the involvement of women in the media industries.
- 2.5.3 With little funding available to support feminist publishing initiatives, the project draws together a range of partners with relevant expertise and seeks to develop self-sustaining, small-scale labour, workflow and financial models.
- 2.6 **Quality Assurance and Peer Review** (Joe Deville, Lecturer in Sociology, Lancaster University)
- 2.6.1 Quality assurance in open access scholarly publishing has focused on the transition from double blind to open peer review and on establishing standards and best practice to ensure trust, authority and academic excellence.³⁹
- 2.6.2 Double blind peer review has been subject to criticism within the humanities for the extent to which it reproduces existing hierarchies of knowledge, power and subjectivity, may exclude early-career researchers (ECRs) and other scholars outside of the mainstream and can mask abuses of power and privilege.⁴⁰
- 2.6.3 *While it remains important to maintain the quality of published output in the era of online and open access publishing, it is also important to consider the quality of the publishing process. Careful publishing is about taking care of the book as material form and communication technology, as well as taking care of sociocultural relations with authors, copy-editors, reviewers and so on, that tend to remain hidden from view.* Careful publishing is about what is published and the manner in which publishing is done.
- 2.6.4 The transition between double blind and open peer review, including pre- and post-publication peer review, turns it from a moment of judgement into an ongoing conversation. Mattering Press is a small-scale scholar-led publisher experimenting with review by community, comments by paragraph and second edition books that incorporate post-publication reviews.
- 2.7 **Academic Freedom** (David M. Berry, Professor of Digital Humanities, University of Sussex)
- 2.7.1 *It remains important for humanities scholars to reflect critically on open access and to ask key questions such as: what are the goals of open access? Who benefits? Why are the timescales to implementation so compressed? Does open access usher a new form of digital utilitarianism or cyberlibertarianism and how might AHSS scholars take stock of the transition to open access?*
- 2.7.2 *It is necessary to re-think and re-prioritise academic freedom in the context of open access as a mandate regulating where scholars may publish and in the context of open access as a moral discourse governing scholarly attitudes and behaviour.* Moral judgement underlines open access policy. There is a growing cultural consensus that it is right to publish with an open access publisher and wrong to publish with a more traditional press. There is also a retrospective

- historical judgement that traditional publishing impeded access to knowledge.
- 2.7.3 Open access is an ideological and contested movement consisting of diverse interests, investments and politics. *The transition to open access should not be regarded as consensual or inevitable and it is legitimate for AHSS scholars to seek greater control over the pace of open access and its priorities.*

- 2.7.4 Academic freedom is more important than open access. As ownership and control of scholarly research is ceded through reforms of copyright and intellectual property and through the development of text and data mining systems, there is a need for academic freedom access and for the development of an academic commons. It is also important to acknowledge historical forms of open access offered through libraries and traditional forms of publishing and to mark the difference between access as public engagement and knowledge enhancement.

Discussion

Two main themes were discussed: how to re-envision the relation between libraries, funders and publishers in order to facilitate open access monograph publishing; and whether Higher Education Institutions (HEIs) should be required to submit only a percentage of total monograph submissions to the REF in the form of open access.

At present, libraries spend most of their acquisition budgets on journal subscriptions. There has been a long-running over-inflation in the subscriptions market dominated by the four main STEM publishers, and the motivation behind Plan S is clearly to tackle this problem.

Funders can help libraries to re-direct their budgets toward open access resources by means of match funding.

A useful precedent is the Library + Funder (L+F) scheme proposed by the anthropology journal collective Libraria.⁴¹ This involves libraries flipping their journal subscription budgets to open access and combining them with external funding. Berghahn Journals and Libraria will devise a “subscribe-to-open” scheme in order to provide research libraries with the option of supporting the move of 13 Berghahn anthropology journals to open access in 2020.

Devising mechanisms for involving funders and publishers in a similar scheme for monographs would be challenging but collaboration could begin with collectives such as Scholar Led⁴² and Radical Open Access Collective (ROAC). However, it would also need to incorporate more established imprints and organisations such as the Independent Publishers Guild (IPG) and Association of University Presses (AUP) if a match funding scheme were to be rolled out across the full scale of the scholarly publishing industry.

A match funding initiative for monographs still takes the transition to open access for granted and there was further discussion about the tension between the drive to open access and academic freedom. Versed in critiques of neoliberalism and of liberal humanism alike, humanities scholars are rightly wary of the concept of freedom as a universal human right or attribute and should be alert to any false division between the relative freedoms associated with traditional and new forms of publishing. That said, there remain legitimate concerns about academic control over the values, pace and priorities of open access publishing; about the competing interests and entitlements of authors and readers and about the extent to which open access might be shifting the balance of research ownership (reflected in copyright and other forms of intellectual property) between authors, publishers, universities and funders. It is important to reflect on the otherwise laudable injunction to be more copy-right positive in this context.

The proposition that open access monograph compliance for REF 2027 might be achievable on a percentage basis is of interest from a funder perspective, but questions were raised as to how this might work in practice. The main concerns from a funder perspective were behavioural and administrative. If the percentage of overall submissions by any HEI were 70:30, open access to non-open access monographs, what are the behavioural implications for those who elect to be in the 30%? How will universities manage and administer such a policy? The concern here is with the extent to which the mandate produces a change in culture and whether a policy based on percentage compliance would leave room for significant individual, institutional and cross-institutional resistance.

Other concerns, for example from a sectoral perspective, might be about the lack of a level playing field and how any unfunded REF mandate, even one based on percentage compliance, might still serve to consolidate existing financial hierarchies between institutions and further exclude scholars who are marginalised within the mainstream and who work outside it. While a variable percentage, sensitive to structural inequities, would presumably be inoperable, one obvious solution would be to *separate any open access monograph mandate from the REF altogether.*

The discussion did not lose sight of the benefits of open access as a contested set of values and priorities and as an opportunity to re-assess scholarly habits and practices. While there are obvious, and increasingly acknowledged risks, there are also opportunities to improve equality and diversity in scholarly publishing and Reanimate offers a model for doing so. *The success of such collaborative models - already involving researchers, publishers, libraries and universities - would ultimately depend on funder investment albeit in multi-payer schemes.*

Match funder and multi-payer schemes represent emerging patterns of funding for open access publishing. They are emerging in response to the failure of APCs and BPCs to constitute a business model that is sustainable and equitable for HE as a whole and for AHSS disciplines in particular.

Part 3. Roundtable discussion

Roundtable discussants were invited to offer brief statements in order to stimulate audience participation in a wider discussion.

Summary of recommendations

- **Debates on open access monographs pay too little attention to the role of practice research and are overly fixated on the transition from articles to books**
 - **The current library repository model for open access (green open access) is unsatisfactory and has tended to decouple and decontextualise articles from journals (chapters from books). It will be necessary to invest in a 21st century infrastructure with effective search and machine learning/AI affordances**
 - **Support should be provided for the growing number of small, innovative university presses in the UK that offer a way for the scholarly community to gather together and collaborate within the academy in order to deliver more books in open access**
 - **A greater sense of ownership within and across the academy is key to building an investment in open access for AHSS**
- 3.1 **Sunil Manghani** (Professor of Theory, Practice & Critique, Director of Research and Enterprise, Winchester School of Art)
- 3.1.1 *Debates on open access monographs pay too little attention to the role of practice research and are overly fixated on the transition from articles to books.*
- 3.1.2 Digital publishing entails a shift from an economy of scarcity to an economy of abundance. In an economy of abundance, researchers are writing too much and reading too little. The value of the monograph in this economy tends toward zero. Commercial publishers and platforms have adapted to this economy, becoming financially and data rich.
- 3.1.3 *Open access is not free and already exists in the form of the library. Libraries are a public good and a site of inclusivity. As a society, we have failed to invest in them. Universities should improve their interface with the wider public library system.*
- 3.1.4 *The current library repository model for open access (green open access) is unsatisfactory and has tended to decouple and decontextualise articles from journals (chapters from books). It will be necessary to invest in a 21st century infrastructure with effective search and machine learning/AI affordances.*
- 3.2 **Steven Hill** (Director of Research, Research England)
- 3.2.1 *Policy for REF 2027 has not been finalised. Research England, as part of UKRI are keen to listen and gather input from all research communities.*
- 3.2.2 Research England is part of UKRI but the REF is owned by England, Scotland, Wales and Northern Ireland. UKRI and REF open access policy are distinct but will be aligned, like concentric circles. UKRI policy will sit within the REF policy circle.
- 3.3 **Simon Tanner** (Professor of Digital Cultural Heritage and Pro Vice Dean Research, King's College London)
- 3.3.1 *REF has come to dominate UK research in AHSS but is not of itself a good reason for doing anything. The REF is not why universities exist and open access can and should matter outside of the REF.*
- 3.3.2 8,513 books were submitted to REF panel D in 2014. 39 publishers submitted 20 or more books (5,232 books or 61.4% of total), but a total of 1,180 publishers took part. REF open access monograph policy is therefore likely to have a significant impact on the industry. Publishers who submit a limited number of books to the REF might be disproportionately affected.

- 3.3.3 *Policymakers should exercise caution when seeking to influence researcher behaviour.* A REF mandate for monographs could drive researchers to a limited number of publishers that in turn are likely to charge high BPCs. The BPC route is unsustainable. King's College submitted 245 books to REF 2014 and the cost, in BPCs would be high. Universities could pay for books that are not subsequently submitted to the REF.
- 3.3.4 Books matter intensely to academics and are key conduits for research that has wider public interest and impact (books featured prominently in REF 2014 impact case studies). Academics should be the key drivers for open access monographs.
- 3.3.5 *Three key areas of digital functionality should be improved prior to gaining academic adoption of open access monographs:*
 1. *Searchability.* It is not enough to be able to access a PDF or E-Pub if the title of a book is already known. As with Google Books, open access monographs should be full-text searchable. 2. *Citation.* Currently, book citations are not reflected in metrics and this misrepresents their value within the scholarly community. 3. *Identification.* There should be a unique digital identification system for books. At present, there may be a number of different Digital Object Identifiers (DOIs) for any given work. There should be a system oriented to greater longevity and simplicity.
- 3.3.6 *Support should be provided for the growing number of small, innovative university presses in the UK that offer a way for the scholarly community to gather together and collaborate within the academy in order to deliver more books in open access.*
- 3.4 **Chris Banks** (Director of Library Services, Imperial College London)
- 3.4.1 *The best policy encourages and incentivises⁴³ and REF policy has arguably been effective in that sense, having driven an increase in open access publishing and having helped to stimulate the development of new university presses, more awareness of copyright, increased focus on peer review and pre-print publication as well as new open access models for long form publication.*
- 3.4.2 *Scholar-led initiatives that arise in response to academic challenges and demands are the most likely to endure.* Examples might include ArXiv.org,⁴⁴ figshare.com⁴⁵ and mendeley.com⁴⁶
- 3.4.3 *It is important not to attribute challenges to open access publishing that are inherent within the scholarly publishing system per se: such as third-party rights.*
- 3.4.4 At what point on the spectrum of scholar-led innovation and funder-driven mandates is the sweet spot where the new REF open access policy should lie?
- 3.5 **Susan Bruce** (Professor of English and Co-Chair Arts & Humanities Alliance, Keele University)
- 3.5.1 *One of the challenges facing the development of open access for long-form scholarship is the lack of engagement by university senior management.* The Association of Deans of Arts, Social Sciences and Humanities (DASSH) met on 17 May and were asked to consider the overall awareness and management practices of members of senior management with respect to open access policy.
Deans reported little confidence in their own knowledge and understanding of open access (scoring themselves up to 5 out of 10), and less confidence in the knowledge of staff in their respective institutions (scoring them 2 out of 10). Many knew little about different open access licenses. Most noted that there had been little discussion of open access within their institutions which, for the most part, had not developed new policies for handling this agenda let alone any budget to fund further development of the agenda. For many institutions, especially those in the past '92 sector, journal APCs were already an issue, so financing open access monograph publication might prove a significant cause for concern.
- 3.5.2 *Deans felt that there were many barriers to the further adoption and implementation of open access policy including: ignorance, promotions practices, lack of information, and most notably financial wherewithal. Most were unaware of whether their institutions issued advice or guidance about open access.* There was a mixed view of how sympathetic what are often largely STEM SMTs are: some Deans felt STEM colleagues understood the concerns of humanities and social science academics about open access (in particular license implications, and the different conditions and consequences of open access monograph publication); others felt that STEM colleagues were largely unaware of these concerns.
- 3.5.3 There were concerns about the timescale for REF 2027 and the introduction of a mandate for open access monographs since preparations for REF 2021 are ongoing and seem to be precluding future preparations. *A more gradual introduction of open access monographs might be indicated.*
- 3.6 **Anthony Cond** (Managing Director, Liverpool University Press)
- 3.6.1 *It is important to avoid reproducing divisions of interest between publishers, librarians and researchers and to recognise the significant differences of scale, profitability and values within the publishing industry.*
- 3.6.2 *Commercial journal publishing dominates both perception and policy, but the majority of scholarly publishers make either a modest profit or none at all.*
- 3.6.3 *AHSS publishers, university presses and small scholar-led presses are most willing to collaborate with other stakeholders in order to find a sustainable route to open access, and to respond to what the academic community wants.*

- 3.7 **Geoffrey Crossick** (Distinguished Professor of the Humanities, School of Advanced Study, University of London)
- 3.7.1 *It is not a question of rejecting the mandate for open access monographs but rather of widening the discussion about open access monographs beyond the question of the mandate.* Key issues that have yet to be addressed include: business models, third-party rights, the development of e-reader technology and the identification of a body to investigate outstanding challenges and monitor progress.
- 3.7.2 Beyond a concern with developing viable business models, *the development of community-based and collaborative approaches is central to any attempt to change research culture.*
- 3.7.3 Modes and practices of research must have the freedom to evolve and change. Open access requirements must be able to encompass and not constrain this.
- 3.7.4 *Print publishing for AHSS will endure* and is still valued by younger generations. Digital publishing should not reduce books to chapters.
- 3.7.5 Myths about the extent to which REF values monographs and practice research should be addressed. Funding councils could make their valuations of different forms of output public.

Discussion

The importance of non-textual research and research as practice is being overlooked in mandate-driven discussion and consultation on the transition to open access monograph publishing. For disciplines such as music and drama, open access raises acute challenges, for example, with respect to third party rights. There are differences and specificities to account for, between and within the arts, humanities and social sciences.

There are broader issues of equality, diversity and inclusion to consider with respect to REF open access policy. At present, it is not possible to obtain data on the percentage of monograph submissions by gender. It might be useful to benchmark future REF policy against the Leiden University Rankings that do provide data on publication output by gender and that include other indicators such as open access.⁴⁷

Current REF policy does not include reasonable adjustments for researchers or practitioners with dyslexia and dyspraxia. This is a particular issue with respect to the green open access model and the obligation to deposit accepted manuscripts in institutional repositories within a particular time frame. *Guidance concerning reasonable adjustments should be included for REF 2027.*

There was some discussion about different stakeholder investments in the future of open access for AHSS, and the need, or otherwise, for an independent body to monitor and oversee the development of sustainable business models for open access monographs. *To what extent does a focus on business models put the cart before the horse, and if the more important task is to re-evaluate a set of priorities and objectives for scholarly communications before developing business models to support them, should this task not fall predominantly to the academy, rather than to librarians, funders or publishers? A greater sense of ownership within and across the academy is surely key to building an investment in open access for AHSS. It is only on this basis that open access might be regarded as a transformation rather than an obligation or a mere technological affordance, an opportunity to reflect on the configuration of research, practice and publishing and the role of scholarship in global society.*

Part 4. Closing remarks

Summary of recommendations

- It is necessary to reflect on open access in a global context and consider how decisions made, for example, in the UK, have global effects and could create further inequalities especially through the implementation of models based on BPCs
- Mandates might not be the best way to engage scholars and have had a homogenising effect on the development of open access. An unfunded mandate in the UK will further exacerbate existing inequalities
- The academy should take ownership and shape the direction of open access for AHSS
- Open access for AHSS should be radically diverse and encompass multiple scenarios, differently scaled operations and widespread collaboration

- 4.1 **Janneke Adema** (Research Fellow, Centre for Digital Cultures, Coventry University)
- 4.1.1 *There is a tendency to regard open access publishing as something that is happening to the humanities and something that must be reacted or responded to. Instead, academics, funders, and universities might develop a vision of publishing, and the many forms it takes, as an integral part of the research process.* The separation of research and publishing as staged processes, independent of each other, is problematic and reflected in a contradictory approach to funding based on subsidising research while expecting research publishing to be self-sustaining.
- 4.1.2 *The emphasis on diversity in this discussion of Critical Issues in Open Access and Scholarly Communications is welcome.* Open access policy and business models need to accommodate the diversity of humanities research. It is worth remembering that there is not one consensual approach to open access, be it instrumental or experimental. The politics, forms and practices of open access are themselves diverse.
- 4.1.3 *It is also necessary to reflect on open access in a global context and consider how decisions made, for example, in the UK, have global effects and could create further inequalities especially through the implementation of models based on BPCs.* Geopolitical barriers to entry must be taken into account and the global north might look to the global south for examples of sustainable open access in the humanities: SciELO, Redalyc and the newly founded AmeliCA.⁴⁸ AmeliCA is a multi-institutional community-driven initiative supported by UNESCO that has arisen in response to the international, regional, national and institutional contexts of open access. The project seeks a collaborative, sustainable, protected and non-commercial solution for open knowledge in Latin America and the Global South.
- 4.1.4 *Mandates might not be the best way to engage scholars and have had a homogenising effect on the development of open access. An unfunded mandate in the UK will further exacerbate existing inequalities.*
- 4.1.5 The scholars who have contributed to this discussion and related report, emphasise the importance of open access as a means of re-thinking both publishing and the book, as well as experimenting with multimodal, enhanced, collaborative and processual publication incorporating practice-based research. Scholarly publishing and communication should re-focus on the values and ethics that humanities scholars seek to promote including an ethics of care for the output and relations of publishing and strengthening collaborations between public institutions. Forging connections between libraries, authors, not-for-profit presses, universities and funders is essential in order to create a resilient publishing environment, and to develop community-led open infrastructures for the publication of books. On a smaller scale this involves critically exploring design and workflow practices to ensure diversity and equality beyond the issue of representation or inclusion. It will be important to preserve a place for publishing that is small and careful. *The debate on open access is not only about access itself, it is about building a scholar-driven, future-oriented digital humanities publishing culture.*
- 4.2 **Simon McVeigh** (Professor of Music and Academic Director of Research Policy, Goldsmiths)
- 4.2.1 *The academy should take ownership and shape the direction of open access for AHSS.*
- 4.2.2 *Open access for AHSS should be radically diverse* and encompass multiple scenarios, differently scaled operations and widespread collaboration.
- 4.2.3 Policy should be oriented to keeping all of the key stakeholders on board, including researchers and universities. Balancing open access with academic freedom is vital.
- 4.2.4 There are shifting patterns of ownership with regard to scholarly publishing and communication. It is good to be copyright positive but necessary to recognise the complexities presented by, for example, the integration of trade and academic publishing which makes it more difficult to determine where a copyright positive approach should and should not apply.
- 4.2.5 REF is a mandate. It creates compliant, not incentivised behaviour.
- 4.2.6 *It is necessary to speak internationally all of the time.*
- 4.2.7 *It is a myth that there is no money to support open access publishing. The question is how to access the funds. Match funding arrangements with UK funding bodies should be encouraged and explored.*
- 4.2.8 *Researchers, universities and publishers constitute the total cycle of scholarly publishing.* This should be guided by ethical and sustainable practices and by principles of equality.

- ¹ Sarah Kember 'Why Write? Feminism, Publishing and the Politics of Communication', *New Formations*, Number 83, 2014, pp99-117
- ² Chantal Mouffe *Agonistics. Thinking the World Politically*, Verso, 2013
- ³ Janis Jefferies and Sarah Kember 'Introduction', *Whose Book is it Anyway? A View From Elsewhere on Publishing, Copyright and Creativity*, Open Book Publishers, 2019
- ⁴ <http://www.aupresses.org/events-a-conferences/annual-meeting/aupresses-2019>
- ⁵ Plan S, an initiative supported by cOAlition S, is a consortium of research funders seeking to mandate full and immediate open access <https://www.coalition-s.org/>
- ⁶ <https://www.universitiesuk.ac.uk/policy-and-analysis/research-policy/open-science/Pages/uuk-open-access-coordination-group.aspx>
- ⁷ Gold open access is sometimes referred to as the final publisher version. Work is made freely available immediately, and may be subject to either an article or book processing charge (APC or BPC). Green open access is sometimes understood and the final author version. Here work is deposited in an institutional or other repository and released, usually after an embargo period. There are no charges for green open access.
- ⁸ <https://goldsmithspress.pubpub.org/>
- ⁹ <https://www.gov.uk/guidance/exceptions-to-copyright>
- ¹⁰ <https://creativecommons.org/licenses/>
- ¹¹ <https://5hm1h4aktue2uejbslhsqt31-wpengine.netdna-ssl.com/wp-content/uploads/2018/05/RHS-Book-Processing-Charges-May-2018.pdf>
- ¹² Brenda Wingfield and Bob Millar 'How the open access model hurts academics in poorer countries', *University Affairs*, April 17, 2019 <https://www.universityaffairs.ca/opinion/in-my-opinion/how-the-open-access-model-hurts-academics-in-poorer-countries/>
- ¹³ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/805127/Review_of_post_18_education_and_funding.pdf
- ¹⁴ <http://reanimatepublishing.org/>
- ¹⁵ The British Academy 'Open access and monographs: Where are we now?' (2018); Universities UK Open Access Monographs Group 'Open Access and Monographs' (2019); Jisc 'Changing Publishing Ecologies' (2017) and Geoffrey Crossick 'Monographs and Open Access. A report to HEFCE' (2015)
- ¹⁶ Universities UK Open Access Monographs Group: 'Must we take a model off the shelf? Or are there other, new or alternative models out there that suit monographs better?' (2019: 26)
- ¹⁷ Academic freedom is a specific and contested concept, distinct from the idea of freedom as a universal human right. Rebecca Lawrence, Managing Director of F1000 argues, with some legitimacy, that academic freedom was by no means a given prior to the development of open access, precisely because there were already constraints on what and where authors could publish. Publishing in high prestige, high-impact journals remains a benchmark for employment, promotion and tenure and locks individuals and institutions into an economy of high subscription costs, often levied in combination with processing charges, and therefore reduced access. Reducing costs within the scholarly communication system 'will itself bring benefits to researchers as authors and as users of research and indeed increase academic freedom.' <https://blog.f1000.com/2018/09/20/plan-s-supporting-academic-freedom/>
- ¹⁸ In terms of the scope for interdisciplinary, experimental or non-standard format research.
- ¹⁹ See report entitled 'The Metric Tide' that acknowledges the failure of metrics, as compared to narrative methods of assessment for women and ECRs. <https://responsiblemetrics.org/the-metric-tide/>
- ²⁰ <https://www.timeshighereducation.com/news/half-uk-academics-suffer-stress-linked-mental-health-problems>
- ²¹ Steven A. Hill 'Decoupling the academic book', *Learned Publishing*, 2018 <https://onlinelibrary.wiley.com/doi/10.1002/leap.1201>
- See also Andrew Lockett 'Monographs on the move?: a view on 'decoupling' and other prospects', *Insights* 31:37, 2018 <http://doi.org/10.1629/uksg.435> <https://insights.uksg.org/articles/10.1629/uksg.435/>
- ²² Humanities Commons <https://hcommons.org/COPIM> <https://re.ukri.org/news-events-publications/news/re-awards-2-2m-to-project-to-improve-open-access-publishing/>
- ²³ Martin Paul Eve, Kitty Inglis, David Prosser, Lara Speicher and Graham Stone 'Cost estimates of an open access mandate for monographs in the UK's third Research Excellence Framework', *Insights* 30 (3) 2017: 89-102 <http://doi.org/10.1629/uksg.392>
- ²⁴ Nick Srnicek *Platform Capitalism*, Polity, 2017
- ²⁵ Rupert Gatti 'Why OBP is not participating in KU Open Funding: and why libraries should understand the reasons', *Open Book Publishers Blog* <https://blogs.openbookpublishers.com/why-obp-is-not-participating-in-ku-open-funding-and-why-libraries-should-understand-the-reasons/>
- ²⁶ Reanimate and Anamik Saha's *Rethinking Diversity in Publishing* <https://www.thebookseller.com/blogs/rethinking-diversity-965246>
- ²⁷ <http://radicaloa.disruptivemedia.org.uk/>
- ²⁸ *The Copyright and Rights in Performances (Quotation and Parody) Regulations 2014*
- ²⁹ <https://www.legislation.gov.uk/ukpga/1988/48/section/30>
- ³⁰ And have undertaken to do so collectively

- ³¹ 8 June 2016, The Lighthouse, Glasgow. Supported by CREATE, the centre for Copyright, Regulation, Enterprise and Technology.
- ³² As discussed in *Whose Book is it Anyway?*
- ³³ The EU's new copyright directive, The Directive on Copyright in the Digital Single Market, is about the reform of copyright in a digital age and states that services such as YouTube could be held responsible for copyright-protected content <https://ec.europa.eu/digital-single-market/en/copyright>
- ³⁴ <https://www.ukri.org/>
- ³⁵ <https://www.universitiesuk.ac.uk/policy-and-analysis/research-policy/open-science/Pages/open-access-monographs.aspx>
- ³⁶ <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>
- ³⁷ <http://reanimatepublishing.org/>
- ³⁸ Carol A. Stabile *The Broadcast* 41. Women and the anti-communist blacklist, Goldsmiths Press, 2018.
- ³⁹ See AAUP Handbook Best Practices for Peer Review, April 2016
- ⁴⁰ Sarah Franklin 'Sexism as a means of reproduction some reflections on sexism in the academy' *New Formations* 86: Sexism, 2015 pp14-32; Roisin Ryan-Flood and Ros Gil Secrecy and Silence in the Research Process: Feminist Reflections, Routledge 2009; ada: a Journal of Gender, New Media & Technology 'Publication and its Discontents' <https://adanewmedia.org/issues/issue-archives/issue4/>
- ⁴¹ <http://libraria.cc/open-access-for-anthropology-a-model-for-universal-oa>
- ⁴² <https://scholarled.org/>
- ⁴³ See Matthew Taylor 'Why Policy Fails - and How it Might Succeed' <https://www.thersa.org/discover/publications-and-articles/matthew-taylor-blog/2016/09/why-policy-fails-and-how-it-might-succeed>
- ⁴⁴ <https://arxiv.org/>
- ⁴⁵ <https://figshare.com/>
- ⁴⁶ https://www.mendeley.com/?interaction_required=true
- ⁴⁷ <https://www.leidenranking.com/ranking/2019/list>
- ⁴⁸ SciELO: <http://www.scielo.br/>
Redalyc: <http://www.redalyc.org/home.oe>
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Index

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