

Open Research

THE FUTURE OF OPEN ACCESS BOOKS: FINDINGS FROM A GLOBAL SURVEY OF ACADEMIC BOOK AUTHORS

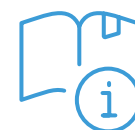
White paper

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Foreword

At Springer Nature, we aim to shape the future of book publishing. With more than 300 years of expertise, we invest in new technologies and initiatives to enhance the reading experience, develop new publishing workflows that offer authors the best experience, and pioneer digital innovation that moves the industry forward as a whole. Springer was the first publisher to offer our books in electronic format alongside print in 2006, and led the way in providing open access (OA) options for books in 2012.

2019 has already been a promising year for innovation in our academic book publishing programme. You may have read about our first Artificial Intelligence (AI) book¹, generated entirely through machine learning. Although meeting a range of reviews, it's evidence of our continued commitment to the long-term future of academic books. We also see OA as a key part of this future, and it's energising to find in the results of this survey that a majority of book authors, regardless of whether they have previously published an OA book or not, think the same.

Seven years on from the launch of our own OA book programme, the market remains divided on what the most appropriate business model is for OA books. The article (or book) processing charge (APC/BPC) model, now common in the journals world, is only one of a range of approaches currently offered by publishers of OA books, and finding a sustainable model for the future will require collaboration and engagement from not only publishers but, importantly, funders, institutions and researchers themselves. We know, both from previous research and from this new survey, that there is more to be done to educate authors about the value of publishing their books OA, and to show how this publishing option actively supports the most important objective of authors: reaching the largest possible audience with their research. This survey also demonstrates that misconceptions remain about what publishing an OA book might mean (in terms of quality, for example), and that there are practical hurdles, most notably around the availability of funding for OA books, that need to be addressed. With a number of funder policy reviews taking place through 2019, we hope these results will provide a greater insight into what book authors believe can and should be done with their work.

As the largest academic book publisher, we have relationships with a great number of authors whom we thank for their participation in this research, but we also thank the many other community partners who helped ensure that this survey was disseminated as widely as possible, including OAPEN, HIRMEOS, UKSG, OASPA, and publishers Brill and Routledge. Such a fantastic response to a survey about OA books would not have been possible without this collaborative approach. We welcome feedback on these findings and continued discussion about the future of academic book publishing.



Niels Peter Thomas,
Managing Director, Books,
Springer Nature

1. Springer Nature publishes its first machine-generated book: <https://group.springernature.com/in/group/media/press-releases/springer-nature-machine-generated-book/16590134>.

Executive summary



This report presents the findings from an online survey conducted in February and March 2019 to gather author feedback on open access (OA) books. Survey questions were designed to build on previous studies of OA for journal authors, as well as previous research on OA books, to assess the current awareness, attitudes and behaviours of authors who have and have not previously published OA. The raw anonymised data has been made freely available under a CC BY licence.²

Of 5,509 responses, 2,542 book authors completed the survey, and only these responses have been analysed here. Of these, 407 authors had previously published at least one OA book, 2,037 authors had not published an OA book, and 98 authors did not know whether they had published an OA book previously.³ Additionally, from the total number of book authors, 917 had published one or more chapters OA in an otherwise non-OA book.

The majority of authors agree that all future scholarly books should be OA

Key findings:

The majority of authors agree that all future scholarly books should be OA

- Our results find the majority of authors agree that all future scholarly books (monographs or edited collections) should be made available via OA.
- Although a significantly higher proportion of previous OA book authors agreed with this statement (81% agreed or strongly agreed), 55% of non-OA book authors were also in agreement.

Pro-OA attitudes are stronger among junior researchers, researchers based in Europe and Asia, and previous OA authors

- Further analysis by career stage, geography and discipline again show a majority who agree that all future scholarly books should be made available OA, with only North America below this at 48%.
- There is significantly more agreement from those with between 5-14 years of research experience (66%), and from authors based in Europe (62%) and Asia (70%).
- Previous experience directly impacts on the likelihood of publishing OA in the future: 70% of previous OA book authors would quite likely or very likely publish a future OA book or OA chapter (also 70%). Slightly more non-OA book authors would quite likely or very likely publish an OA book chapter (41%) rather than a full OA book (37%).

OA and non-OA authors both want to reach a large audience with their books

- For OA and non-OA authors, when asked what they wanted to achieve with their latest book, the top three factors authors gave were: to reach a large audience, to increase interdisciplinary discussion and use of their work, and to reach students, with more than 50% of respondents selecting each of these responses.
- Reaching a large audience was the top reason, selected by 68% of OA authors and 57% of non-OA authors.

2. See [Appendix 4](#).

3. In analysis comparing OA and non-OA book authors we have excluded the 98 authors who did not know whether they had published an OA book.

Reputation of publishers matters less to OA authors but is still the deciding factor for publication

- The reputation of the publisher in their field was the top factor influencing where book authors decide to publish (68% non-OA and 52% OA book authors).
- The ability to publish OA and availability of an online platform were more important to OA book authors (23% and 22%, respectively) than non-OA (1% and 14%).

Print options are still highly valued by all authors

- When asked whether it was important to them that their book was available in print, 83% of non-OA book authors and 73% of OA book authors agreed or strongly agreed that this was important.

Ethical reasons (accessibility/ease of access), wider readership, and benefits for research are identified as key motivations for choosing OA

- The top motivations for publishing an OA book are the belief they are read more widely (57%), the belief that research should be available to all (50%), and the belief that OA generates higher citations (34%). Further free-text comments are consistent with previous research on author motivations⁴ and show that ethical considerations (access to research funded by taxpayer money), wider readership, and overall benefits to research as a whole are driving OA publication.

Lack of awareness, concerns about quality, and funding are barriers to OA publication

- Only 41% of non-OA authors felt that they were not very, or not at all, familiar with OA.
- Authors are concerned that OA books are perceived to be of lesser quality than non-OA. There is variance as noted above by career stage and geography, with higher levels of concern about how OA books are perceived from respondents in North America, and from authors with 25 years' or more experience.
- Consistent with previous research,⁵ the top reasons a book author had not published OA were lack of willingness to pay a publication charge (37%) or inability to find funding (25%).

Commercial re-use is not acceptable to the majority of authors, but other modifications are more acceptable

- Only 28% of non-OA authors and 40% of OA authors said it would be probably or definitely acceptable for their book to be used for commercial purposes (such as being reprinted by a third party in a book that is then sold).
- Other modifications, including translation, were viewed as more acceptable, with text- and data-mining of their work the only type of use which a majority of all authors found acceptable (70% of non-OA, 76% of OA).
- Humanities and Social Sciences authors were most likely to express concerns about different types of re-use (38% said modifications including translations and 51% said non-translation modifications were definitely unacceptable; 54% said commercial re-use was definitely unacceptable).
- Scholars with 5-14 years' experience were more likely than other groups to consider any form of modification acceptable.

Self-archiving is more prevalent among OA authors

- The majority of authors surveyed had not self-archived any of their book manuscripts, but significantly more OA book authors than non-OA book authors had self-archived at least one manuscript within the last 3 years (43% vs. 18%).

4. See Kieřć, W. (August 2016). *What do academic authors think of open access – De Gruyter Open Author Survey*. p.2. Retrieved April 23, 2019, from <https://doi.org/10.6084/m9.figshare.3545030.v1>; OAPEN-UK (July 2012). *OAPEN-UK HSS Researcher Survey Results*. p.48. Retrieved April 23, 2019, from <http://oapen-uk.jiscbooks.org/files/2012/07/OAPEN-UK-Researcher-Survey-Results.pdf>; Crossick, G. (January 2015). *Monographs and Open Access: A report to HEFCE*. Section 4.1. Retrieved May 16, 2019, from https://dera.ioe.ac.uk/21921/1/2014_monographs.pdf.

5. See Kieřć, Section 'Funding for open access books'; Dallmeier-Tiessen, S. et al. (January 2011). *Highlights from the SOAP project survey. What Scientists Think about Open Access Publishing*. Section 4. Retrieved April 24, 2019, from <https://arxiv.org/ftp/arxiv/papers/1101/1101.5260.pdf>; Stone, G., Marques, M., and the Knowledge Exchange Task & Finish group for OA Monographs (October 2018). *Knowledge Exchange survey on open access monographs*. p.2. Retrieved April 23, 2019, from http://repository.jisc.ac.uk/7101/1/Knowledge_Exchange_survey_on_open_access_monographs_October_2018.pdf.

- Self-archiving was higher for authors in Europe than in other regions (27% had self-archived at least one book that they had published in the last three years).
- Mathematics and Computer Sciences authors were the most likely to say they had self-archived a recent book (29%).
- Lack of awareness is the main reason for not self-archiving (46% of non-OA book authors and 32% of OA book authors were not aware of the option).
- Authors were generally positive about the idea of self-archiving their book manuscript in future: 61% of OA book authors and 46% of non-OA book authors would be very or quite likely to self-archive a book manuscript in a repository in future.

More needs to be done to increase awareness and understanding of OA

The majority of authors want more financial support for OA publication

- 47% of authors indicated they did not have any funding for their last book, with considerable variance by subject area and region: 53% of Humanities and Social Sciences and 63% of Clinical Medicine respondents reported no funding for OA from their main funder or institution.
- Regionally, more authors in Australasia said that no OA book funding was available to them (72%), compared to 55% of authors in Europe.
- The majority of authors surveyed agreed or strongly agreed that funders should provide more financial support for publication of books via an OA model (84% of OA book authors, 71% of non-OA book authors).

Gold OA is the most preferred policy for OA books

- 42% of OA book authors and 32% of non-OA book authors would prefer their main funder to adopt a gold⁶ OA policy for books. The next most popular option amongst non-OA book authors was a pure green policy (26%), although this was the least popular choice amongst OA book authors (15%). The second most popular option amongst OA book authors was a gold plus green policy (22%).⁷

Recommendations

- Authors are positive about an OA future for books, but funding is a barrier. Increased support from funders, as well as a wider variety of routes to OA publication, are needed if OA book publication is to grow.
- More needs to be done to increase awareness and understanding of OA, and to reduce scepticism, particularly amongst more senior researchers, and within North America, to accelerate take-up of OA book publication. Senior researchers have particular importance, due to their influence on junior colleagues' publication decisions and career progression.
- We need to help allay areas of concern, particularly around the perceived quality and reach of OA books. Publishers should focus on communication about their peer review and quality assurance processes. There is a role for the wider community, too, for example in supporting and maintaining resources such as the OAPEN Library and the Directory of Open Access Books (DOAB) that have set standards for acceptance.
- Given low response rates for some regions, we suggest further work to understand author perspectives regionally, particularly in Africa and South America.

6. This report follows the definitions of gold OA and green OA as described here: <https://www.springernature.com/gp/open-research/about/what-is-open-access>. Retrieved May 8, 2019.

7. Version of record is published immediately under a gold OA model, with a version deposited in an appropriate repository.

Introduction



Open access (OA) book publishing has been growing in recent years. The Directory of Open Access Books (DOAB) lists 2,099 OA books published in 2018, an increase of 38% from 2017.⁸ Most major Humanities and Social Sciences publishers, and many smaller ones, now offer OA publishing options for monographs, and a number of new university-led presses have launched, including UCL Press and White Rose University Press in the UK⁹ and Amherst College Press in the US,¹⁰ which exclusively publish monographs OA.

Funders are also starting to engage with OA for books, with Europe leading the way. Several major funding bodies now mandate OA for books supported by their grants, including the European Research Council (ERC),¹¹ the Austrian Science Fund (FWF),¹² the Swiss National Science Foundation (SNSF),¹³ and the Wellcome Trust;¹⁴ the latter three also provide financial support for OA book publication. Horizon 2020 strongly encourages OA publication for books.¹⁵ Meanwhile, UK Research & Innovation (UKRI) is expected to announce an OA monographs policy for the post-2021 REF¹⁶ and cOAlition S has indicated that, as a point of principle, Plan S supports transitioning scholarly books to OA and that they will provide further guidance by the end of 2021.¹⁷

Given the increasing attention being paid to OA for books, it is crucial that we understand book authors' attitudes to OA to ensure that any future initiatives are mindful of authors' specific needs and priorities for their books. At the same time it is important that we preserve what authors most value about scholarly books as we move to a more open future.

While a number of previous surveys have explored authors' views on OA, there has never been a survey dedicated to understanding the views of book authors on OA across all subjects and regions. In 2012, OAPEN-UK surveyed Humanities and Social Sciences researchers in the UK about OA;¹⁸ the survey did not exclusively consult book authors, but the Humanities and Social Sciences focus means it is likely to have included many. Between 2013 and 2015, Wiley, Taylor & Francis, and Nature Publishing Group (now part of Springer Nature) each ran surveys investigating journal authors' attitudes to OA.¹⁹ De Gruyter's 2016 Open Author Survey²⁰ surveyed both book and journal authors; to date this has been the largest author survey on OA to explicitly investigate attitudes to books. Knowledge Exchange conducted a survey on OA monographs in 2017,²¹ but responses were sought from academic libraries and publishers as well as authors. Most recently, Ithaka S+R's 2018 US Faculty Survey²² explored views on OA publishing in America, but did not specifically ask about books.

An increased understanding of book authors' attitudes to OA is vital in order to effect the cultural and policy changes that will be necessary in order to increase take-up of OA for long-form publications. In February and March 2019, Springer Nature therefore conducted a survey of book authors worldwide. Our aim with this white paper is to offer a truly global view of book authors' attitudes to OA, and we hope these findings will help inspire a more author-centric approach to OA for books. We explore questions such as:

- What motivates researchers to publish books in the first place, and what

8. Data from <https://www.doabooks.org/>. Retrieved May 15, 2019.

9. For more information on these and other recently launched OA university presses in the UK, see Lockett, A., Speicher, L. (August 2016) *New University Presses in the UK: Accessing a mission*. pp.321-322. Retrieved May 10, 2019, from <https://onlinelibrary.wiley.com/doi/epdf/10.1002/leap.1049>.

10. <https://acpress.amherst.edu/>. Retrieved May 10, 2019.

11. For the European Research Council (ERC) policy see: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf. Retrieved May 13, 2019.

12. For the Austrian Science Fund (FWF)'s open access funding policy, see: <https://www.fwf.ac.at/en/research-funding/open-access-policy/>. Retrieved May 8, 2019.

13. For the Swiss National Science Foundation (SNSF)'s open access funding policy, see: <https://oa100.snf.ch/en/funding/>. Retrieved May 8, 2019.

14. For the Wellcome Trust's open access funding policy, see: <https://wellcome.ac.uk/funding/guidance/how-get-open-access-funding>. Retrieved May 8, 2019.

15. For the EC Horizon 2020 policy, see http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/open-access_en.htm. Retrieved May 13, 2019.

16. See *Open access and monographs*, <https://re.ukri.org/research/open-access-research/>. Retrieved May 13, 2019.

17. cOAlition S (May 2019). *Accelerating the transition to full and immediate Open Access to scientific publications*. Retrieved June 3, 2019, from https://www.coalition-s.org/wp-content/uploads/PlanS_Principles_and_Implementation_310519.pdf.

18. See OAPEN-UK.

implications does this have for the future development of OA for books?

- Why do scholarly book authors choose to publish OA, or what prevents them from doing so?
- How familiar are authors with OA options for books? What are their views on licensing and self-archiving?
- What role would book authors like to see funders play with respect to OA books, and what OA policies would they like to see in future?

More than 2,542 book authors completed our survey, including 407 who had published an OA book, and 2,037 who had not.²³ Throughout the survey, we have reported separately on the views of these two author groups, as they often differ, and as the large number of OA authors who responded could have the effect of skewing the overall results; for the sake of brevity, in this paper these groups are typically referred to as “OA authors” and “non-OA authors”.

While responses were received from authors in all continents, small base sizes mean that in some cases we have not been able to report with confidence on perspectives from some regions, including Africa, South America, and Australasia; follow-up work here would be beneficial.

For further details about our methodology and the demographics of the survey respondents, please see [Appendix 1](#) and [Appendix 2](#). A full list of [survey questions](#)²⁴ and the [raw data](#)²⁵ can be downloaded from figshare.

19. For the survey by Wiley, see Wiley Open Access (October 2013). *Wiley Open Access Author Survey 2013*. Retrieved April 23, 2019, from <https://www.slideshare.net/WileyScienceNewsroom/wileys-2013-open-access-author-survey>. For the survey by Taylor & Francis, see Taylor & Francis Group (March 2013). *Open Access Survey: Exploring the views of Taylor & Francis and Routledge authors*. Retrieved April 23, 2019, from <https://www.tandf.co.uk/journals/pdf/open-access-survey-march2013.pdf>. For the survey by Nature Publishing Group, see Nature Research (September 2015): *Author Insights 2015 survey*. Retrieved May 10, 2019, from <https://doi.org/10.6084/m9.figshare.1425362.v7>.

20. See Kieć.

21. See Stone.

22. See Blankstein, M., Wolff-Eisenberg, C. (April 2019). *Ithaca S+R US Faculty Survey 2018*. Retrieved June 5, 2019 from <https://doi.org/10.18665/sr.311199>.

23. 98 respondents who had published a book were not sure whether or not their book(s) had been published open access; these authors have been excluded from comparisons of OA and non-OA book authors. Not all authors answered all questions, so base numbers change throughout.

24. See [Appendix 3](#).

25. See [Appendix 4](#).

Survey findings



1. Book authors' motivations and priorities

1.1 Motivations for publishing books

This section explores:

- What do authors want to achieve when publishing a book?
- What factors influence authors' decisions about where to publish their book?

1.1.1 What do authors want to achieve with their book?

In order to understand how important open access (OA) is – or could be – to book authors, we first needed to ask why they publish books to see if any of their motivations align with the known benefits of publishing an OA book. Is readership actually important to book authors, or are they primarily publishing in order to advance their careers? Are responses consistent across subject areas, and across researchers with different levels of experience or from different geographic regions?

Survey respondents (n=2,444) were asked what they wanted to achieve with their latest book. The top three reasons that book authors gave were: to reach a large audience, to increase interdisciplinary discussion and use of their work, and to reach students.²⁶

At least 50% of respondents chose each of these top three reasons. Perhaps unsurprisingly, reaching a large audience was of particular importance to OA book authors, with 68% (n=278) choosing this option, compared with 57% (n=1,154) of non-OA book authors. OA book authors were also significantly more likely to say that they wanted to reach readers in the Global South (25%, n=101, vs. 12%, n=239, of non-OA book authors).

Chart 1: What did you want to achieve with your latest book?
Please select all that apply.



"[I wanted to] advance knowledge to achieve sustainability and to innovate in anthropology"

26. See [Appendix 1](#) for more information on significance testing.

The top three responses were consistent across researchers from all subject areas, apart from for Clinical Medicine and Healthcare, where the third most popular reason was to reach practitioners (55%, n=89), rather than to reach students. For book authors in the Humanities and Social Sciences, the order of the top three motivations differed: the top motivation for this subject group was to increase interdisciplinary discussion and use of their work (64%, n=653). Humanities and Social Sciences authors also placed more emphasis on career advancement (40%, n=408) and on reaching policymakers (29%, n=292).

Other responses (n=216) collected as free text ranged from the experience of writing a book for personal or professional reasons, such as “fun” or helping authors to shape their thoughts, requirements from their funder, for REF, or for their PhD. Advancing knowledge was a commonly mentioned motivation, as were raising awareness of topics, real-world application (or impact), and making a change.

“To educate any other interested scholars and publishers as to what we must concentrate on if our primary goal is to offer hope to the people of the developing countries.”

[To] “advance knowledge to achieve sustainability and to innovate in anthropology.”

“To contribute to public awareness of the strengths and vulnerabilities of democratic forms of state and society.”

[To] “contribute to advancement of knowledge in my field.”

Fewer authors in the Humanities and Social Sciences selected financial profit as a motivating factor (5%, n=53) compared with other disciplines. Less than 7% (n=168) of authors overall chose this option. This could reflect the importance of scholarly monographs to the Humanities and Social Sciences community, which typically have low royalty rates, whereas authors in the Sciences may be more likely to write textbooks, which garner larger royalties.²⁷ As we did not specifically ask about book type, further research could be undertaken to examine why motivations differ here.

Breaking down the responses by how long respondents have spent in academic research, for those with fewer than 14 years' experience, career advancement was the third most popular response, selected by 45% (n=74) of those with fewer than 5 years' experience and 52% (n=363) of those with 5-14 years' experience.

1.1.2 How do authors decide where to publish?

Authors were asked who or what influenced their decisions on where to publish their latest book (n=2,444). The most important reason for book authors in deciding where to publish was the reputation of the publisher in their field, with 68% (n=1,382) of non-OA book authors and 52% (n=210) of OA book authors selecting this answer. The next most popular option (good previous experience with publisher) came far behind, selected only by 30% (n=616) of non-OA book authors and 27% (n=111) of OA book authors.

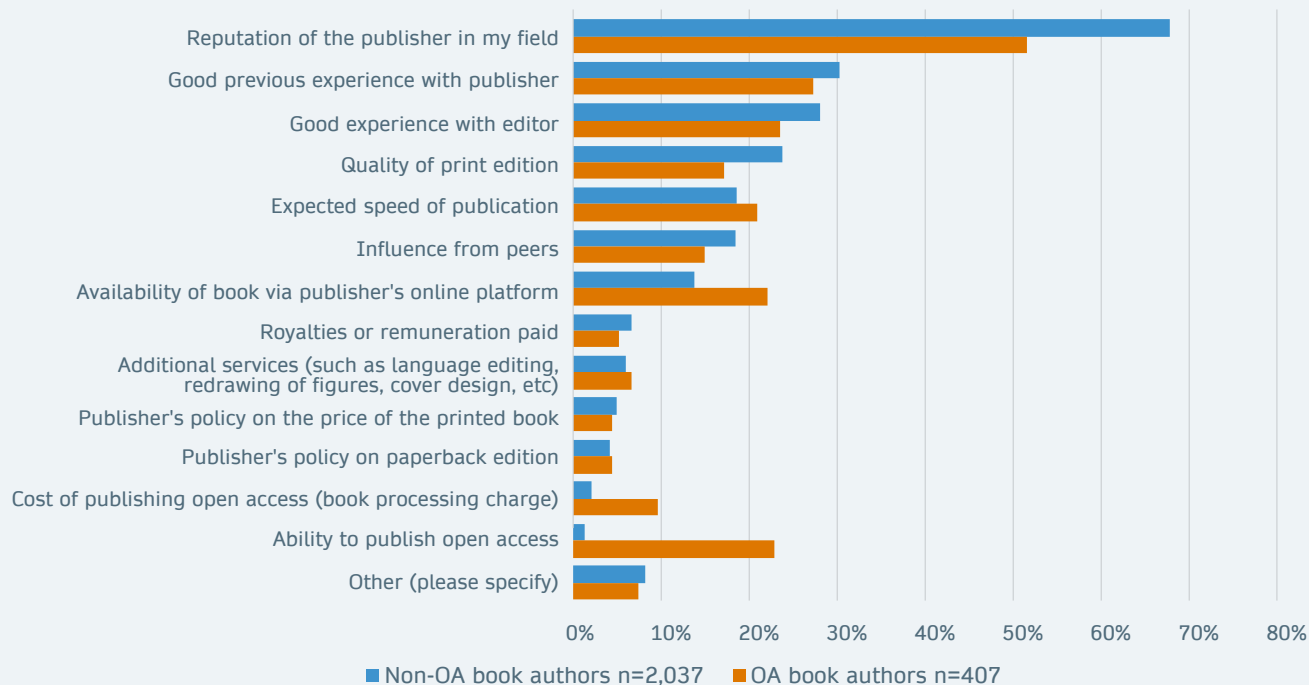
The top three responses – reputation of the publisher in their field, good previous experience with publisher, and good experience with editor – were consistent across OA and non-OA authors. 23% of previous OA book authors (n=90) reported that the ability to publish OA had influenced their decision of where to publish; unsurprisingly, only 1% (n=21) of non-OA book authors selected this option. OA book authors were

The most important reason for book authors in deciding where to publish was the reputation of the publisher in their field

27. See Crossick, pp.38, pp.55.

also significantly more influenced by the availability of the book via the publisher's online platform (22%, n=90 OA vs. 14%, n=282 for non-OA) and the cost of OA publishing (10%, n=39 OA vs. 2%, n=42 for non-OA).

Chart 2: Who or what influenced your decision on where to publish your latest book? Please select all that apply.



Authors who have been involved in academic research for 5-14 years were influenced significantly more by peers (25%, n=170) compared with more senior researchers (25+ years, 12%, n=116), who were influenced by good previous experience with the publisher (37%, n=359) and the quality of the print edition (27%, n=257). This is logical, given that senior researchers are more likely to have published books in the past and therefore are more likely to draw on that experience when making decisions about where to publish.

Comparing subjects, significantly more authors in the Humanities and Social Sciences were influenced by the reputation of the publisher in their field (69%, n=698) compared to other disciplines. The group least interested in the reputation of the publisher in their field was book authors from the Biomedical Sciences, with only 51% (n=45) choosing this response.

Free-text comments on factors influencing author decisions about where to publish included: the author was approached by the publisher or invited by the editor; the decision was made by someone else (such as their university, organisation, a conference, co-author/editor, or grant requirement); or the book was written as part of an existing book series or a second edition.

"Used Palgrave books as a student and always found the formatting and visuals appealing."

"Decision taken by first editor."

"Institutional constraints. I could not freely choose a publisher."

1.1.3 Motivations for publishing books: discussion

In surveys of journal authors we typically find reputation, relevance (of readership) and impact factor at the top of the lists of what is important to authors.²⁸ Similarly, we found that readership (both reaching a large number of readers and reaching a broad interdisciplinary audience) and reputation are top priorities for book authors.

Book authors who responded to our survey were more likely to indicate that a good experience with the editor and the publisher were important than journal authors in previous surveys, perhaps reflecting the closer engagement between editors and authors throughout the process of writing and publishing a book. For authors in the Humanities and Social Sciences, in particular, books typically represent the culmination of many years of work, and this may account for the additional importance placed by this group on the good experience with the publisher. However, given that career advancement was also a strong motivation for publishing books, particularly for authors in the Humanities and Social Sciences, institutional expectations and reward structures that place an emphasis on the prestige of the publisher could also be a factor here.

While reach is important for all book authors, OA book authors cared more about the reach of their work and about reaching authors in the Global South than non-OA book authors. OA books authors were also more concerned than non-OA book authors about online availability and how their book could be found. This is understandable, as some of the benefits of publishing an OA book are the potential for wider dissemination and increased discoverability, and the ease with which OA work can be shared, all of which contribute to reaching a larger audience.²⁹

Previous surveys of journal authors have found that OA is low down on the list of priorities when deciding where to submit.³⁰ We find the same here, although it is interesting that almost a quarter of OA book authors rate the OA option as important, suggesting that some authors are actively seeking out OA publication (rather than, for example, encountering it for the first time in discussions with their publisher).

The low number of book authors prioritising an OA option when deciding where to publish seems at odds with the fact that their main motivation in publishing is to reach a large audience. Perhaps researchers have faith that publishers are able to disseminate their research widely to their target readership via a sales model, or perhaps other concerns about OA limit their enthusiasm for this option. In any case, this suggests that more work is needed both to demonstrate the value of OA for books and to communicate it to authors.

1.2 Print

This section explores:

- How important is print availability to book authors?
- How important is the quality of print to book authors?

1.2.1 Importance of print to book authors

When asked whether it was important to them that their book was available in print, authors emphatically replied in the affirmative: 83% of non-OA book authors (n=1,660) and 73% of OA book authors (n=294) agreed or strongly agreed that print availability was important.

Humanities and Social Sciences authors were more likely to agree or strongly agree that it was important to them that their book was made available in print than those in other disciplines (86%, n=858, compared with an average of 82%, n=2,038 across all authors

More work is needed both to demonstrate the value of OA for books and to communicate it to authors

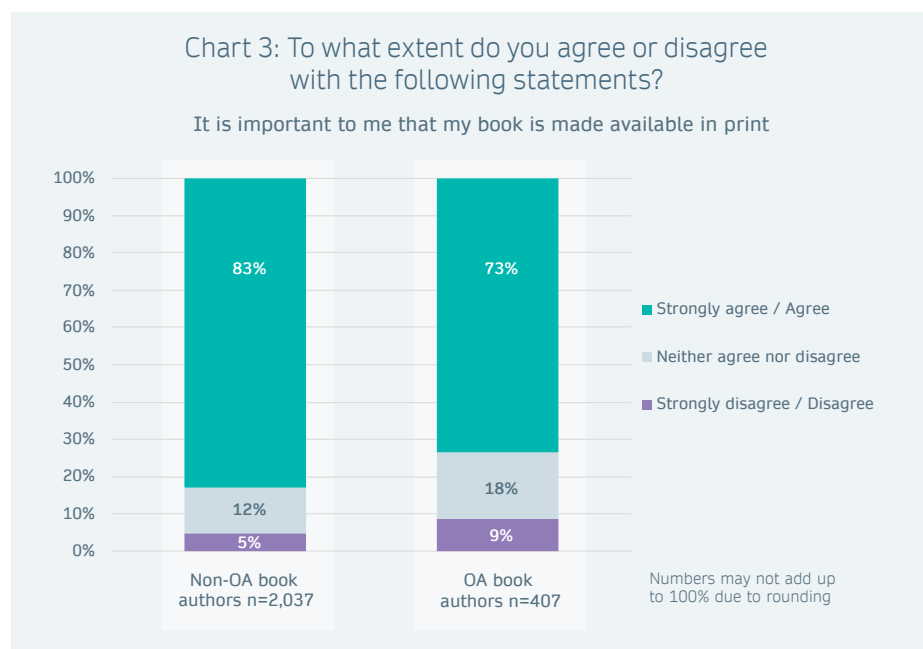
28. See Nature Research. See also Springer Nature (February 2019). *Submission to Plan S*, p.12. Retrieved May 10, 2019, from <https://media.springernature.com/full/springer-cms/rest/v1/content/16462700/data/v1>.

29. See Emery, C. et al. (November 2017). *The OA Effect: How does open access affect the usage of scholarly books?* Retrieved April 30, 2019, from <https://doi.org/10.6084/m9.figshare.5559280.v1>. See Montgomery, L., Saunders, N., Pinter, F., Ozaygen, A. (October 2017) *Exploring Usage of Open Access Books via the JSTOR Platform*. pp.31-33. Retrieved April 30, 2019, from http://kuresearch.org/PDF/jstor_report.pdf.

30. See footnote 19, and Davis, P. (May 2014). *What Researchers Value from Publishers, Canadian Survey*. Retrieved April 23, 2019, from <https://scholarlykitchen.sspnet.org/2014/05/15/what-researchers-value-from-publishers-canadian-survey/>.

surveyed). Authors based in North America were also more likely to say print was important (86%, n=588) than those in other regions. There were no significant differences in attitudes towards print between scholars with different experience levels.

Print is still highly valued by book authors



1.2.2 Quality of print

Authors who had not published an OA book were significantly more likely to say that the quality of the print edition was important to them when choosing a publisher (24% vs. 17%, see Chart 2). Availability of the book via the publisher's online platform was also significantly less important to Humanities and Social Sciences book authors (12%, n=125) and was relatively more important to those in Physical Sciences and Engineering (21%, n=73). Indeed, a higher proportion of Humanities and Social Sciences book authors agreed or strongly agreed that the availability of their book in print was important to them (86%, n=858); by contrast 77% (n=261) of authors in the Physical Sciences and Engineering said print was important.

1.2.3 Print: discussion

OA is an inherently electronic movement, founded on the "worldwide electronic distribution"³¹ made possible by the internet and by the digitisation of scholarly work. Over the past decade, publishers have increasingly made academic books available in electronic formats, but print continues to be considered important for long-form work. The 2015 Crossick report noted that "it seems improbable for cultural or economic reasons that the print monograph will disappear", arguing that "at the moment, e-books and e-readers are not a good replacement for the printed book", and noting that "print monographs carry authority with members of appointments and promotions committees".³² Many OA journals are now online-only, but OA-only book publishers have typically chosen to retain print options.

Our results show that print is still highly valued by book authors. It is interesting that authors who have previously published OA place somewhat less value on print – perhaps an indication that, for some authors, priorities are starting to shift, especially as OA authors were also less likely to say that the quality of the print edition was important when choosing a publisher. However, given the overwhelming support for print from our respondents, it seems likely that in the short- to medium-term print will remain important for long-form publications and will need to be part of any OA future for books.

31. See Chan et al. (February 2002). *Budapest Open Access Initiative*. Retrieved April 25, 2019, from <https://www.budapestopenaccessinitiative.org/read>.

32. See Crossick, pp.5, 19.

2. Attitudes to OA books

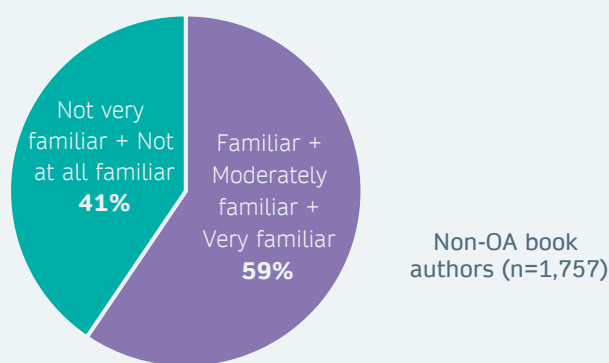
This section explores:

- How familiar are non-OA book authors with OA options for books?
- What drives authors to publish an OA book, or not to?
- How do book authors believe OA affects discoverability, readership, and perceptions of quality?

2.1 Familiarity with OA

We wanted to understand how familiar book authors were with OA, since options for books have lagged some way behind OA options for journals, and levels of familiarity may therefore differ.³³ Authors who had not published an OA book were asked how familiar they were with OA options for books. The proportion of non-OA book authors who said that they were familiar, moderately familiar or very familiar with OA options for books (59%, n=1,045) exceeds those who said they were not very or not at all familiar (41%, n=712).

Chart 4: How familiar are you with open access options for books?



Looking at responses by time spent in academia, around two thirds of those who had been active for 5-24 years said they were familiar, moderately familiar or very familiar with OA options for books (64%, n=321 for 5-14 years, and 64%, n=291 for 15-24 years). However, on either side of this range there was less knowledge about OA options for books. Only around half of the junior authors (fewer than 5 years in academic research), and senior authors (25 or more years in academia) said that they were familiar, moderately familiar or very familiar with OA options for books (49%, n=49, and 55%, n=363, respectively).

2.2 OA drivers

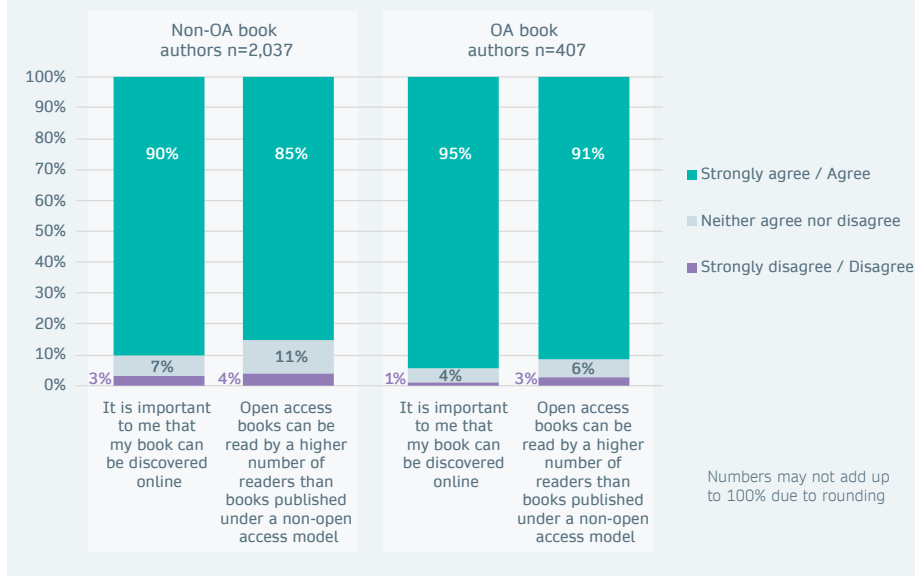
2.2.1 Discoverability and readership

All survey respondents (n=2,444) were asked about the importance of some of the perceived benefits of OA. Both OA and non-OA authors agreed/strongly agreed that it is important that their book can be discovered online (95%, n=378, and 90%, n=1,800, respectively), and that OA books can be read by a higher number of readers than books published under a non-OA model (91%, n=364, and 85%, n=1,657, respectively), indicating broad agreement about the benefits that OA can bring.

Non-OA book authors are more familiar than not with OA options for books

33. See Crossick, p.6, and Editage (2018). *Author Perspectives on Academic Publishing: Global Survey Report 2018*. pp.24-25. Retrieved April 23, 2019, from <https://www.editage.com/files/Editage-Global-Author-Survey.pdf>.

Chart 5: To what extent do you agree or disagree with the following statements?

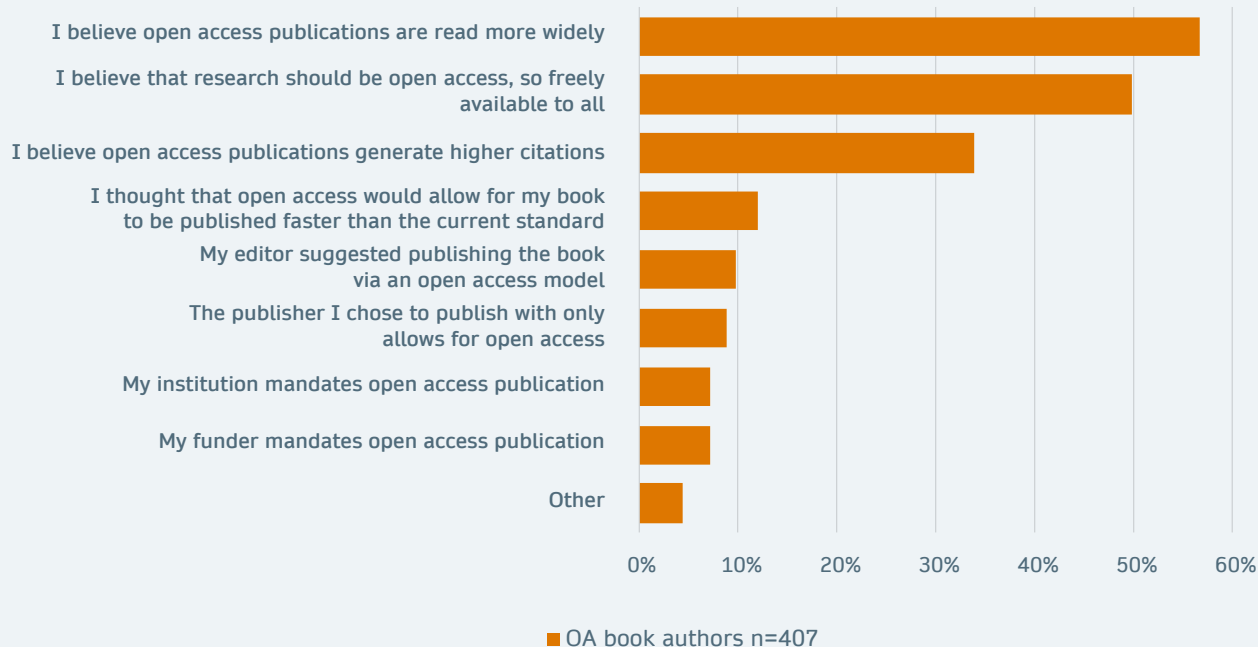


2.2.2 Reasons for publishing OA books

Authors who had published at least one OA book were asked what had motivated them to choose OA for their most recent OA book (n=379). The top three reasons for publishing an OA book were: a belief that OA publications are read more widely (57%, n=231); a belief that research should be OA, so freely available to all (50%, n=203); and a belief that OA publications generate higher citations (34%, n=138).

The two least popular responses were that the author's funder or institution mandated publishing OA (7% each).

Chart 6: For your most recent publication via an open access model, why did you decide to publish your book open access? Please select all that apply.

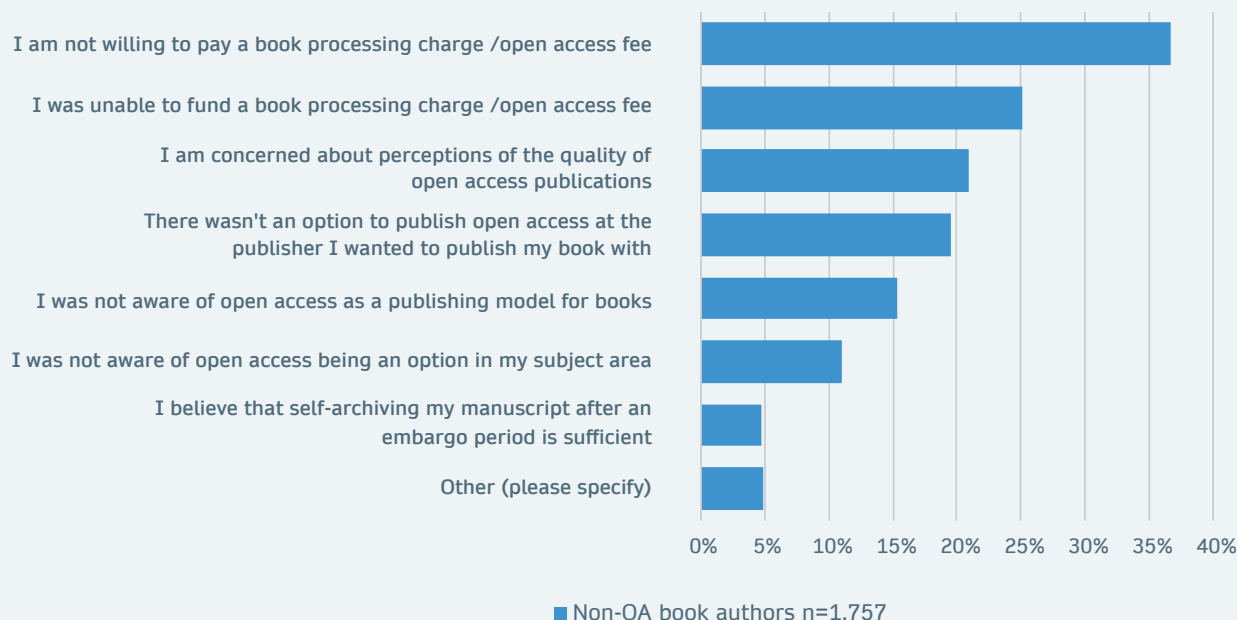


2.2.3 Reasons for *not* publishing OA

Authors who had not previously published an OA book (n=1,757) were asked why they hadn't published their books via an immediate OA model.

Fees and costs were the biggest barriers to publishing an OA book: 37% (n=747) of non-OA book authors said that they were not willing to pay a BPC/OA fee, and 25% (n=511) said they were unable to do so.

Chart 7: Which of the following are reasons why you haven't published your book(s) via an immediate open access model? Please select all that apply.



There are statistically significant differences for the Humanities and Social Sciences compared to the other subject areas, with 34% (n=251) responding that they were unable to fund a BPC and 30% (n=221) that they were concerned about the perceived quality of OA publications.

Only 22% (n=145) of book authors who had been involved in academic research for 25 years or more responded that they were unable to fund a BPC, far fewer than book authors who had been in research for 5-14 years (38%, n=189). We can understand from this that OA funding is more readily available to senior researchers. However, despite potentially having access to OA funding, 29% (n=187) of senior researchers said that there wasn't an option to publish OA at the publisher they wanted to publish their book with and 41% (n=267) said they were not willing to pay a BPC. Furthermore, 25% (n=161) of senior authors were concerned about perceptions of the quality of OA publications.

North American book authors were, compared to other continents, more concerned about the perception of quality of OA publications (35%, n=167), and authors in this region were also more likely to say they were not aware of OA as a publishing model for books (22%, n=107). A significantly higher proportion of Asian book authors said that they were unable to fund a book processing charge (39%, n=89). Free-text responses included: "I do not really understand open access models", "I am concerned open access might not reach an audience as big" and "[I] prefer to use the editing, production services of an established publisher". Other comments mentioned the importance of having a print copy – however we know that most publishers

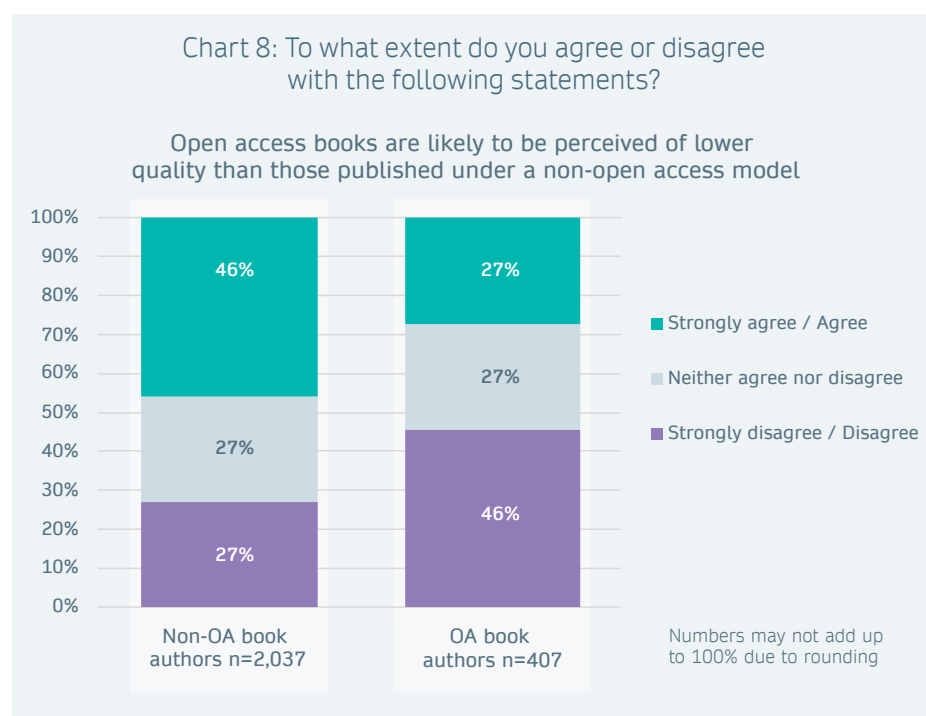
nowadays do offer print-on-demand for their OA titles – or that OA is sometimes regarded as a “pay to publish” model where “requirements are not as stringent” or OA outputs are “not regarded as worth much”.

A small number of free-text comments (n=10) pointed to ethical reasons for not publishing books OA, with one author commenting that OA is “deeply damaging to research in the Humanities and discriminates against unfunded and independent scholars”. Other comments included: OA “will make it impossible for the most vulnerable members of the academic community to publish because they would have to choose between processing charges and paying the rent”, and that publishers should not profit “from publicly-funded research”.

2.2.4 Quality

Both OA and non-OA authors were asked whether they believed that OA books were likely to be perceived as lower quality than those published under a non-OA model (n=2,444). Note that this question tests what authors believe others think about the quality of OA books, rather than their own beliefs.

A majority of all authors were concerned about perceptions of quality of OA books



A majority of all authors were concerned about perceptions of quality of OA books. However, the responses of OA and non-OA authors varied considerably: 46% (n=107) of OA book authors who responded to the survey disagreed or strongly disagreed that OA books are likely to be perceived as of lower quality, compared with just 27% (n=880) of non-OA book authors.

Responses also varied significantly by region: European responses were fairly evenly split: around a third (34%, n=379) of respondents agreed or strongly agreed that OA books are likely to be perceived as being of lower quality, and just over a third (39%, n=437) disagreed or strongly disagreed. In North America however, a much higher proportion of respondents agreed that OA was seen as lower quality: 53% (n=342) agreed/strongly agreed, and only 22% (n=140) disagreed/strongly disagreed. Some free-text comments, in response to the question about reasons for not publishing an OA book (see [Chart 7](#)), mentioned that some researchers feel that the

gold OA model can be perceived as vanity publishing, where a publisher will publish anything for a fee.

2.2.5 OA drivers: discussion

We found that OA book publication is driven in part by a desire for greater readership and citations, and in part by an ethical belief that research should be freely available to all. It can be taken as an encouraging sign that one of the main benefits of OA – that OA books are found and read by a larger number of readers – could help authors achieve their number one motivation in publishing books – to reach a large audience (see [Section 1.1](#) on motivations). Here we see that although a majority of authors believe that OA books achieve greater readership, there are other concerns preventing authors from publishing OA. Publishing fees seem to be the biggest barrier, although many – especially more senior researchers – have concerns about perceptions of quality. Our findings also show that authors value a print version of their book, but many seem to be unaware that this is offered by most publishers of OA books. Many free-text comments also indicated a gap in knowledge around how OA works and who offers it. There may be an opportunity for publishers and the scholarly community to demonstrate the value of OA to these groups.

Authors' concerns about perceptions of quality are misguided, considering that most OA book publishers submit their OA books for peer review before publishing, and indeed mixed-model publishers typically use the same peer review process for their OA and non-OA books. Community sites also emphasise the importance of peer review: for example, the OAPEN Library, a central repository for hosting and disseminating OA books, and the Directory of Open Access Books (DOAB), a central indexing site, only accept peer-reviewed OA books.³⁴ We can take these results as a stark reminder that publishers must reiterate, when talking about OA books with researchers, that they undergo the same rigorous peer review process and quality control that non-OA books do.

The likelihood of book authors publishing their next book OA depends on how long they have been involved in academic research, with senior researchers being more unlikely to publish their next book OA and less willing to pay for a BPC. Given that we know senior researchers influence the publishing decisions of their junior colleagues,³⁵ they will play an important role in the take-up of OA for books, and it will be especially important to convince them of the benefits of OA.

OA could help book authors achieve their number one motivation in publishing books – to reach a large audience

34. A list of publishers whose books are included in the DOAB can be found here: <https://www.doabooks.org/doab?func=publisher&uiLanguage=en>.

35. See Nicholas, D. et al. (March 2017). *Early career researchers and their publishing and authorship practices*. p.209, Section 'Journal Choice'. Retrieved May 7, 2019, from <https://onlinelibrary.wiley.com/doi/epdf/10.1002/leap.1102>.

3. Digging deeper: OA book features

3.1 OA licensing

This section explores:

- What types of re-use are acceptable to authors for their books (as a proxy for understanding what authors' preferred Creative Commons licences might be)?

3.1.1 Licensing: framing the question

As it is widely thought that the different Creative Commons (CC) licence types and their implications are not well understood by authors,³⁶ when devising the survey we decided not to ask authors directly which CC licences they considered acceptable or appropriate for their work. Instead we described different types of re-use that might be limited or permitted by the various CC licences and asked authors to tell us what they would or would not consider acceptable. This also allowed us to look at re-use in a more granular way than a CC licence question would permit, and specifically to unpick attitudes to the different types of re-use that a no-derivatives (ND) licence would restrict.

| Re-use as described in survey question | CC licence element that would restrict this type of usage |
|--|---|
| To allow modifications to the book (including translations), as long as the original source is attributed | No-derivatives (ND) |
| To allow modifications to the book (not including translations), as long as the original source is attributed | No-derivatives (ND) |
| To allow the book to be used for commercial purposes (e.g. reprinted by a third-party in a book that is then sold), as long as the original source is attributed | Non-commercial (NC) |
| To allow text- and data-mining of a corpus of content which includes my book | N/A ³⁷ |

3.1.2 Acceptable re-use

Authors expressed most concerns about commercial re-use of their books: only 28% (n=525) of non-OA authors and 40% (n=156) of OA authors said this would probably or definitely be acceptable. Authors' views as to whether modifications of their work would be acceptable differed according to the type of modification, with translations being considered more acceptable than other types of modification: 43% (n=795) of non-OA authors and 63% (n=240) of OA authors considered translations of their work to be acceptable forms of re-use, whereas only 31% (n=578) of non-OA authors and 48% (n=182) of OA authors said that non-translation modifications would be acceptable. Authors were more open to text- and data-mining of their work; this was the only type of use which a majority of all authors surveyed found acceptable (70%, n=1,236 of non-OA, 76%, n=286, of OA).

OA book authors were consistently more open to re-use of their books than non-OA book authors: for all four types of re-use a higher proportion of OA book authors indicated that the re-use would probably or definitely be acceptable compared to non-OA book authors.

Views about what forms of re-use were acceptable also varied according to authors' subject area and experience level. Humanities and Social Sciences authors were more likely than any other group to say that types of modifications were definitely unacceptable (38%, n=350 said this of translations and 51%, n=472 of non-translation modifications), whereas authors in the Biological Sciences were the most open (just 21%, n=36, considered translations definitely unacceptable, and 30%, n=50, considered non-translation modifications definitely unacceptable).

OA book authors were consistently more open to re-use of their books than non-OA book authors

36. See Collins, E., Milloy, C. (January 2016). *OAPEN-UK final report: A five-year study into open access monograph publishing in the humanities and social sciences*. pp. 25, 67. Retrieved May 16, 2019, from <http://oapen-uk.jiscbooks.org/finalreport/>.

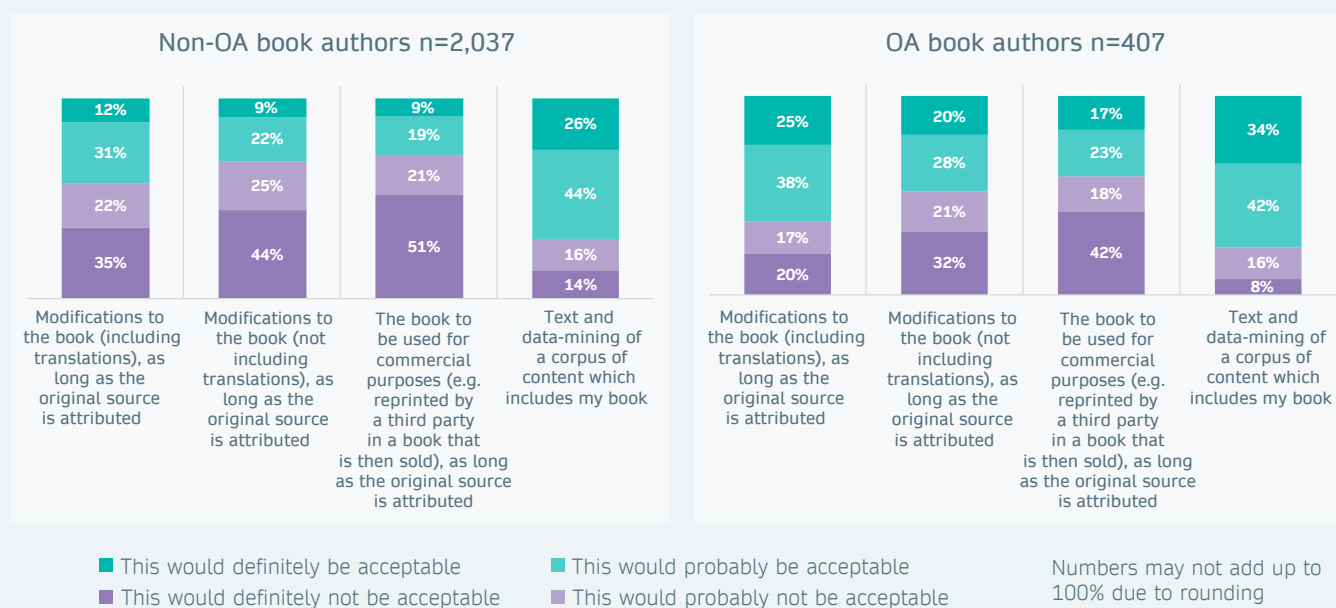
37. All six of the 4.0 Creative Commons licences allow for text and data mining for non-commercial purposes by granting express permission to privately reproduce, extract, and re-use the contents of a licensed database and create adapted databases. If the content mined has an ND licence, this may limit outputs that can be publicly shared, if they count as an adaptation. See <https://creativecommons.org/faq/#can-i-conduct-textdata-mining-on-a-cc-licensed-database>. Retrieved April 10, 2019.

A large majority across all subject areas considered commercial re-use probably or definitely unacceptable, although again Humanities and Social Sciences authors also were more likely than any other group to say that commercial re-use was definitely unacceptable (54%, n=508).

Scholars with more than 25 years' experience were more likely than those with less experience to consider modifications unacceptable (39%, n=345 said translations were definitely unacceptable, and 48% (n=427) said non-translation modifications were definitely unacceptable). Conversely, scholars with 5-14 years' experience were more likely than other groups to consider any form of modification acceptable.

There were large regional differences. Scholars from Asia were more likely than other groups to consider translations acceptable (63%, n=219), compared to only 20% (n=69) who said this would definitely be unacceptable, and were also more open to non-translation modifications (53%, n=182, considered this acceptable). In contrast, book authors from North America were much less open to re-use – just 28% (n=177) considered non-translation modifications acceptable, compared to 48% (n=307) who said this would definitely be unacceptable.

Chart 9: Please indicate the extent to which each of the following would or would not be acceptable to you. – To allow...



3.1.3 OA licensing: discussion

There has been much debate about what types of OA licensing are most appropriate for books. CC BY has emerged as the industry standard licence for journal articles, driven by the policies of major funders.³⁸ However, more restrictive licences are more common for books. For titles in the DOAB for which licensing information is available, 33% are published under CC BY, with 45% published under the most restrictive licence, CC BY-NC-ND.³⁹

Previous author surveys have found that authors prefer the most restrictive licences. Few surveys have specifically asked book authors about their CC licence preferences, but an OAPEN-UK survey of Humanities and Social Sciences authors in 2012 found

38. OASPA reported 248,589 CC BY journal articles published by their members in 2017, compared with 40,681 under other OA licences. See <https://oaspa.org/oaspa-members-ccb-y-growth-2017-data/>. Retrieved April 25, 2019.

39. See <https://www.doabooks.org/>. Data retrieved May 15, 2019.

that 79% of researchers preferred the most restrictive licence, CC BY-NC-ND, and that CC BY-ND (57%) was more popular than CC BY-NC (24%).⁴⁰ Wiley's and Taylor & Francis' 2013 surveys of journal authors also found preferences for CC BY-NC-ND.⁴¹ De Gruyter's survey – which took a similar approach to this report, in asking authors to provide their views on specific types of re-use rather than on CC licence types, but did not break down results by book authors – found that authors were least prepared to grant the right to “republish [their] work with a commercial company without your approval” (5-8% agreed, depending on subject area), and were somewhat more open to permitting translation without approval (19-38% agreed, depending on subject area).⁴²

Recent contributions from the community have emphasised the importance of ND licences for the Humanities and Social Sciences. The British Academy, in their 2018 paper on OA monographs, argued that “in disciplines in which the content of an argument or analysis depends exclusively or mainly on the words used and the way the sentences are constructed, it is important that authors should have the protection from misuse, misquotation or mistranslation that an ND licence provides”.⁴³ Participants at a 2018 Universities UK engagement event with learned societies also emphasised the importance of the ND licence.⁴⁴ Our survey results do show high levels of concern amongst Humanities and Social Sciences authors about non-translation modifications to their work, although this is not universal – almost a third of Humanities and Social Sciences authors would find this sort of modification acceptable.

Concerns about commercial re-use have received less attention, and it is interesting that this appears to be more objectionable to the authors surveyed here than modifications of their work.⁴⁵ The challenge here is in the definition of the NC licence, which restricts re-use to that which is “not primarily intended for, or directed towards, commercial advantage or monetary compensation.”⁴⁶ Such a broad definition means this licence may restrict some uses that could benefit authors, such as development of discovery tools and services, or uses that authors might not perceive to be commercial, such as re-use of the work in the context of paid lecturing. Creative Commons comment that “the definition of NonCommercial is intentionally flexible”, but this may lead to uncertainty about what types of re-use would be considered acceptable, and ultimately act to limit re-use.

3.2 Self-archiving

This section explores:

- To what extent are book authors currently self-archiving the manuscript of their books?
- What is influencing authors' decisions to self-archive, or not to?
- Are authors open to self-archiving future books?

3.2.1 Self-archiving trends amongst book authors

Authors were asked for how many of the books they had published in the last three years they had self-archived the manuscript. The majority of authors surveyed had not self-archived any of their book manuscripts, but significantly more OA book authors than non-OA book authors had self-archived at least one manuscript within the last 3 years (43%, n=168 vs. 18%, n=365).

Book authors in Europe reported higher rates of self-archiving (27%, n=306, had self-archived at least one book that they had published in the last three years), whereas

Commercial re-use appears to be more objectionable than modifications

40. See OAPEN-UK, p. 13.

41. See Wiley Open Access and Taylor and Francis Group.

42. See Kieć, p.9.

43. See British Academy for the Humanities and Social Sciences (May 2018). *Open access and monographs. Where are we now?* p.4. Retrieved April 24 2019, from <https://www.thebritishacademy.ac.uk/publications/open-access-monographs-where-are-we-now>.

44. See Universities UK Open Access Monographs Group (March 2019). *Open access and monographs*. p.7. Retrieved May 1, 2019, from <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/open-access-and-monographs.aspx>.

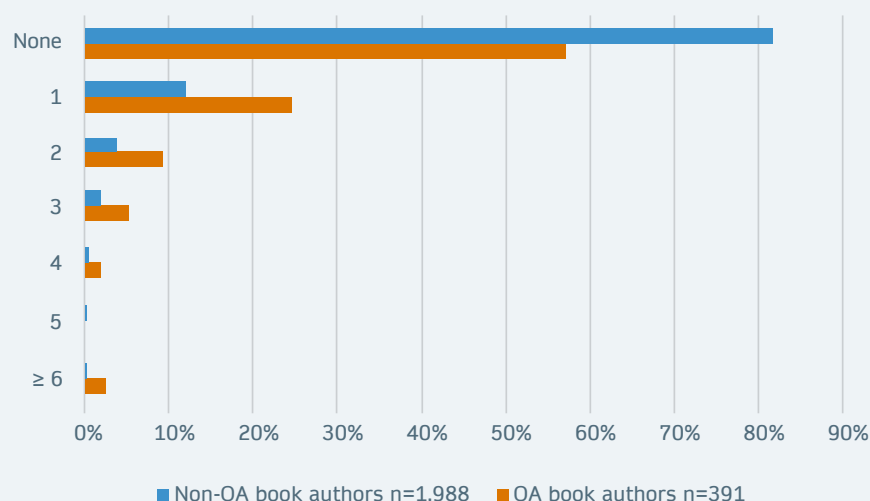
45. We did not specifically ask about whether this type of re-use would be acceptable for books published open access, so it is perhaps possible that some authors may have had commercial re-use of non-OA books in mind when indicating that this would be unacceptable.

46. For the full legal code for the CC BY-NC licence, see: <https://creativecommons.org/licenses/by-nc/4.0/legalcode>. For further explanation from Creative Commons about the implications of the NC licence, see https://wiki.creativecommons.org/wiki/NonCommercial_interpretation. Retrieved May 16, 2019.

self-archiving rates in North America were low (13%, n=91). Mathematics and Computer Sciences authors were the most likely to say they had self-archived a recent book (29%, n=80), while researchers in Clinical Medicine were least likely to have done so (17%, n=26).

"The self-archived book manuscripts are more convenient to circulate around the researchers"

Chart 10: For how many of the books that you have published within the last three years did you self-archive the manuscript?



3.2.2 Reasons for self-archiving, or not

Authors' free-text responses (n=579) indicated a wide variety of motivations for self-archiving. Some were simply following their institutional requirements. Some cited a commitment to ensuring that scientific works were better preserved and more accessible. Many hoped self-archiving would increase readership and engagement with their work, with some hoping it would boost their profile and CV.

"For better preservation and subsequent scientific research and re-edition of reference materials."

"The self-archived book manuscripts are more convenient to circulate around the researchers."

"To connect the publication with my profile."

The top reason given by both OA and non-OA book authors for not self-archiving was lack of awareness of the option (46%, n=947, of non-OA book authors and 32%, n=132, of OA book authors). Some authors indicated that their publisher did not permit it: 8% (n=33) of OA book authors and 19% (n=388) of non-OA book authors said this. A small proportion of authors also expressed concerns about having the manuscript version of their book in circulation (11%, n=225, of non-OA book authors and 6%, n=23, of OA book authors).

Responses varied by region. Significantly more authors from North America indicated that they were not aware of self-archiving as an option (54%, n=373), compared with 39% (n=490) of authors in Europe. Authors in Mathematics and Computer Sciences were also less likely than those in other disciplines to say that they were not aware of self-archiving as an option (36%, n=100), which is consistent with their reporting higher levels of self-archiving. However, there was little variation in awareness of self-archiving between scholars with different levels of experience.

3.2.3 Self-archiving locations

Authors were asked to indicate in free-text comments where they had deposited their self-archived manuscripts. In total, 459 authors left a comment to this question. The most common location mentioned was the author's university repository (140 authors). Commercial scholarly networks were also popular (46 authors mentioned ResearchGate and 17 Academia.edu). However, responses to this question also indicated a broad understanding of the term self-archiving, with 43 authors indicating that they had "self-archived" their work on a personal computer, hard-drive, or cloud-based storage.⁴⁷

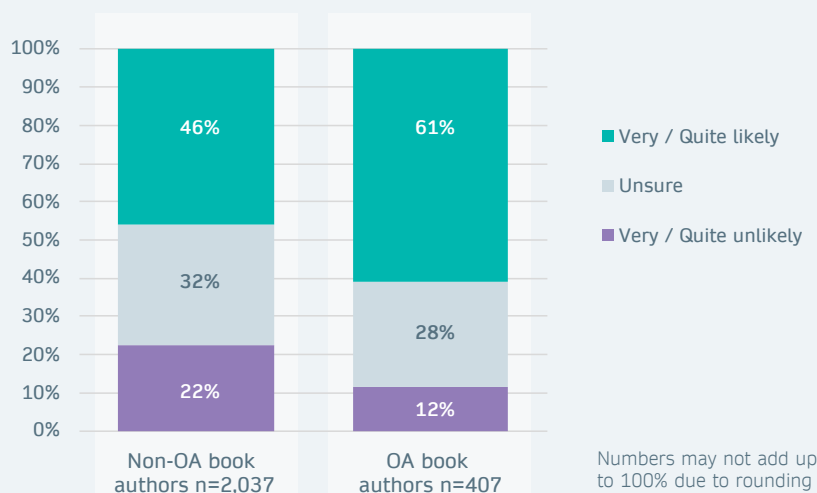
3.2.4 Openness to self-archiving future books

Authors were generally positive about the idea of self-archiving their book manuscript in future. 61% (n=244) of OA book authors said they would be very or quite likely to self-archive a book manuscript in a repository in future, compared to 12% (n=46) who said they were very or quite unlikely to do so. Non-OA book authors expressed less enthusiasm about self-archiving future books than OA authors, but many more still said that they were very or quite likely to do so (46%, n=914) than that they were very or quite unlikely to do so (22%, n=445).

Authors were generally positive about the idea of self-archiving their book manuscript in future

Chart 11: Thinking still about if you were to publish another book, with any publisher, how likely would you be to...

Self-archive the author's accepted manuscript* in a repository



3.2.5 Self-archiving: discussion

Funders and institutions commonly mandate self-archiving for journal articles, but far fewer such requirements exist for books. ROARMAP currently lists 623 institutions and funders with self-archiving policies for peer reviewed manuscripts, compared with 298 with self-archiving requirements for books.⁴⁸

A De Gruyter survey in 2016 found that authors of journal articles who often publish via the gold OA route "are no more likely to archive copies of their conventional works in open access repositories" than those who don't.⁴⁹ We found that authors of OA books are significantly more likely than non-OA book authors to have self-archived their work, although this is not a direct comparison as we did not ask whether the books they had self-archived had been published OA or non-OA. The higher take-up of self-archiving by OA book authors may reflect the fact that these authors are more likely to be subject to

47. This paper uses the term self-archiving in accordance with SHERPA/RoMEO's definition, namely: "The process by which an academic author deposits the metadata (bibliographic reference, abstract, etc.) and an electronic full text for one or more of his/her publications in an open access repository." See <http://sherpa.ac.uk/glossary.html#s>. Retrieved May 13, 2019.

48. Data retrieved May 16, 2019 from <http://roarmap.eprints.org/cgi/search/advanced>.

49. See Kieć, p.11.

funder mandates, or simply that they are more aware of OA practices than book authors who have not published OA.

The De Gruyter survey found that 30% of journal article authors were not aware of self-archiving. Given that OA policy for books has lagged behind that of journals, it is not surprising that we found a higher proportion of authors who were unaware of self-archiving as an option for books (46% non-OA, 32% OA). Interestingly, fewer of our respondents indicated that their publisher did not permit self-archiving (19% non-OA, 8% OA) than did the De Gruyter journal author respondents (27%), although this could reflect a lack of awareness of publisher policies on the part of book authors. It would be interesting to do further work to understand to what extent book authors are aware of their funders', institutions', and publishers' self-archiving policies.

We found that self-archiving rates are low, primarily because of low awareness of the option, but also in some cases because of publisher restrictions and concerns about having the manuscript version of a book in public circulation. However, authors are enthusiastic about self-archiving, so it seems likely that with more encouragement and easier routes to do so, take-up could be increased.

A large proportion of authors were unaware of self-archiving as an option for books

4. Funding and policy

4.1 Funders and OA fees

This section explores:

- What proportion of authors surveyed wrote books based on grant-funded research?
- Are authors aware of whether funding for OA books is available to them?
- Do authors want their funding bodies to provide more financial support for OA books?
- Do authors think it is worthwhile to pay fees to publishers to enable their books to be made OA?

4.1.1 Proportion of book authors with research grants

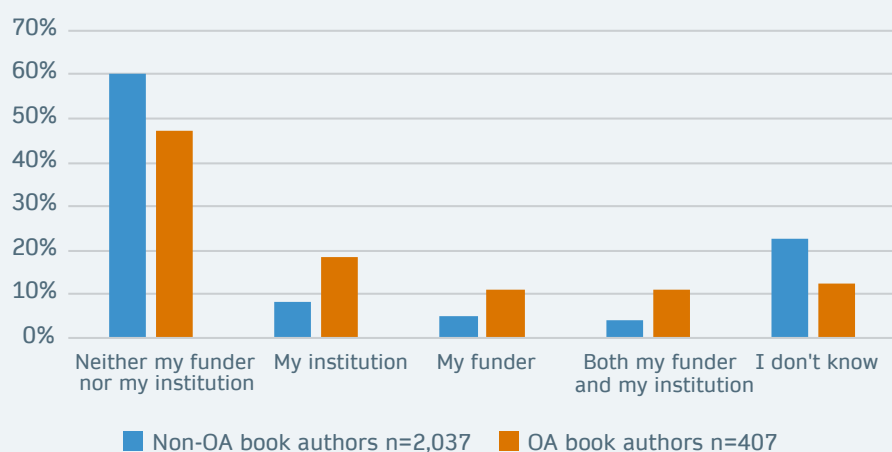
Authors were asked to indicate the main funder of the research in the book that they had most recently published. A high proportion indicated that they didn't have a funder (47%, n=1,205). This constituted 39% (n=157) of OA authors, and 49% (n=995) of non-OA authors. Responses varied considerably according to subject area: 53% (n=532) of respondents working in the Humanities and Social Sciences and 63% (n=101) of those working in Clinical Medicine indicated that they did not have a funder, compared to just 20% (n=18) of respondents in the Biomedical Sciences and 28% (n=50) in Biological Sciences.

4.1.2 Awareness of the availability of OA book funding

Authors were asked whether their funder or institution provided any funding support for them to publish their books via an OA model. This question technically tests authors' awareness of funding rather than the actual availability of OA book funding, although responses may help to indicate wider trends in the distribution of funding. As a follow-up, it would be interesting to match our results against known OA book funding to see if authors are correct. We also did not capture information on whether authors have access to some funding support but not enough to cover a full book publishing charge. This might also warrant further follow up.

60% of non-OA book authors said that no OA book funding was available from their main funder or institution

Chart 12: Does either your funder or institution provide any funding support to publish your book via an open access model?



As might be expected, non-OA authors (23%, $n=463$) were more likely than OA authors (13%, $n=51$) to say they didn't know whether OA book funding was available to them from their main funder or institution. Similarly, more non-OA book authors than OA book authors said that no funding was available for OA book publication from these sources (60%, $n=1,223$ vs. 47%, $n=192$).

There were large regional differences. A high proportion of authors in Australasia said that no OA book funding was available to them (72%, $n=94$), compared to only 55% ($n=656$) of authors in Europe, perhaps reflecting the leading position many European national funders have taken on OA. Meanwhile, authors in North America were more likely than those in other regions to say that they didn't know whether funding was available to them (27%, $n=190$).

Authors in Clinical Medicine and Healthcare were more likely than those in other disciplines to say they had no funding available from these sources (70%, $n=113$) – unsurprising given that many authors in these fields are practitioners. Authors in the Biological Sciences were more likely than those from other disciplines to say that OA book funding was available to them from both their funder and their institution (10%, $n=18$), although the proportion was still very low. Authors in the Biological Sciences were also the least likely of all the subject groups to say they didn't know whether funding was available to them (16%, $n=29$); we would expect awareness to be relatively high given the high levels of OA uptake for journal articles in this field.⁵⁰ One barrier to increasing take-up of OA for books that is often cited is the low levels of funding in the Humanities and Social Sciences, the disciplines that publish the most academic monographs.⁵¹ However, responses to this question from Humanities and Social Sciences authors in our survey were broadly in line with the averages across all disciplines.

Senior authors, with 25 years or more in academia, were more likely than their more junior colleagues to say that no OA book funding was available to them from either their funder or their institution (63%, $n=604$). Scholars with fewer than 5 years' experience were more likely to say that they didn't know if OA book funding was available to them (37%, $n=60$).

4.1.3 The role of funders in supporting OA financially

The majority of authors surveyed agreed or strongly agreed that funders should provide more financial support for publication of books via an OA model (84% of OA book authors, 71% of non-OA book authors). A large number of authors neither agreed nor disagreed (11% OA, $n=41$, and 20% non-OA, $n=378$); the number who were opposed to funders providing more financial support for OA books was very low.

4.1.4 Book Processing Charges (BPCs)

Authors were asked whether they agreed with the statement, "I think it is worthwhile to pay a publisher a certain amount to enable my book to be made open access." A larger proportion of authors agreed with this statement than disagreed. OA book authors were significantly more likely than non-OA book authors to agree or strongly agree (46%, $n=177$ vs. 36%, $n=682$). However, a large proportion of authors (25% OA, $n=97$, and 26% non-OA, $n=617$) indicated that they neither agreed nor disagreed with this question, suggesting that many authors either did not feel sufficiently informed to comment, or that the response might depend on other factors.

The majority of authors agreed or strongly agreed that funders should provide more financial support for publication of books via an OA model

50. See Piwowar et al. (February 2018). *The state of OA: A large-scale analysis of the prevalence and impact of Open Access articles*. PeerJ 6:e4375, DOI: <https://doi.org/10.7717/peerj.4375>. Figure 4.

51. See Crossick, pp.52, 113.

Chart 13: To what extent do you agree or disagree with the following statements?

Funders should provide more financial support for publication of books via an open access model

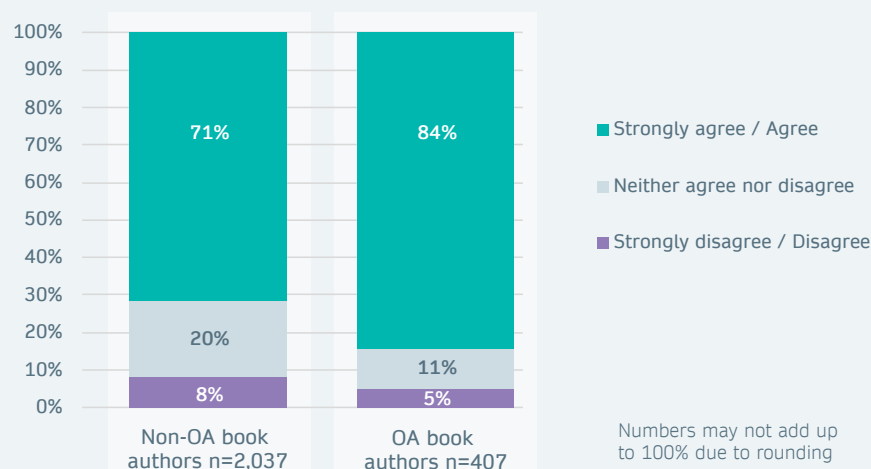
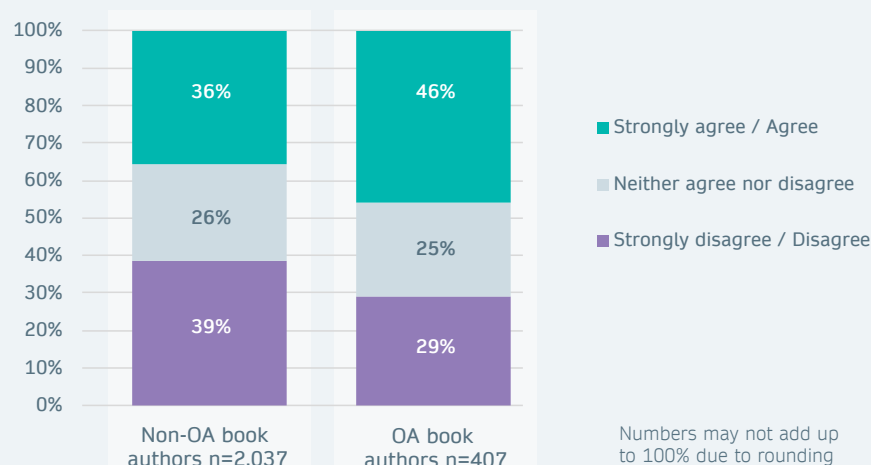


Chart 14: To what extent do you agree or disagree with the following statements?

I think it is worthwhile to pay a publisher a certain amount to enable my book to be made open access



4.1.5 OA book funding: discussion

Dedicated funding for OA books is increasing, but is still relatively uncommon – at Springer Nature, we are aware of 22 funding bodies and 121 institutions that provide funding for BPCs, compared with 105 funding bodies and 201 institutions that make funds available for journal APCs.⁵² BPC funds are often capped at levels below those typically charged for OA publication of a standard monograph. The recent Knowledge Exchange landscape study also found that the availability of funding schemes to support OA publication of monographs was “somewhat ad hoc” across the eight countries they surveyed.⁵³ Our findings back this up, with a majority of authors saying no OA book funding was available to them from their funder or institution.

52. For public lists, see <https://www.springernature.com/gp/open-research/funding>. Retrieved April 25, 2019.

53. See Ferwerda, E., Pinter, F., Stern, N. (October 2017). *A landscape study on open access and monographs: Policies, funding and publishing in eight European countries*. Retrieved April 23, 2019, from http://repository.jisc.ac.uk/6693/1/Landscape_study_on_OA_and_Monographs_Oct_2017_KE.pdf.

The percentage of OA book authors indicating that no OA book funding was available to them from their funder or institution (47%) is surprisingly high, even allowing for the fact that some OA book authors may not have paid BPCs in order for their books to be published OA, and others may have sourced funding from somewhere other than their main research funder or institution, such as via industry or a co-author's grant.

A much larger proportion of authors agreed that funders should provide more financial support for books to be published via an OA model (84% OA, 71% non-OA) than agreed it was worthwhile to pay publishers to make books OA (46% OA, 36% non-OA). This might reflect reservations about the value of the services provided by some publishers, an outright rejection of the BPC model, or a desire for different funder-backed solutions to support OA books. In any case it seems to point to a desire from book authors for funders to engage with and support OA books.

A high proportion of authors indicated that they didn't know their main funder's OA book policy

4.2 Policy

This section explores:

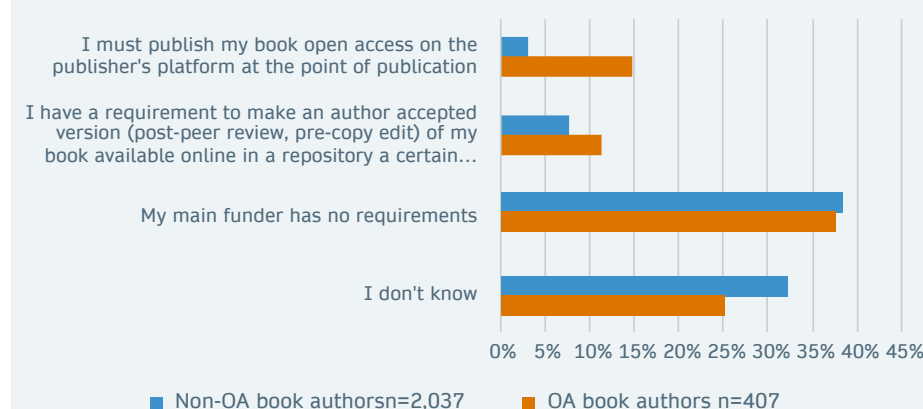
- Are authors aware of whether their funders have OA policies relating to books?
- What OA policy would authors prefer their funders to adopt for books?

4.2.1 Awareness of funders' OA book policies

Authors were asked to indicate their main funder's requirements with respect to OA publishing of books. As with the question on funding, this question should be seen as testing authors' awareness of the policies that apply to them rather than as a guide to the actual policy landscape, although the distribution of responses may indicate some general trends in OA policies for books.

A high proportion of authors indicated that they didn't know their main funder's OA book policy (32%, n=658, of non-OA book authors and 25%, n=102, of OA book authors). 38% of both OA (n=153) and non-OA book authors (n=783) stated that their main funder had no requirements.

Chart 15: Which of the following is the closest description of your main funder's requirements with respect to open access publishing of books?



Authors in Europe were more likely to say that they were required to publish their books OA on the publisher's platform at the point of publication (7%, n=78), while authors from North America were significantly less likely to say this (3%, n=19).

Differences between disciplines were few, although authors from the Physical Sciences and Engineering were more likely to say that their main funder had no requirements (46%, n=161) than authors in other disciplines.

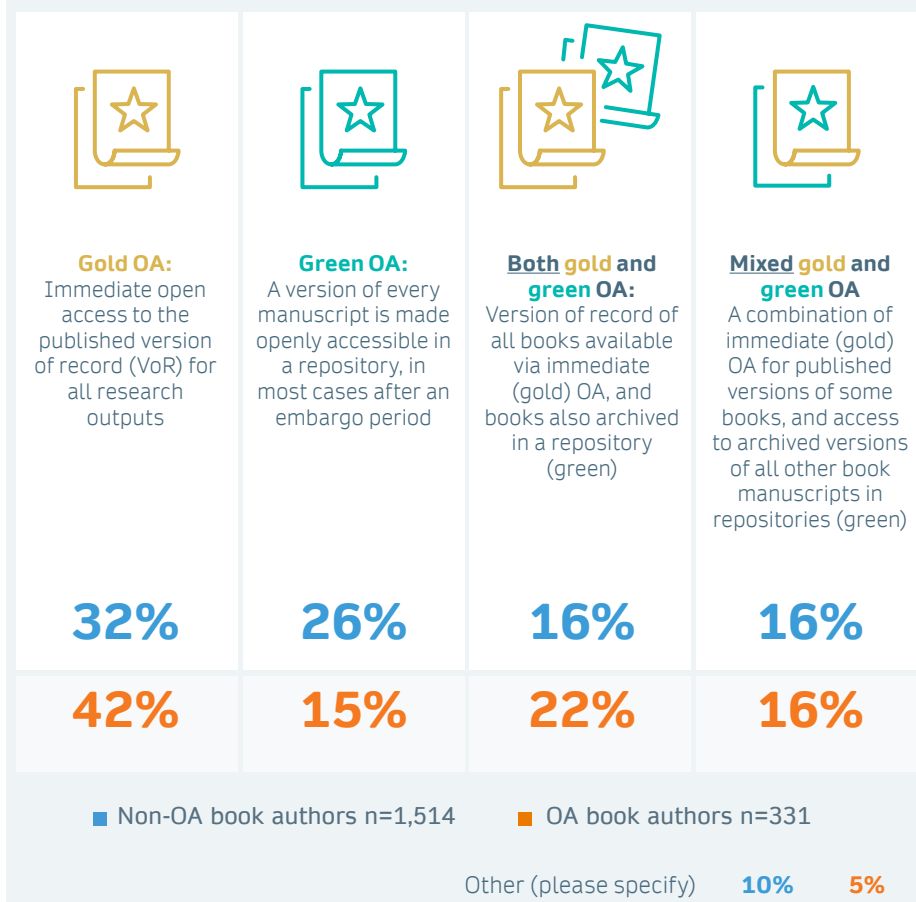
4.2.2 Preferred OA book policies

Authors were then asked to indicate what type of OA policy they would prefer their main funder to adopt for books. Respondents were asked to choose between immediate OA on the publisher platform (gold); self-archiving of the author manuscript in a repository (green); a mixture of gold or green, with some books made immediately available OA on the publisher platform and the rest self-archived in repositories; and a combination of gold and green, in which all books would be made available OA on the publisher platform and archived in a repository.

OA policies that ensured all books were made immediately available on the publisher platform were the most popular: in total 64% (n=213) of OA book authors and 48% (n=728) of non-OA book authors selected the two options that provided for this. For both OA and non-OA authors, the most popular individual option was a pure gold OA policy: 42% (n=139) of OA book authors and 32% (n=486) of non-OA book authors selected this option. The next most popular option amongst non-OA book authors was a pure green policy (26%, n=387), although this was the least popular choice amongst OA book authors (15%, n=50). The second most popular option amongst OA book authors was the gold and green policy (22%, n=74).

For both OA and non-OA authors, the most popular individual option was a pure gold OA policy

Chart 16: Of the options listed below, what open access policy would you prefer your main funder to adopt for books?



A large number of authors who supported the gold OA-only option said that, as a point of principle, research outputs should be accessible to all in their final form.

"All research should be available in its final form for everyone."

"My research has been supported with substantial public funding. The public should have access to the work. The cost of open access publishing would be a small fraction of the total support I have received."

"My research has been supported with substantial public funding. The public should have access to the work. The cost of open access publishing would be a small fraction of the total support I have received"

Other reasons given by the group supporting a gold OA-only policy position included: that gold OA provides "availability to as many readers as possible", and helps to reach audiences beyond academia; that it provides "greater visibility", and leads to "immediate dissemination and impact" and "more [...] citations"; that it is "better for everyone to have timely information", particularly for fast-moving fields; that gold OA supports reproducibility; that they would prefer not to have people cite the manuscript version; and that this policy position is "simplest". Several respondents also commented that while this position was ideal, there were challenges relating to the cost of OA and who should fund it. Authors based in the Biological Sciences were more likely to select the gold-only option than those in other fields (43%, n=63). Researchers from North America were less likely to select this option than those from other regions (28%, n=135).

"I work on migration and it is a very dynamic phenomenon. I'd rather prefer to publish and reach the researchers ASAP to disseminate research findings."

"More progress is made more quickly if research results are widely available and easily accessed."

"I would like my book to reach the largest possible audience, also outside of academia."

Those who selected the gold and green option commented that it "combines the positives of both methods", is the "most open" option and "increases availability".

"It optimizes the diffusion of our research outputs and ensure that our work is read and potentially cited by a maximum [number] of researchers and practitioners."

Supporters of the gold or green option also commented that this option was the "most versatile" and "most practical" as it provides a good balance of access with financial viability.

"I'm for gold open access where funders fund it. I oppose a policy that will end up excluding researchers without sufficient funding access from publishing."

Supporters of the green-only option argued that "this is the only financially feasible option", as funding for gold OA books is limited. Respondents tended to see this as a compromise that would work for authors, libraries, and publishers as it would "minimize the cost of OA while maximizing access", while also allowing publishers to recoup costs

before the manuscript became publicly available. Authors did not provide any comments on the specific length of embargo periods that they would consider acceptable. Some commented that gold OA did not provide value for money.

"The embargo period provides the publisher an option to market the work and to profit while giving access to the community as well."

"I believe green OA is a good compromise for both publisher and author and provides for long-term cooperations."

10% (n=150) of non-OA authors and 5% (n=15) of OA authors selected "other". Many of these respondents were opposed to OA for books, for example because they objected to fees or to funders specifying how they should publish. Some indicated concerns about the quality of OA publications. Several argued that the question could not be answered without also understanding where funding for gold might come from, or indicated that they supported "platinum OA" (i.e. immediate access to the Version of Record without publishing fees).

"I don't really care, I write books I want to write."

"I am concerned about limiting the discussion to availability of funds and models in the West and ignoring impact on the Global South."

"I do not believe in open access."

Senior researchers (those with 25+ years' experience) were more likely to select "other" than other groups (13%, n=89 did so) perhaps reflecting a greater scepticism about, or rejection of, OA policies amongst this group.

4.2.3 OA book policies: discussion

As with funding, the OA policy landscape for books lags behind that for journals. ROARMAP currently lists 314 organisations with an OA policy requirement relating to books, compared with 660 relating to peer-reviewed articles.⁵⁴ It is therefore perhaps unsurprising that a large proportion of authors surveyed said either that their funder did not impose any OA requirements with respect to books, or that they were unaware of their funder's policy.

Our survey results show that book authors have a preference for OA policies that allow them to make the Version of Record available immediately on publication, although doubts remain about how this can or should be funded, and there is a concern that "author/funder-pays" models could increase inequality amongst researchers. ROARMAP lists only 13 organisations with a requirement for book content to be made publicly available immediately on publication, suggesting that policy lags behind author sentiment.

Book authors have a preference for OA policies that allow them to make the Version of Record available immediately on publication

54. Data and chart (Appendix 5) from <http://roarmap.eprints.org/>. Retrieved April 25, 2019.

5. OA book futures

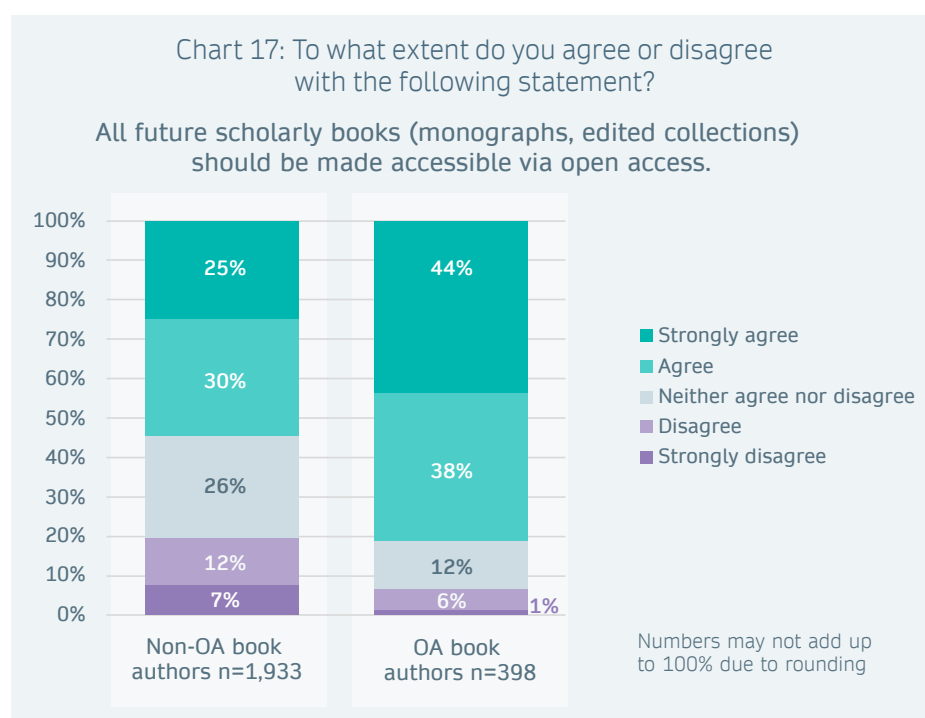
This section explores:

- Do authors think all scholarly books should be OA?
- Would authors consider publishing their next book OA?

5.1.1 Should all future scholarly books be OA?

Book authors (n=2,331) were asked to what extent they agreed or disagreed that all future scholarly books (monographs, edited collections) should be made available OA. The majority of both OA book authors (81%, n=324) and non-OA book authors (55%, n=1,055) agreed or strongly agreed that all future scholarly books should be OA; only 7% (n=26) of OA book authors and 19% (n=373) of non-OA book authors disagreed or strongly disagreed. A large proportion of non-OA book authors (26%, n=505) said they neither agreed nor disagreed.

The majority of both OA and non-OA book authors agreed or strongly agreed that all future scholarly books should be OA



This trend was apparent across all subject areas, although researchers who said they worked across all disciplines were more likely to be in favour (68%, n=176, agreed or strongly agreed). Authors in the Physical Sciences and Engineering were least likely to support OA for all future scholarly books: only 50% (n=167) agreed or strongly agreed.

Looking at the results by seniority of researchers, significantly more book authors who have been involved in academic research for 25 years or more disagreed or strongly disagreed (20%, n=185) that all future scholarly books should be OA, whereas those who have been involved in academic research for 5-14 years were less likely than other groups to disagree or strongly disagree (13%, n=87). Conversely, significantly more authors who are involved in academic research for 5-14 years agreed or strongly agreed (66%, n=437, compared to only 55%, n=505, for those with 25+ years' experience).

Geographically, the results differ. More authors from Asia and Europe agree or strongly agree that all future scholarly books should be made available via OA (70%, n=250, and 62%, n=703, respectively), especially compared to North America (48%, n=309).

5.1.2 How likely are authors to publish their next book OA?

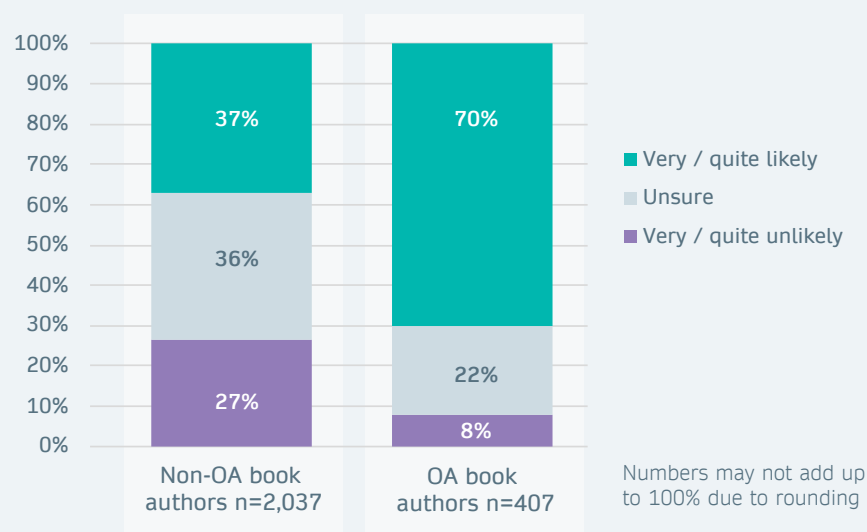
We wanted to understand whether book authors would consider publishing an OA book in the future, based on their previous experiences and ethical considerations, as well as the perceived benefits and disadvantages of publishing OA.

Both OA and non-OA book authors were asked how likely they would be to publish their book via immediate OA on a publisher's platform, if they were to publish another book with any publisher (n=2,444). Responses differed significantly depending on whether authors had previously published an OA book: 70% (n=281) of OA book authors responded that they would be quite or very likely to publish a future book OA; only 8% (n=32) were quite or very unlikely to do so again. In contrast, only 37% (n=739) of authors who had not published an OA book said they were likely or very likely to publish their next book via the gold OA route. Further to this, 36% (n=721) said they were unsure, indicating that there is room for persuasion.

70% of OA book authors would be quite or very likely to publish a future book OA

Chart 18: Thinking still about if you were to publish another book, with any publisher, how likely would you be to...

Publish my book via immediate open access on a publisher's platform



OA book authors were even more likely to say they would publish a future book OA (70%, n=281) than they were to self-archive in future (61%, n=244) – see [Section 3.2.4](#) on openness to self-archiving future books. Conversely, non-OA book authors, who were already less likely to self-archive (46%, n=914), indicated an even lower likelihood that they would publish OA in future (37%, n=739).

Significantly more senior authors (those with 25 years or more in academic research) said that they were very or quite unlikely to publish a future book OA (28%, n=259), especially compared to authors who had been involved in academic research for 5-14 years (only 17%, n=116, said they would be very or quite unlikely).

The subject groups in which the fewest authors said they were very or quite likely to publish a future book OA were the Humanities and Social Sciences (38%, n=381) and Physical Sciences and Engineering (38%, n=129). By contrast, 57% (n=100) of authors in Biological Sciences said that they were very or quite likely to publish a future book OA.

There were significant differences across regions. A high proportion of authors from Asia (54%, n=200) and from Europe (45%, n=519) said that they were very or quite likely to publish a future book OA, compared with only 31% (n=209) of authors from North America. A large proportion of authors from North America said they were unsure (41%, n=278).

There is a gap between book authors' OA desires and the OA publication options available to them

5.1.3 OA book futures: discussion

For those seeking to increase take-up of OA amongst book authors, it is encouraging that a majority of book authors surveyed believe that in the future all scholarly books should be OA, while less than a fifth of respondents actively disagreed. Book authors' support of an OA future for books seems especially promising, if perhaps surprising, given that currently take-up of OA for books is low, and that many authors indicated a lack of previous experience with OA. The large proportion of non-OA book authors who said they were unsure (26%) suggests that many could be persuaded of the benefits of an OA future for books.

A much higher proportion of authors indicated that they believed all future scholarly books should be OA than said they would be quite or very likely to publish their next book OA. This trend was apparent across all disciplines. This suggests that at the moment there is a gap between authors' OA desires and the OA publication options available to them. If more accessible or affordable OA options were made available for books, or more funding were available, authors might be more likely to adopt OA for their books.

Senior researchers were significantly less likely to say they would publish their next book OA, or to believe that all future books should be published OA. As we noted earlier, winning over this influential group will be important if we are to accelerate the uptake of OA for books. However, the relative enthusiasm of more junior researchers for OA suggests that attitudes in the academy are starting to shift in favour of OA.

We also see authors from North America lagging behind those from Asia and Europe both in conviction that future books should be OA, and in the likelihood of publishing their next book OA. If current policy trends continue, this disparity in attitudes between regions is only likely to increase.

6. OA chapters

This section explores:

- How common is OA chapter publishing and self-archiving amongst surveyed authors?
- How likely are authors to publish future chapters OA?

Another form of OA publishing is when one or more chapters are published OA in otherwise non-OA books. We wanted to know how popular publishing individual OA chapters is, and how book authors perceive this option.

6.1.1 How common is OA chapter publishing?

Authors who had published an OA book were more likely to have published an OA chapter than non-OA book authors: 63% (n=254) of OA book authors who responded to this survey have published at least one OA chapter in otherwise non-OA books within the past three years, compared with 31% (n=627) of non-OA book authors (n=2,423 across all authors).

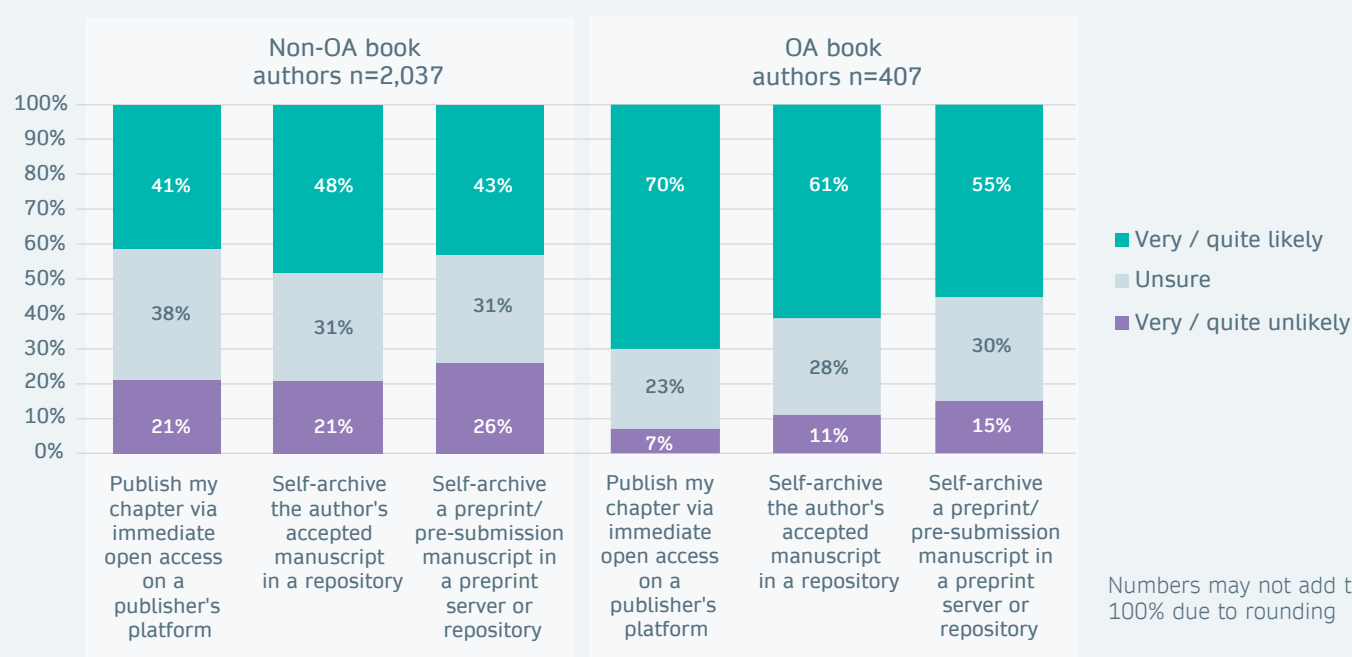
6.1.2 Publishing chapters OA

Similarly, more OA book authors (70%, n=270) said that, if they were to publish another chapter in an edited work, they were quite or very likely to publish a chapter via immediate OA on a publisher's platform than did non-OA book authors (41%, n=784). In both cases this is more than the proportion that have previously published OA chapters.

Responses were broadly similar to those to the question about publishing a future book OA: the same proportion of OA authors indicated that they would be likely to publish a future book or chapter OA (70%). For non-OA authors, a slightly higher percentage indicated that they were likely to publish a future chapter OA (41% vs. 37%).

70% of OA book authors would be likely to publish a future book or chapter OA

Chart 19: If you were to publish another chapter in an edited work, with any publisher, how likely would you be to...



Regional trends in response to this question, and differences according to experience level, were also similar to those about publishing a future book OA. A high proportion of authors from Asia (54%, n=195) said that they were very or quite likely to publish a future chapter OA, while significantly more authors from North America said they were unsure (41%, n=277). A high proportion of authors from Australasia said they were unlikely or very unlikely to publish a future chapter OA (28%, n=35).

With regard to years spent in academic research, significantly more senior researchers (those with more than 25 years' experience) said they were very or quite unlikely to publish a future chapter OA (23%, n=210), especially compared to researchers with 5-14 years in academic research (14%, n=95, would be very or quite likely).

6.1.3 Self-archiving chapters

OA book authors were more likely than non-OA book authors to say they were likely to self-archive the manuscript of a book chapter in future (61%, n=235 OA vs. 48%, n=923 non-OA). These responses were also very similar to the proportions that indicated they would be likely to self-archive a full book in future (61%, n=244 OA vs. 46%, n=914 non-OA).

Looking at this question by subject area, we find that significantly more authors in Mathematics and Computer Sciences than in other disciplines said they would be very or quite likely to self-archive a future chapter manuscript in a repository (65%, n=175) and to self-archive a pre-print (63%, n=169), perhaps reflecting the strong traditions of sharing working papers in these subject areas.

6.1.4 OA chapters: discussion

Much discussion about OA for books has so far focussed on whole books rather than on individual chapters. However, edited works are an important and substantial part of the scholarly books landscape,⁵⁵ and any OA future must take them into account.

Given that there is already a substantial precedent for self-archiving short-form work published in journals, we might have expected more engagement with, or enthusiasm for, self-archiving chapters than for books, but, with the exception of authors in Mathematics and Computer Sciences, this was not the case. Similarly, as chapter OA fees are typically much lower than those for books, we might have expected more authors to indicate that they would be likely to publish future chapters OA than did for books, but again responses were very similar. This suggests that authors may be thinking about books and chapters within the same frame of reference and not making significant distinctions when it comes to OA.

61% of OA book authors would be likely to self-archive the manuscript of a book chapter in future

55. "Chapters in edited collections constituted around 25 per cent of all outputs submitted to the UK REF 2014 in Main Panel D [Arts and Humanities] and 1 per cent in Main Panel C [Social Sciences]", Crossick, Section 3.1, point 20.

Conclusion and recommendations



We found that book authors who have published an open access (OA) book are enthusiastic about all aspects of OA for books that we asked about: they are likely to publish a future book OA, likely to self-archive, supportive of gold OA policies, open to re-use of their work, and support a fully OA future for scholarly books. It may be that those who have published OA books so far are the pioneers and advocates and are predisposed to be more positive about OA, but our findings do seem to indicate a high level of satisfaction and continued engagement with OA from existing OA book authors.

This said, authors who had not previously published an OA book also indicated some positive inclinations towards OA. More than half of all authors who had not published an OA book were supportive of all scholarly books being published via an OA route in the future, and more than a third said they were likely to publish their next book OA. This bodes well for a more open future. However, this group was somewhat less positive about self-archiving, gold OA for books, and re-use of their work than those who had already published books via the OA route, and they also indicated higher levels of uncertainty about many questions relating to OA. This suggests that there is more work to be done by the community to increase awareness and understanding of OA amongst authors who have not yet published OA books.

In particular, concerns about perceptions of quality persist, and even authors who have published an OA book believe that OA books are likely to be perceived as of lower quality than non-OA books. Many free-text comments throughout the survey also mentioned concerns about quality. Publishers will need to work hard to demonstrate that their OA books meet the same rigorous standards that they would expect of any scholarly book, and to clearly communicate the peer review and quality assurance processes they maintain. Others in the community can also play a role here: the Austrian Science Fund asks to see peer review reports before awarding OA book funding, and the OAPEN Library has set standards by only accepting deposits of peer-reviewed books. We also need to ensure we support and maintain community initiatives such as OAPEN to help provide reassurance to authors and allay areas of concern.

Print is still highly valued by book authors, and in the short- to medium-term, at least, it will be important for OA book publishers to retain print options. Authors who had published OA books did place slightly less importance on print than other authors, however, suggesting that attitudes may be starting to change.

Re-use remains a contentious subject, with a high proportion of book authors objecting to both commercial re-use and to modifications of their work without their permission, although text- and data-mining is broadly supported. Our findings reinforce previous arguments that more nuance in licensing will be needed for books than the current journals policy landscape permits. The need for the ND licence to protect the precise form of expression of a work in the Humanities and Social Sciences is now increasingly acknowledged. However, policymakers will need to decide whether to sanction authors' dislike of commercial use of their work, given that the NC licence can prevent a wide range of re-use. Meanwhile, flexibility on licensing options will be needed from publishers.

Authors in North America reported higher levels of concern about quality, lower awareness of OA or self-archiving options, and lower awareness of funding available to them than those from other regions; they were also more likely to say they didn't have a view on OA issues, or that they were unsure. By contrast, authors in Europe were typically more knowledgeable about OA, and more open to OA publication and self-archiving. We also found indications of enthusiasm for OA books amongst authors in Asia, Africa and South America, although base sizes in the latter two regions were typically too small for us to report with confidence, and we hope more work can be done here. These regional differences suggest that the focus on OA by European policymakers is significantly influencing attitudes in this region. Differing policy and governance structures between countries and regions mean lessons learned in Europe cannot easily be carried across elsewhere, however.

We found that senior researchers – those with 25 or more years' experience – were consistently more sceptical about the benefits of OA for books, and less willing to pay for it, than their more junior colleagues. We find it encouraging that early and mid-career researchers are more positive about OA for books, as this suggests attitudes may be starting to shift. However, it will be important to try to change attitudes amongst more senior researchers, as this influential group can play a role in junior colleagues' publication decisions and career progression, and will help determine how much OA books are valued in by the researcher community.

Funding remains a challenge. Almost half of the authors we surveyed told us they did not have a funder outside of their institution, and being unable to pay an OA publishing fee was one of the top reasons authors gave for not publishing OA. However, the proportion of authors not willing to pay OA publishing fees was even higher, and free-text comments indicated concerns that publication fees could increase inequality and, in a fully-OA future, prevent some authors from being able to publish books; a small number of comments also questioned the supposed level of profit made by publishers. A large majority of authors surveyed told us that they wanted their funders to provide more financial support for OA books. Many authors indicated that they would be open to publishing their books OA, and there were high levels of support for gold OA policies, so increased funding streams, and perhaps new OA publication routes and models, are likely to lead to significantly increased take-up of OA for books. The onus is also on book publishers to provide a good service to authors and demonstrate the value they add.

Reaching a large audience and increasing interdisciplinary conversations about their work are the two things authors most hope to achieve when writing books. Given that OA has been demonstrated to increase usage, and that authors overwhelmingly believe that OA books achieve greater reach than non-OA books, this should point to a bright future for OA books. However, when deciding where to publish, authors prioritise publisher reputation above all. It is possible that current institutional reward structures and expectations about publishing routes may be blocking take-up of OA for books, by encouraging publication with presses that do not yet offer an OA option. Unpicking these issues, while ensuring we have robust measures in place to maintain quality in book publishing, will be key to increasing take-up of OA for books.

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Appendices

Appendix 1: Methodology

A.1.1 Procedure

To collect the data presented in this work, an online survey was designed and hosted on Qualtrics, a registered research platform (see [Appendix 3](#)). The survey was live from 18th February 2019 until 3rd March, 2019. It was distributed via email to subscribers on Palgrave and Springer marketing lists, and Springer Nature OA book authors who have opted in to receive marketing. It was also promoted via SpringerLink and SpringerOpen banner adverts, social media campaigns across Springer Nature accounts, social media adverts (Facebook and Twitter), and by third parties. All respondents were invited to take part in a prize draw (five gift cards worth 100 USD each) and were able to sign up to receive a copy of the survey report.

A.1.2 Completion rate and sample

In total, the survey was sent by Springer Nature via email to 133,140 recipients. From these and the other channels noted above, 5,509 recipients started to fill out the survey questions. 94% of these respondents came via the email link. We then excluded non-book authors from the analysis as this group was not our target group. Furthermore, we excluded respondents who did not finish the survey. The final sample comprised 2,542 book authors who completed the survey, which equates to a 1.9% completion rate based on our email campaign distribution list, although as noted the survey was also distributed through other channels. Throughout this report, the total number of respondents is reported per question, as not every respondent answered every single survey question.

Among the 2,542 book authors, there were 407 authors who previously published at least one OA book and 2,037 non-OA book authors. In addition, 917 authors had published one or more chapters OA in an otherwise non-OA book. 98 respondents who had published a book were not sure whether or not their book(s) had been published open access; these authors have been excluded from comparisons of OA and non-OA book authors. Not all authors answered all questions, so base numbers change throughout.

A.1.3 Analysis

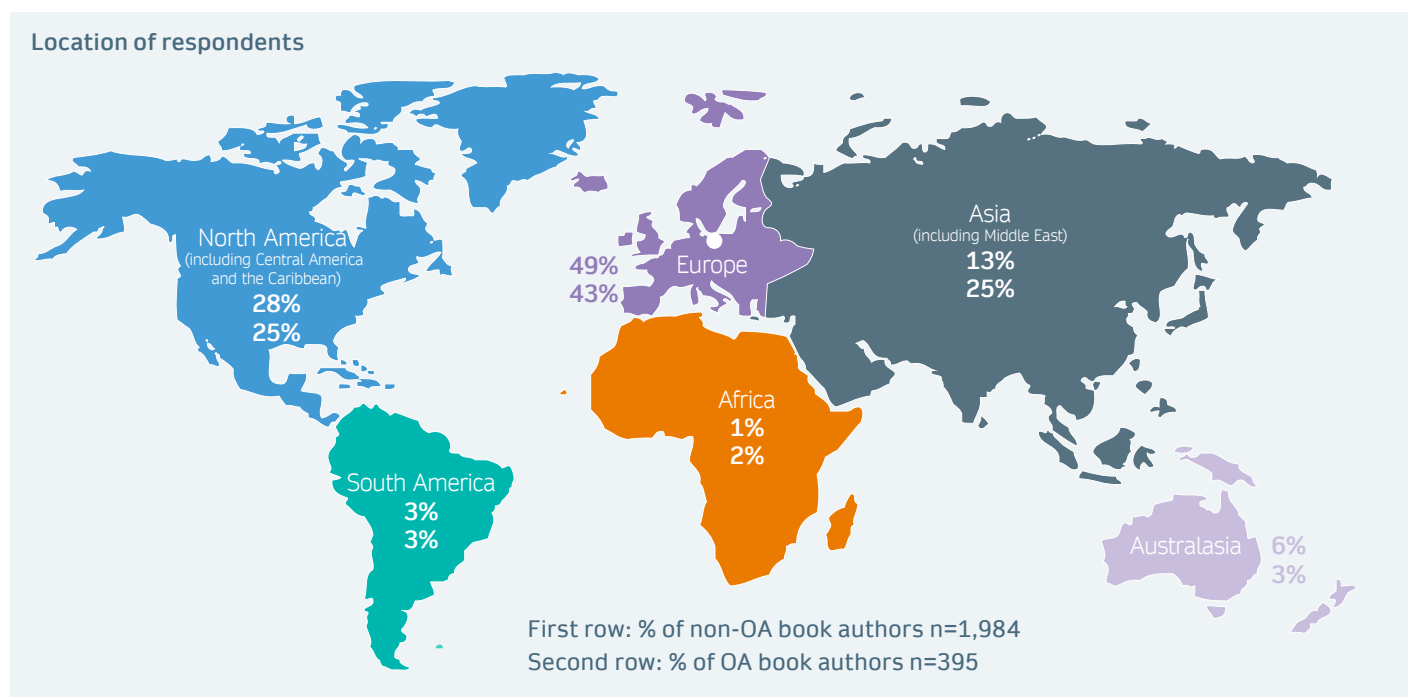
The data was analysed using Q Research Software. Where useful, the answers are shown by OA book authors vs. non-OA book authors. Furthermore, the data was analysed by region, seniority, and discipline. There is no differentiation between different types of books (such as monographs or textbooks) as we did not ask the respondents about the type of their published book(s).

Significance testing was based on $p = .05$ significance level. Significant differences were highlighted throughout this report, where there was a considerable base size (sample size per cell $> n=100$), or the actual sample size was reported.

The anonymised raw data is freely available through the figshare repository - see [Appendix 4](#).

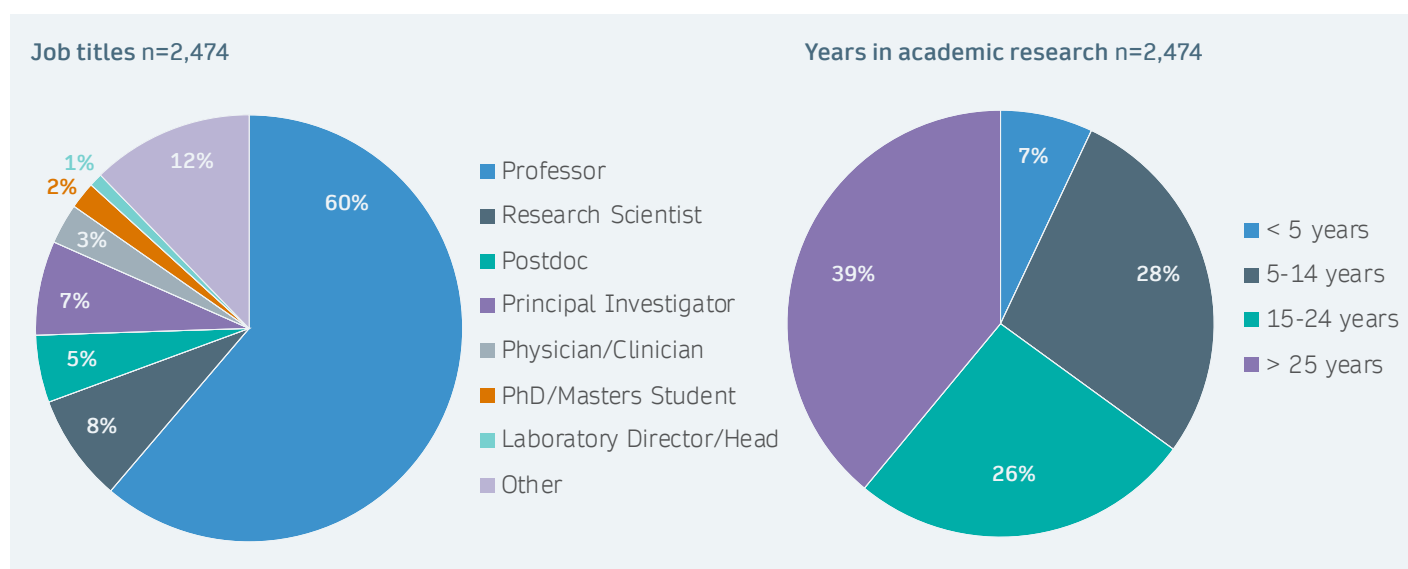
Appendix 2: Demographics

The survey respondents came from different regions.

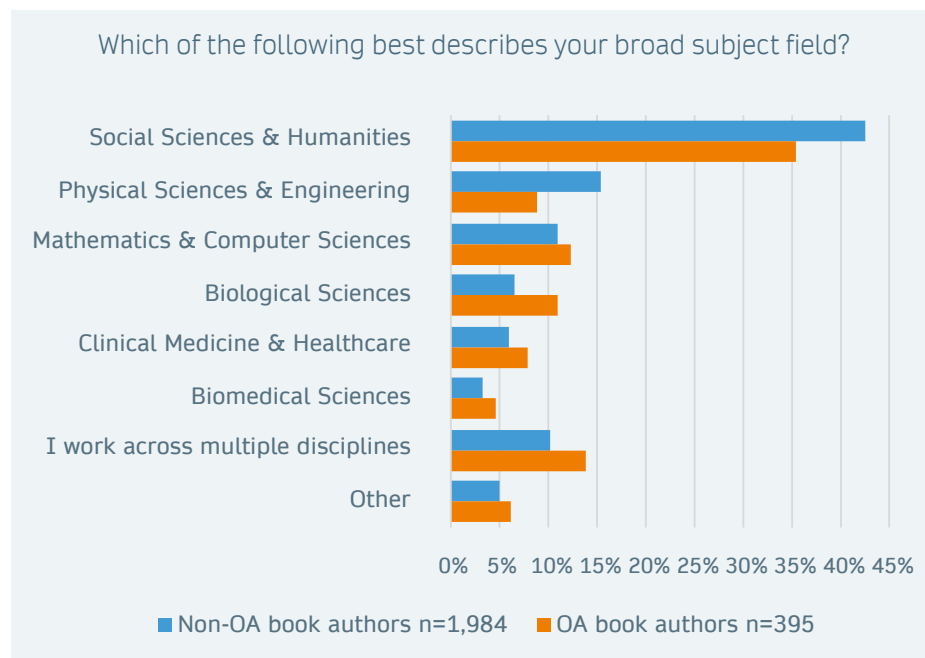


The 2,379 respondents of the question about location also varied in terms of years spent in academic research, although there were significantly more senior researchers among the respondents (more than 25 years in academic research: 39%, n=965), compared to all other age groups.

Throughout the report we looked at the breakdown of responses by seniority level. We therefore classified all respondents into the respective groups of years they spent in academic research (these groups are also reported alongside of the respective questions throughout this report).



With regard to discipline, the majority of respondents came from the Humanities and Social Sciences.



Appendix 3: Survey questions

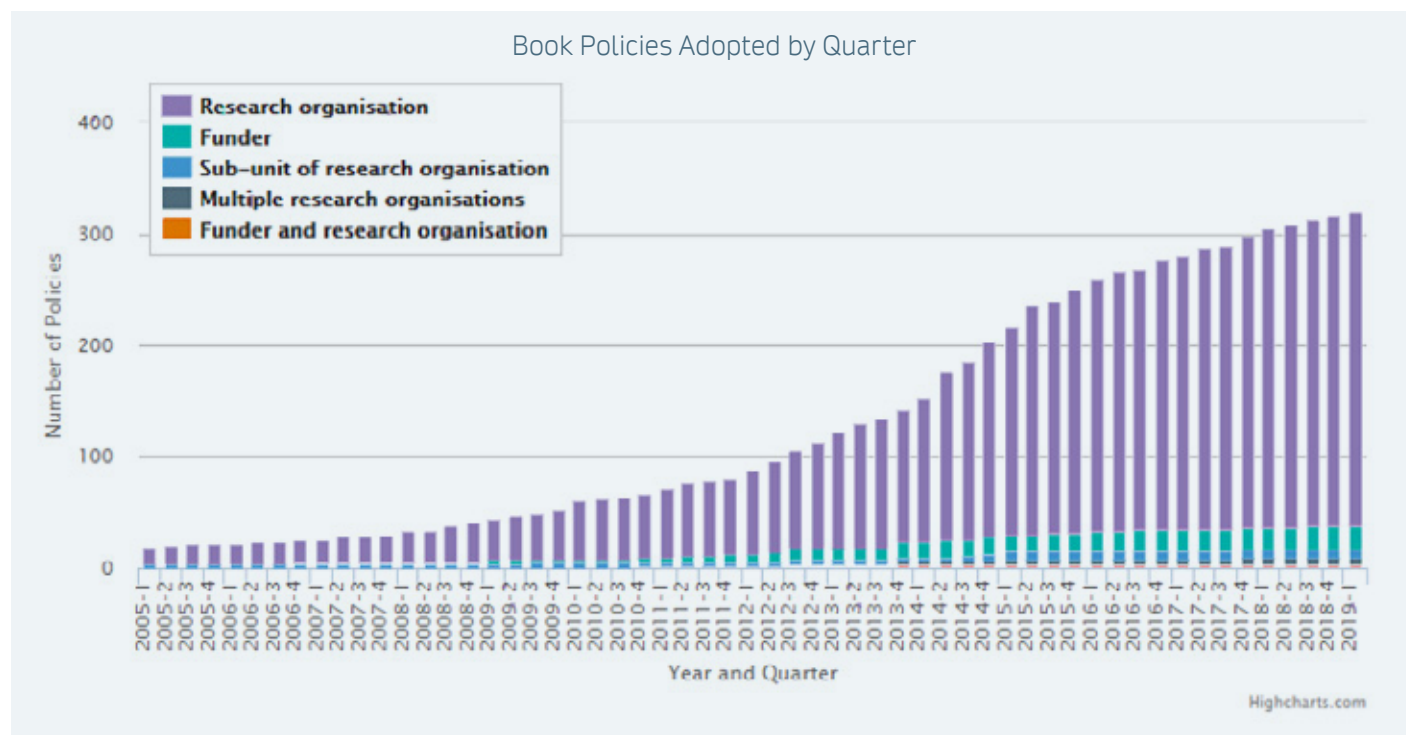
The survey questions are available from:
<https://figshare.com/s/2852d53a99b377cc08ab>

Appendix 4: Raw data

The anonymised raw data is available from:
<https://figshare.com/s/aed46050e7cd12b09cae>

Appendix 5: ROARMAP

Source: <http://roarmap.eprints.org>



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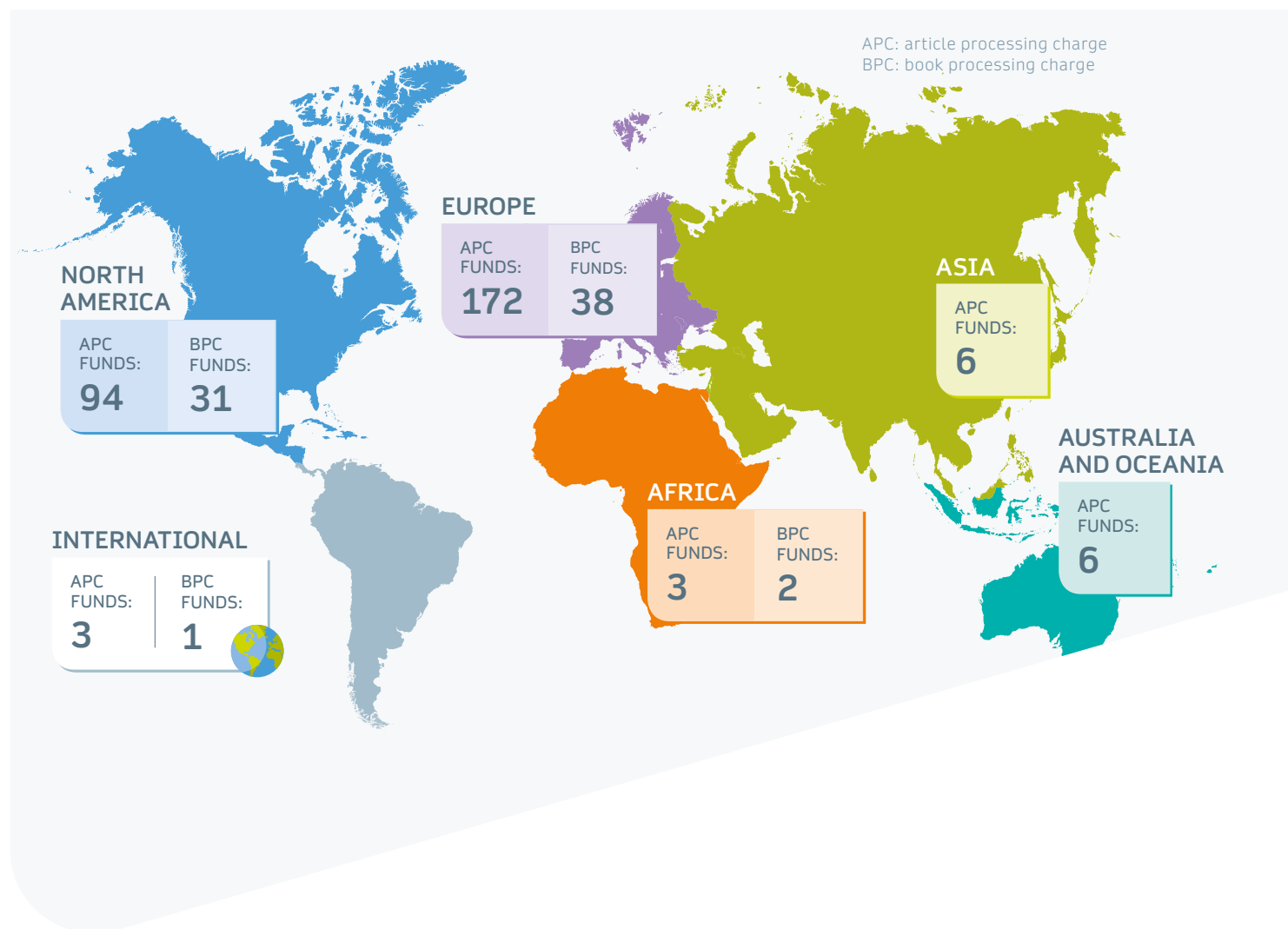
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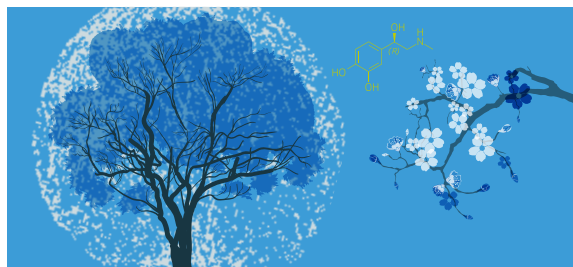
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Jokichi Takamine (1854-1922)

An applied chemist and entrepreneur, Jokichi Takamine improved the manufacture of Japanese paper, salt and sake and in 1887 established the first artificial fertilizer company in Japan. While studying whisky production, he discovered an *Aspergillus* species that secretes a potent starch-digesting enzyme, which he called Taka-Diastase. In 1894, he was granted a US patent for the manufacture of this enzyme. In 1900, he isolated the active ingredient of bovine adrenal extract, naming it adrenaline. Only three drugs have been used in the world for over a century: Taka-Diastase, adrenaline and aspirin. The first two are Takamine's achievements.

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