

# Open Access and Book Chapters

A report from the British Academy

October 2019



The British Academy  
10-11 Carlton House Terrace  
London  
SW1Y 5AH

[www.thebritishacademy.ac.uk](http://www.thebritishacademy.ac.uk)

October 2019

This report is licensed under a  
Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International License.

ISBN 978-0-85672-638-3

# Contents

Foreword	4
Executive Summary	6
1. Attempting a definition	8
2. Assessment of scale and profile	22
3. Analysis of book chapter publishers	30
4. Review of publishers' open access policies	38
5. Options for extending the use of open access	45
Consolidated list of recommendations	50
Appendix 1. Definitions of Outputs A-E for the 2021 REF	52

# Foreword

‘If you write a chapter for an edited book, you might as well write the paper and then bury it in a hole in the ground.’

Dorothy Bishop FRS FBA FMedSci

<http://deevybee.blogspot.co.uk/2012/08/how-to-bury-your-academic-writing.html>

For an eminent psychologist like Dorothy Bishop, book chapters are where you address the general public and the professional community, not places where you publish for the first time the fruits of original research. By contrast, I have just finished editing a special issue of a leading journal in my own field of linguistics where roughly a third of the work referenced by the contributors is in the form of chapters in books. Once again, as so often in debates about open access (OA), it is hard to generalise across disciplines. And in this connection, book chapters are an important yet surprisingly neglected form of academic writing. While there has been much discussion of whether the model of OA originally designed to deal with journal articles can be scaled up to incorporate monographs and other ‘long-form’ outputs, the issues that attend the definition and evaluation of book chapters have been overlooked.

For this reason, the present report was commissioned by UK Research and Innovation (UKRI) in July 2019 in order both to inform future OA policy in general and to underpin the specific decisions that the four UK HE funding bodies will need to take for the REF after next. Our remit was to provide a definition of what falls under the rubric of ‘book chapter’ and the different understandings of its role and function within the research and publication profiles of different disciplines. This qualitative part of the report is complemented by a quantitative analysis drawing on data from Researchfish and returns to REF 2014. In the light of this information, we offer a number of recommendations to UKRI and the four HE funding bodies in developing their policies for book chapters.

This study has been undertaken in a short timeframe, and does not represent an exhaustive consultation: it is by no means the last word on book chapters. But we offer it as a way of flagging the importance of this form of academic communication, and of making sure that it forms part of any future discussions about open access.

Special thanks therefore go to the British Academy staff involved in this report: Harriet Barnes (Head of Policy – Higher Education and Skills), who worked in particular on Chapters 2 and 3, and

James Rivington (Head of Publications), who worked in particular on Chapters 1, 4 and 5, and who co-ordinated the project.

We express our gratitude to Dr Peter Webster of Webster Research and Consulting Ltd, by happy coincidence author of a forthcoming book on *The Edited Collection*, who made valuable initial contributions, both in thinking about how to define the 'book chapter', and in looking at the available data sets to analyse the scale and disciplinary profile of the book chapters that have been reported as research outputs in recent years.

We are grateful too for the helpful comments from both academics and publishers, either in writing or at a small workshop held at the British Academy. We have included a number of these in the report in the form of anonymised quotations, which we feel provide a valuable subjective component to supplement its more statistical content.

Finally, we thank the British Academy's Open Access Working Group for commenting on drafts of this report, and approving its substance.

In the interests of transparency, in a report from the British Academy, we should acknowledge that our own oldest publication series, *Proceedings of the British Academy*, is an 'irregular' series of themed volumes, containing the sorts of 'book chapters' that are very much the subject of this report. The preparation of this report has been valuable in helping the Academy to think about its own approach to open access for this series.

NIGEL VINCENT

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

# Executive summary

This report has been commissioned by UK Research and Innovation (UKRI) in order both to inform future open access (OA) policy in general, and to underpin the specific decisions that the four UK higher education funding bodies will need to take for the REF after the 2021 REF, in respect of ‘book chapters’ published in edited collections.

There is need for a **definition of the ‘book chapter’** that distinguishes it appropriately from other types of output (such as the journal article) for reporting and assessment purposes, because such distinctions have relevance for discussions and stipulations about OA policies. This report offers the following definition of the ‘book chapter’:

*A book chapter is a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a tightly coherent, permanently identifiable set of contributions on a common theme, bearing an ISBN. An edited book collection of chapters may arise from a conference, but it is constructed as a publication in its own right, rather than reproducing the proceedings of the conference.*

The report also recommends that, handbooks and companions, which are subgenres of edited collections of book chapters, should be treated as ‘trade books’ in terms of OA policies.

**Book chapters are a major and constant form of research output**, with over 14,000 of them submitted to the 2014 REF. Their use as a tool of academic communication is not evenly spread across all areas of research, and they are perceived by some to lack the rigour of peer-reviewed journal articles. But there are disciplines where the edited collection is a highly regarded form when it is done well: a quarter of all the 2014 REF submissions in the arts and humanities were in the form of book chapters. Book chapters therefore definitely need to be brought within the scope of policies aimed at extending the use of OA.

**Quite small numbers of publishers seem to dominate the publication of edited book collections of chapters:** around 30 publishers being responsible for issuing around two-thirds of the book chapters submitted to the 2014 REF. But there is a ‘long tail’ of other publishers, often highly specialist, particularly those who have issued just one example of a book chapter submitted for assessment or reporting purposes.

**OA in respect of book chapters is much less developed than it is in respect of journal articles.** Both a cause and a consequence of this is that academics are not engaging with OA

possibilities for their chapters; and publishers too seem not to have given as much thought to OA for book chapters – and even when they have, their policies may not always be clear. This report recommends that publishers should aim to overcome any technical obstacles to extending OA to individual book chapters, and should be clear about their OA policies.

**Funders should look into the existing models for extending OA to book chapters, and should explore alternative models.** They should consider what funding might be needed to provide for processing charges to promote immediate OA of the version of record for outputs from Research Council grants, and they should consult with publishers and other stakeholders on the appropriate terms under which the ‘author accepted manuscript’ version should be made available. But this report recommends that consideration should be given to developing a ‘delayed OA’ model for whole edited book collections of chapters – under which the publisher’s version of record is made available after an initial embargo period in which the publisher is able to earn revenue – and that funders should consult on the implications of that.

# 1. Attempting a definition

A first objective of this ‘Open access and book chapters’ project is to attempt a definition of the ‘book chapter’, and to discuss the boundaries, blurred though these may sometimes be, which separate it from other forms of publication.

The wide range of formal research outputs have already been broken down into types for assessment and policy purposes: 21 were specified for the 2014 REF,<sup>1</sup> 22 have been defined for the 2021 REF<sup>2</sup> – both sets including ‘chapter in book’ as an output category. In addition, broader clusterings of publication outputs are referred to, such as ‘books (or parts of books)’ and ‘journal articles and conference contributions’,<sup>3</sup> distinctions that have relevance for discussions and stipulations about open access (OA) policies. The Plan S ‘Principles and Implementation Guidance’ draw distinctions between research outputs that are ‘journal articles’ and those that are ‘monographs and book chapters’.<sup>4</sup> It is therefore important that there is a definition of the ‘book chapter’ that distinguishes it appropriately from other types of output, to help the appropriate future framing and application of OA policies.

The book chapter presents a number of difficulties of definition, since it could be defined by means of combinations of more than one criterion, with varying results. We here build a definition by looking at functional aspects of the book chapter, in contrast with other categories of output. It should be noted that, while we assert that this definition is stable and useful in the majority of cases, there may certainly be found instances of publications that meet some or indeed all of these criteria but which may not be traditionally regarded as book chapters; we draw attention to these as we proceed.

## 1.1 Edited book collection of chapters vs authored book

All types of books may involve multiple authors, but we can distinguish straight away between the edited book with multiple contributors and the jointly-written book. In the former case, the contributions from each author are intellectually distinct and visibly so; jointly written works are

---

<sup>1</sup> REF 2014 ‘Output collection formats’ (<https://www.ref.ac.uk/2014/about/guidance/submittingresearchoutputs/>).

<sup>2</sup> REF 2021 ‘Guidance on submissions’, Annex K (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>). For convenience, the definitions of Output types A, B, C, D and E are reproduced in Appendix 1.

<sup>3</sup> REF 2021 ‘Guidance on submissions’, para 264c. The legacy RCUK policy on open access also distinguishes between a list of outputs that includes monographs and books, and ‘peer-reviewed research and review articles normally published in academic journals or conference proceedings’ (<https://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/>).

<sup>4</sup> <https://www.coalition-s.org/principles-and-implementation/>



most often jointly signed.<sup>5</sup> There therefore seems to be an uncontroversial distinction between the first two output categories defined for the 2021 REF<sup>6</sup> – Output A, the ‘authored book’ (‘An authored book written entirely by a single author or by joint authors who share responsibility for the whole book’),<sup>7</sup> and Output B, the ‘edited book’ (‘A book or volume in which individual chapters or contributions have been written by different authors’).<sup>8</sup> And, by extension, Output C, the ‘chapter in book’ (‘This category includes contributions to edited books’), seems clearly distinct from work contributed to a jointly ‘authored book’.

We might, then, start by saying that ***a book chapter is a written scholarly output*** that is issued ***together with similar outputs from other authors in a single publication.***

## 1.2 Edited book collection of chapters vs anthology

We can go on to add that an ‘edited book’ contains chapters whose content is being ***formally published for the first time.***<sup>9</sup> This distinguishes it from an anthology, which seeks to republish a selection of previously published papers, what one might call a ‘greatest hits’ collection.<sup>10</sup>

We recognise the degree to which notions of publication themselves are in flux.<sup>11</sup> There are plenty of ways in which scholars can air drafts, on their own websites, on disciplinary sharing websites, or as a ‘working paper’ (a common format in some disciplines); for early career researchers, text may have formed part of a thesis. But, in contrast to the chapter that finally appears in an edited book, these are not ‘formally published’, and will not be the versions that an author will submit for reporting purposes (e.g. for the REF) if a published alternative is available. Publishers can have quite liberal policies about the posting by authors of pre-refereed (preprint) versions of book chapters.

---

<sup>5</sup> One or more chapters in an edited collection may well, of course, be jointly written, but the volume as a whole is not.

<sup>6</sup> REF 2021 ‘Guidance on submissions’, Annex K.

<sup>7</sup> A valuable discussion on ‘Defining the monograph’ appears in ‘Open access and monographs: Evidence Review: A report from the Universities UK Open Access Monographs Group’, September 2019.

<sup>8</sup> For clarity, it should be noted that REF Output B, ‘edited book’, is quite distinct from Output R, ‘scholarly edition’.

<sup>9</sup> There may be occasions when, as a means of achieving fuller coverage, a previously published piece – perhaps a journal article – may, with permission, be included as a chapter in an edited book collection; obviously, that republished version is not what the author(s) of that specific chapter should use for reporting purposes (e.g. for the REF).

<sup>10</sup> It is possible that an anthology may contain a significant introduction that is a new piece of work. As a caveat, it should be noted that, while the English word ‘anthology’ typically has the sense we have defined here, the French word *anthologie* and the Italian word *antologia* may also be used for an edited book collection of new content.

<sup>11</sup> During the drafting of this report, a comment received is that OA may make possible new approaches to publication, in which a text is more fluid and there is less certainty in respect of fixed points of publication. We recognise this. But it may be that a specific iteration is identified for reporting or assessment purposes.

### 1.3 Edited book collection of chapters vs journal issue

How does a book chapter differ from an article in a journal or similar? An article, after all, is also a scholarly output, in written form, published together with others. And the short-form, article/chapter-type output is the dominant form of academic communication, as measured by submissions to the 2014 REF: Table 1.1 shows the number of submissions, by unit of assessment, for Output C ('chapter in book'), Output D ('journal article'), and Output E ('conference contribution') – together making up 90% of all the submissions (indeed, over 99% in Panels A and B).<sup>12</sup>

But what distinguishes chapters in books from the greatly more numerous journal articles? The difference does not lie in the output itself, since the same writing may well be published as a journal article or book chapter with relatively slight modifications. So, we must look instead at the nature of the group of outputs as a whole, and their means of publication, to develop our definition.

An edited book collection of chapters will have a much more tightly defined theme than would be the case for a whole journal issue. It is very likely to have been brought together by one or more academic editor in response to their perception of a need to address a particular topic at a particular time. Such collections can and do become markers in the development of a field, providing answers to questions too large or too multifaceted to be dealt with by one author in monograph form. Its strength lies in the focused treatment of a subject through multiple viewpoints, ideally with an emphasis on original research and pushing forward boundaries.

Therefore, in order clearly to distinguish chapters in books from the bulk of articles in normal journal issues, we might add to our definition that the published set of scholarly outputs will be ***on a common theme***.

*Definition complication.* A few 'journals' are sold not through the traditional subscription model, but as individual books. Examples include *American Educational History Journal* and *Haskins Society Journal* (both issued annually); it may be noted that, for the 2014 REF, content from each was submitted as Output C, 'chapter in book', rather than as Output D, 'journal article'.

---

<sup>12</sup> For publications recorded on Gateway to Research, the public database of UKRI funded projects (from 2002), comparable categories account for 95% of outputs.

TABLE 1.1: Submissions of Output types C, D and E to the 2014 REF

	Output C <i>Chapter in book</i>	Output D <i>Journal article</i>	Output E <i>Conference contribution</i>
All Panels	14,396	154,854	2,750
<b>Panel A</b>	<b>55</b>	<b>50,044</b>	<b>40</b>
1 Clinical Medicine	-	13,382	7
2 Public Health, Health Services and Primary Care	-	4,861	4
3 Allied Health Professions, Dentistry, Nursing and Pharmacy	25	10,249	14
4 Psychology, Psychiatry and Neuroscience	16	9,086	4
5 Biological Sciences	6	8,582	4
6 Agriculture, Veterinary and Food Science	8	3,884	7
<b>Panel B</b>	<b>210</b>	<b>46,516</b>	<b>2,097</b>
7 Earth Systems and Environmental Sciences	22	5,200	4
8 Chemistry	1	4,688	2
9 Physics	1	6,376	18
10 Mathematical Sciences	36	6,731	17
11 Computer Science and Informatics	112	5,551	1,898
12 Aeronautical, Mechanical, Chemical and Manufacturing Engineering	9	4,101	24
13 Electrical and Electronic Engineering, Metallurgy and Materials	3	3,982	28
14 Civil and Construction Engineering	9	1,348	16
15 General Engineering	17	8,539	90
<b>Panel C</b>	<b>4,128</b>	<b>42,545</b>	<b>233</b>
16 Architecture, Built Environment and Planning	266	2,934	77
17 Geography, Environmental Studies and Archaeology	459	4,969	23
18 Economics and Econometrics	28	2,388	2
19 Business and Management Studies	179	11,668	52
20 Law	1,219	3,454	1
21 Politics and International Studies	415	3,082	1
22 Social Work and Social Policy	435	3,703	5
23 Sociology	230	2,002	1
24 Anthropology and Development Studies	316	1,355	1
25 Education	548	4,322	64
26 Sport and Exercise Sciences, Leisure and Tourism	33	2,668	6
<b>Panel D</b>	<b>10,003</b>	<b>15,749</b>	<b>380</b>
27 Area Studies	414	975	4
28 Modern Languages and Linguistics	1,397	2,380	44
29 English Language and Literature	2,026	2,472	11
30 History	1,815	2,832	20
31 Classics	517	401	5
32 Philosophy	525	1,344	2
33 Theology and Religious Studies	492	579	6
34 Art and Design: History, Practice and Theory	1,133	1,657	198
35 Music, Drama, Dance and Performing Arts	873	1,264	41
36 Communication, Cultural and Media Studies, ...	811	1,845	49

(The above 'Unit of Assessment' numbers 1-36 are used elsewhere in this report, in particular in Tables 3.2-3.4.)

#### 1.4 Edited book collection of chapters vs journal special issue

A forthcoming study from Peter Webster on *The Edited Collection* has stressed the value placed by scholars (in the humanities in particular) on the collective nature of these volumes – the degree to which the juxtaposition and indeed conscious dialogue between chapters gives the whole a value over and above the sum of its parts.<sup>13</sup> And in this respect, the distinction between an edited collection and the themed *journal special issue* comes into view more clearly.<sup>14</sup>

Chapters themselves may often be of a character such that they may well have been published as journal articles; indeed, editors with a set of papers in hand may choose to pursue either option. That decision will tend to be influenced in practice by a variety of factors. Considerations of timeliness may favour the journal special issue, considerations of length may favour a book. A journal may be attractive because of its guaranteed access to a particular constituency of subscribers; a book may provide a one-off means of reaching beyond such predefined sets of readers. Often, the decisive factor may simply be disciplinary norms: subjects such as Economics just don't do books; within the Geosciences, academics may prefer journals, but engineers and industry practitioners may prefer the prestige of a book.

But we can say that, while both genres require a thematic coherence, the structure of an edited book collection is likely to be tighter, and expectations of comprehensiveness in coverage of the theme are higher. The motivation for ensuring that a book is not loose in structure and coverage is not simply intellectual: whereas the sale of a journal special issue is traditionally guaranteed through journal subscribers, a book has to fight for its place in libraries' and individuals' book budgets and needs its pitch to be compelling. As one university press publisher put it, 'There is a lot of scepticism generally about edited books, their visibility and value, so publishers try to encourage editors to do all they can to ensure coherence, consistency, that the chapters talk to each other, and that they are genuinely adding value, so that the whole is more than the sum of its parts.'<sup>15</sup>

As part of its rigorous shaping, an edited collection may often (but not always) include a substantial introduction by the editor(s). This not only introduces the individual contributions but defines the issues under examination, discusses the current state of knowledge about those questions, draws

---

<sup>13</sup> P. Webster, *The Edited Collection: Pasts, present and future* (Cambridge University Press, forthcoming), *passim*.

<sup>14</sup> Some journals wholly have the character of a series of journal special issues. Examples include the Royal Society's *Philosophical Transactions A*, *Philosophical Transactions B* and *Interface Focus*, all of which consist of themed issues that are derived from scientific meetings or are guest-edited collections of reviews on a particular subject.

<sup>15</sup> As we shall see later, publishers are mindful of the added value of the interconnectedness of the content – which is why they may seek in their Green OA policies to prevent the easy linking and re-assembly of repository versions of a volume's chapters. There is a tension here with the merits of presenting chapters in their connected context.

out the implications of the chapters and indicates the future direction of research. Journal special issues may also have significant introductions, but a strong introduction of the kind just described is likely to be a desideratum of a publisher considering a proposal for an edited book collection. These introductions are often research outputs in themselves; however, this study has not attempted to identify these at scale among the mass of publications designed as chapters in the available data, so we do not assess them separately.

In general, edited collections are self-contained and closed, rather than forming part of an ongoing sequence of volumes on the same subject. They may appear as volumes in irregular book series from particular publishers focused on broader themes, which may also include monographs. But this self-contained nature perhaps provides another way of distinguishing them from journal special issues. A journal ideally forms part of how a disciplinary community expresses its identity and engages in dialogue with itself, and special issues make a contribution to that. The more solitary nature of the edited collection, or its looser linkage within a book series, means that edited collections do not have such a strong role in respect of established communities – though a volume may have the function of defining its own, sometimes more interdisciplinary, community.

The next addition to our definition might be that an edited book should be made up of a collection of chapters ***forming a tightly coherent, permanently identifiable, set of contributions***.

*Definition complication.* Some journals, while operating under the normal subscription model for their main issues, have themed ‘supplementary series’ which are instead only sold as individual books. Examples include *Cambridge Classical Journal* Supplementary volumes, *Journal of Indo-European Studies* Monograph series, *Journal of Roman Archaeology* Supplementary series, and *Journal of Semitic Studies* Supplement series; for the 2014 REF, content from each of these was submitted as Output C, ‘chapter in book’, rather than as Output D, ‘journal article’.<sup>16</sup>

### **1.5 Edited book collection of chapters vs ‘conference proceedings’**

One significant difficulty in definition is the varied practice between disciplines in relation to the publication of papers presented at conferences, and the names that those publications are given. Because ‘*conference proceedings*’ is a term used both by UKRI (in the RCUK legacy policy) and in

---

<sup>16</sup> As a further complication, it may be noted that there are instances where a special issue of a journal is subsequently (or simultaneously) published as a book, where there is a marketing/sales justification for doing so – the ‘special issue as book’ model. And that dual model can apply to a whole ‘supplementary series’. The *Past & Present* Supplement series forms part of the journal’s subscription but is also separately purchasable as individual books; and, although *Past & Present* Supplement content mainly appears in the REF 2014 submission data as Output D, ‘journal article’, some appears as Output C, ‘chapter in book’ (and one Supplement as Output B, ‘edited book’).

the context of the REF, with OA policy implications,<sup>17</sup> it is worth spending a little time trying to tease out the distinctions.

Although there may be some scepticism about the quality of publications that are derived from conferences ('just everything gets published'), such meetings are a regular source of content for edited book collections of chapters.

As Peter Webster has shown, the relationship between conferences and publications varies widely in the humanities and social sciences. Some volumes are planned before a conference takes place, with the event being consciously curated by the editors as something of an editorial workshop, and with speakers invited to deliver what are in effect first drafts of their chapters, which are then discussed. For others, the intent to publish is conceived or confirmed only after the conference – indeed, publication may not be pursued at all if the papers delivered at the event fail to cohere, or cohere in a different way to what may have been expected. However, regardless of the point in time at which the publication was conceptualised, there tends to be significant divergence between the event and the content of the publication. Not necessarily all papers presented will be included, and the publication may also include papers not presented but subsequently commissioned by the editors. In both cases, the peer review of the material for publication takes place after the event, and indeed some time later, with a lapse of a year – often more – between event and the volume appearing. As such, the structure and substance of the volume may be significantly different from those of the original event. Indeed, publishers often require such a reconfiguration, to guarantee the level of tight coherence that we identified in the previous section, before they will accept the volume.<sup>18</sup>

By contrast, a model which is less frequent in the humanities and social sciences but common in some other science disciplines is the 'conference proceedings'. Here, papers tend to be reviewed before the event, and are published either during or shortly after it. The volume, which may be part of what delegates receive as part of the conference package, perhaps funded by a conference sponsor, takes on the character of being a record of the event. In general, all (or nearly all) papers that are accepted for the conference after passing peer review will be included in the proceedings. In some fields, for example computer science or engineering, there are very highly-rated annual conferences where it is hard to get a contribution accepted in response to the call for papers, and these carry considerable prestige.

---

<sup>17</sup> For the 2021 REF, research outputs that are 'journal articles and conference contributions' must 'be made open access for those outputs to be eligible for submission'. REF 2021 'Guidance on submissions', para 108.

<sup>18</sup> Manchester University Press's webpage 'Framing and proposing an edited volume for publication' is a good sample statement of a publisher's desiderata for an edited collection, whether it comes from a conference or not (<https://www.manchesteruniversitypress.co.uk/articles/framing-and-proposing-an-edited-volume-for-publication/>).



The definition of Output E, ‘conference contribution’, that has been provided for the 2021 REF (see Appendix 1) suggests that the publication format of ‘conference proceedings’ may include a ‘book or a monograph’. But we think that there is a definable distinction in character between papers included within volumes of ‘conference proceedings’, and chapters in edited books that have involved conferences as part of their evolution, and this distinction is of particular relevance in the context of defining OA policies.

So we may qualify our evolving definition by saying that ***an edited book collection of chapters may arise from a conference, but it is constructed as a publication in its own right, rather than reproducing the proceedings of the conference.***

What is clear is that practice and terminology vary between disciplines, and between reporting situations. There is an apparent mismatch in scale between items identified as ‘Conference Proceeding/Paper/Abstract’ in the Gateway to Research (GtR) public interface, and those submitted to the 2014 REF as output type E (‘conference contribution’). The latter totalled only 2,750 items across all panels (see Table 1.1), or 1.4% of all outputs. By contrast, the public GtR interface reported some 61,551 such items (although this does capture data over a far greater timeframe, dating back to 2002). Of outputs of this form submitted to the REF, 76.3% were submitted to Panel B (and there, overwhelmingly in ‘Computer Science and Informatics’), 13.8% to Panel D, and 8.5% to Panel C.<sup>19</sup>

*Definition complication.* Distinguishing between an edited book collection of chapters and a conference proceedings volume may not always be obvious. Let us look at just one example taken from the 2014 REF data. For *ECAI 2012: 20th European Conference on Artificial Intelligence*, the submission deadline for papers was in March 2012, final versions were due in June, with the conference itself being held in August 2012. From 563 papers submitted, after review 163 were ‘accepted for presentation and included in the proceedings ... in a final acceptance rate of 28.5% for long papers and 32.3% for short ones’.<sup>20</sup> The proceedings were published (OA) within 2012 in the IOS Press book series *Frontiers in Artificial Intelligence and Applications*. This seems a clear-cut example of what we have defined above as a ‘conference proceedings’, even though it has been published as a volume within a publisher’s ‘book’ series. Yet, content from this was submitted to

---

<sup>19</sup> This disparity of scale possibly reflects the far greater likelihood that outputs recorded in GtR are not necessarily in written form as its purpose is to record all outputs from a research grant, which may emanate from all stages of the research process, not just those that are submitted for assessment in the REF, which are more likely to be summative. A sampling of the GtR data showed that, of publications classified as ‘Conference Proceeding/Paper/Abstract’, some 70% of those arising from projects funded by the Biotechnology and Biological Sciences Research Council had data indicating that those outputs were formally published (i.e. rather than simply being an oral presentation), compared to only 10% from Arts and Humanities Research Council projects.

<sup>20</sup> Introduction, *ECAI 2012* (<http://ebooks.iospress.nl/volumearticle/7136>).

the 2014 REF both as Output C, ‘chapter in book’, and as Output E, ‘conference contribution’ – and there are plenty of other similar examples where those submitting to the REF have diverged in which output category they have opted for. The boundary between the ‘book chapter’ and the ‘conference contribution’ is perhaps the most blurred, the least easy to define with clarity – and yet it matters because of the way that ‘journal articles’ and ‘conference proceedings’ are conflated within OA policies. It is perhaps again worth pointing out that the Plan S Implementation Guidance makes no mention of ‘conference proceedings’, and has therefore perhaps (so far) avoided introducing a complication.

### 1.6 ISBNs and ISSNs

It may be hoped that use of the International Standard Book Number (ISBN) and of the International Standard Serial Number (ISSN) can help shed light on the character of a publication in which a particular output appears. The 2021 REF ‘Guidance on submissions’ certainly uses the term ISSN where OA policy is discussed in connection with ‘journal articles and conference contributions’; it uses the term ISBN once as a possible alternative element in its definition of ‘conference contribution’.<sup>21</sup> But can an ISBN or ISSN be used as a convenient proxy for identifying whether a publication is an edited book rather than a journal special issue or conference proceedings?

While it is true that the ISSN is used ‘to identify newspapers, journals, magazines and periodicals of all kinds’, more broadly it identifies ‘all continuing resources’ – that is, ‘a resource, on any medium, that is published over time without a predetermined end’.<sup>22</sup> And as one type of ‘continuing resource’, a serial publication ‘is an unfinished set of documents, published successively under the same title, for an undetermined period of time’. The type of publication series that is able to have an ISSN can range way beyond the list of usual suspects.<sup>23</sup> Therefore an ISSN doesn’t automatically signify a journal rather than a series of books, or even that a series of books has article-like content.

---

<sup>21</sup> The term ISSN is used in 2021 REF ‘Guidance on submissions’, paras 108, 223 and 238, and in Annex K; the term ISBN is used in Annex K. The purpose of the references to ‘an ISSN’ across the ‘Guidance’ is not wholly clear. The wording in para 223 – that the requirement to comply with OA policy applies where ‘the output type is a journal article with an ISSN or the output is a conference contribution in conference proceedings with an ISSN’ – may suggest that the existence of an ISSN helps identify these two output types. However, the wording in para 238 – ‘Only outputs which have been “accepted for publication” (such as a journal article or conference contribution with an ISSN) are within the scope of the REF 2021 open access policy’ – may suggest that the ISSN is actually just to be used as a marker that an output has been formally published.

<sup>22</sup> <https://www.issn.org/understanding-the-issn/what-is-an-issn/>

<sup>23</sup> For example, *Early English Church Music*, an open-ended series of scholarly editions published by the British Academy, has an ISSN. These would be categorised as REF output R.



In contrast, the ISBN is assigned to ‘text-based monographic publications (i.e. one-off publications rather than journals, newspapers, or other types of serials)’.<sup>24</sup> Indeed, ‘any book made publicly available, whether for sale or on a gratis basis, can be identified by ISBN’. And in practice an ISBN is ‘essentially a product identifier used by publishers, booksellers, libraries, internet retailers and other supply chain participants for ordering, listing, sales records and stock control purposes.’

So, we can say that, as a minimum requirement, an edited book collection of chapters, being a separately acquirable item, will be a publication **bearing an ISBN**.<sup>25</sup>

The terms ISBN and ISSN may have use in REF definitions as markers that an output has been issued in a formal publication context, but *they can play no decisive role in distinguishing what is or isn't an edited collection*. Such a volume, with its own ISBN, may appear within a book series that has an ISSN. And, while the serial nature of, say, a journal supplementary series may be identified by an ISSN, individual issues/volumes within the series may carry an ISBN if they are available for separate sale – even if their primary business model is as part of what subscribers to the whole series would receive. The wording used in the submission guidance for future REFs could helpfully avoid giving any impression that the existence of an ISBN or an ISSN may help distinguish between output types.

### 1.7 Some special subgenres of the edited book collection

#### *Festschrift*

One subgenre is the *Festschrift*, the collection of writings assembled in tribute to a particular scholar at or nearing the end of their career. The process of selection of material to include is quite distinct, being the particular interests of an individual rather than a subject, although the two do sometimes coincide – as is the selection of authors, with invitations to contribute being extended to those with a close professional association with the individual (e.g. colleagues or former students). In publication terms, however, they are harder to distinguish from the general run of book chapters, either in terms of our definition or in the available data in practice. Some 407 book chapters submitted to the 2014 REF are in volumes that are openly identifiable as *Festschriften*<sup>26</sup> –

<sup>24</sup> <https://www.isbn-international.org/content/what-isbn>

<sup>25</sup> During the drafting of this report, one comment received is that it may seem inappropriate to include the ISBN in a definition being compiled for OA purposes, because it is a term too closely associated with print, and with sales – although it is widely applied to non-print formats, including OA ones. We would not push for inclusion of the ISBN in the definition if there were serious concern that eligible outputs might be excluded. In such instances it may be that an alternative unique identifier, such as the Digital Object Identifier (DOI), could be used instead as some marker of ‘formal’ publication.

<sup>26</sup> For example, volumes with titles clearly stating that they have been put together ‘in honour of’, to celebrate someone’s *n*th birthday, or to mark a retirement.

that is about 2-3% of all chapters, consistent across all four Panels. However, academic publishers can be wary of *Festschriften*, because of perceptions that they may not meet the standards of quality or coherence expected of other edited collections ('loosely compiled ... not cohesive', 'full of nobody-cares articles'), and either refuse to publish them at all or do so only if their honorific nature is not overt. It is therefore possible that more book chapters in the 2014 REF data are contained within disguised *Festschrift* volumes.<sup>27</sup>

We take *Festschriften* to be 'within scope' as a type of edited collection (and without needing to make specific mention of them in our evolving of definition).

### *Companion, Handbook*

In the past two to three decades the genre of the '*Companion*' or '*Handbook*' to a particular subject has established itself, certainly in the humanities and social sciences but also more widely. 'People like 600- or 700-page books that seem to be the "last word" on a subject; and librarians really like them.' These are distinguished from the encyclopedia or dictionary<sup>28</sup> by the fact that they contain contributions of a length comparable to a journal article – some up to 10,000 words long. Peter Webster has argued (for the humanities) that, while chapters in these volumes are very different in tone and content from a typical research article, many contain significant new research. As such, they are widely regarded as a research output of a particular kind, and might well have been published instead in a journal as a 'review article' or similar.

At the volume level, handbooks and companions tend to perform two functions. The first is summative – an assessment of the state of research in a field – and as such, the expectation of comprehensiveness of coverage is at its highest. The second function is formative – the identification of future research directions. At this point, it may be possible to discern a difference between these volumes and the genre of the textbook for teaching, since the textbook is usually summative in intent.<sup>29</sup> However, this dichotomy between summative and formative functions should not be overstressed, since many edited volumes aspire to the former to some degree, and handbooks concerned with new or fast-developing fields tend to be more formative (and to contain a greater proportion of fresh research).

---

<sup>27</sup> Methods of disguise will include the omission of a *Tabula Gratulatoria*, listing those interested parties who have accepted an advance invitation to buy a copy at discount.

<sup>28</sup> The 2014 REF data contains small numbers of 'book chapters' (no more than 30 in all) in volumes that are clearly encyclopedias or dictionaries.

<sup>29</sup> It is true that some publications labelled as textbooks contain original research. For example, the series *Cambridge Textbooks in Linguistics* contains a number of items that are full of original research and ideas, but with associated background narrative and exposition that might not be found in a simple monograph. But a simple search of the 2014 REF submission data yielded only one example of Output C, 'chapter in book', in what was overtly a 'Textbook'.

A distinctive characteristic of a handbook or companion is that it is likely to have been a specially commissioned work, with a high degree of curation and co-ordination by the publisher and by the editors (for whom an invitation to edit such a volume is a mark of professional esteem).

The available data does not easily reveal to what extent the contributions to these volumes are the product of research grants, or are submitted to the REF. However, a review of a sample of the GtR data suggests that, when chapters in these volumes are the result of funded projects, on the whole they are classified as ‘book chapters’ (or as ‘edited books’ if submitted as a whole). The same broad pattern emerges from a review of the data for the 2014 REF: a simple search to reveal examples of Output C, ‘chapter in book’, in publications that were overtly a ‘Companion’ or ‘Handbook’ found 395 social science examples (Panel C), and 776 arts and humanities examples (Panel D) – that is about 8% of all the chapters from those two Panels.<sup>30</sup> To those could reasonably be added a number of comparable collaborative ‘History of...’ volumes, examples of which are clearly present in the REF data, but which are less easily distinguished from other history titles.

In terms of extent and research content, contributions to companions and handbooks may be thought to have the character of chapters in edited books, and therefore ‘within scope’ of our definition. But, because we are asking these questions in the context of OA policies, we might follow up by looking again at the nature of these types of volumes. They are not the same as other multi-author edited books. They are significant publication projects that publishers embark upon, and in which they invest time and effort – in the expectation of good sales. One academic publisher said of their handbook series that it ‘is by far our most lucrative and well-known series. It’s really time-consuming in terms of commissioning and bringing them together, but we find it really worthwhile. We do second editions, and we always do paperbacks, so they have a long shelf-life.’ Of this type of publication, another publisher said: ‘they’ve been tremendous for us.’ And comparable major ‘History of...’ volumes have the same intent and profile: ‘The original quite expensive hardback “History of...” title we’ve just published – a prestigious, once-in-a-generation title – has sold like a trade book, and we are pricing the paperback in the expectation of a very substantial general readership.’ Just as ‘trade books’ might be thought of differently in terms of OA policies for monographs, so we recommend that contributions to companions, handbooks and equivalent publications might be thought of differently in respect of OA policy for book chapters.

## **1.8 Conclusions and recommendations**

Those who are developing policies for OA have recognised that the ‘book’ business model is different to the journal one, and that particular thought needs to be given to how best to extend OA

---

<sup>30</sup> There were just 12 overt ‘Companion’ or ‘Handbook’ examples among the data from Panel A and Panel B.

to book content. Whereas a monograph is a more obviously distinctive format, a chapter in an edited book collection can seem like other outputs that aren't published in books. We have therefore explored different approaches to defining chapters in edited books, and distinguishing them from similar content in comparable forms of publication. And we have identified various elements that can be built into a definition for the 'book chapter'.

**Recommendation 1-A.** *The following definition should be adopted for reporting and assessment purposes: 'A book chapter is a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a tightly coherent, permanently identifiable set of contributions on a common theme, bearing an ISBN. An edited book collection of chapters may arise from a conference, but it is constructed as a publication in its own right, rather than reproducing the proceedings of the conference.'*

The above definition seems valid in terms of the general role and functionality of the book chapter, and we offer it as an aid for those seeking to identify one in the great majority of typical cases.

But we have also pointed out a number of complications, of grey areas where different forms of publication output overlap in their characteristics, and where real-world divergences from typical practice then inconveniently muddy what should be clear distinctions. And we have not arrived at a definition that would enable, for example, someone submitting article/chapter-type content to the REF to determine – *with certainty in all cases* – how that output should be categorised.

We have said there are particular complications in respect of whether an output is a book chapter or a 'conference contribution' – and that this matters because specific OA policies apply to 'conference proceedings'. It is perhaps inevitable that someone forced to distinguish may simply look at 'what it says on the tin', so to speak. That person may determine that a volume that, for marketing reasons, positively embraces on its title page its association with a conference (as opposed to one that, for contrasting marketing reasons, only makes reference in the prefatory material to the fact that a conference has formed some part of the volume's back story) is clearly self-described as 'conference proceedings' – regardless of whether in fact it is sold as a book. But we have argued that there is a valid and definable distinction between papers included within volumes of 'conference proceedings', and chapters in edited books that have involved conferences as part of their evolution; and we believe that the 2021 REF definition of Output E, 'conference contribution', does not help make that distinction.

**Recommendation 1-B.** *For the REF after REF 2021, ‘conference proceedings’ should be clearly defined to refer to the type of publication that is issued during or shortly after a conference as a record of the event, with the selection of content having preceded the conference.*

We have looked at some special subgenres of the edited book collection. In the case of companions or handbooks, we have noted that the contributions to them can have the character of book chapters. But we have also noted that publishers put together such volumes to make up a particular strand in their catalogue, distinct from the more typical edited collection of academic research outputs.

**Recommendation 1-C.** *Consideration should be given to regarding companions, handbooks and equivalent publications as a category of ‘trade books’, and treating them the same in terms of OA policies.*

## 2. Assessment of scale and profile

### 2.1 How many book chapters are published?

UKRI's Gateway to Research portal (GtR, the publicly available database of projects funded by the UKRI Research Councils) records some 21,777 items designated as book chapters published between 2008 and 2019 inclusive.<sup>1</sup>

The data for the 2014 REF suggests a slightly larger scale of book chapter publishing, as one would expect.<sup>2</sup> Some 14,396 chapters (Output category C) were submitted, including reserves for double weighting. When understood as the output of five years (as opposed to the 11-12 years covered by the GtR data) it gives a closer indication of the absolute scale of the format.

However, it is clearly the case that by no means all published outputs are submitted to the REF, as it is by nature a selective exercise, and (furthermore) it is difficult with the data currently available easily to determine the scale of published outputs that are not submitted.<sup>3</sup> These REF figures should therefore be taken as indications of very much the *lower* bound of the scale of book chapter publishing, rather than as a central estimate.

### 2.2 What is the scale of book chapter publishing across disciplines?

#### *Funded projects*

For funded projects, over three-quarters of the book chapters recorded were the result of projects funded by just three of the Research Councils: EPSRC (32.8%), ESRC (24.9%) and AHRC (23.1%) – see Figure 2.1.

---

<sup>1</sup> This figure includes those items for which a publication date was not recorded. The information held in Gateway to Research, and in the database which sits behind it, Researchfish, has limitations: data quality and completeness is variable as it depends on self-reporting, and reporting only became compulsory in 2012. Nevertheless, it is a valid source for considering overall questions of scale and profile relating to outputs deriving from Research Council funded projects.

<sup>2</sup> This analysis uses the publicly available data of items submitted to REF2014 (available via <https://www.ref.ac.uk/2014/>). That data records all items submitted, but does not record which items were accepted as double-weighted and (as a result) which of those submitted as reserves were not in fact assessed. As a result, some of the numbers in this report do not match those included in the various published reports of the panels. We assert, however, that for the purposes of assessing patterns of publication, the data used is the most appropriate.

<sup>3</sup> The question might be addressed using British National Bibliography data (for edited volumes) and existing bibliographies for particular disciplines such as the Bibliography of British and Irish History (for individual chapters). However, by no means all disciplines are so served. See the discussion in Tanner, *An analysis of the Arts and Humanities submitted research outputs to the REF2014 with a focus on academic books* of the challenges and limitations of attempting to do this for books/monographs.

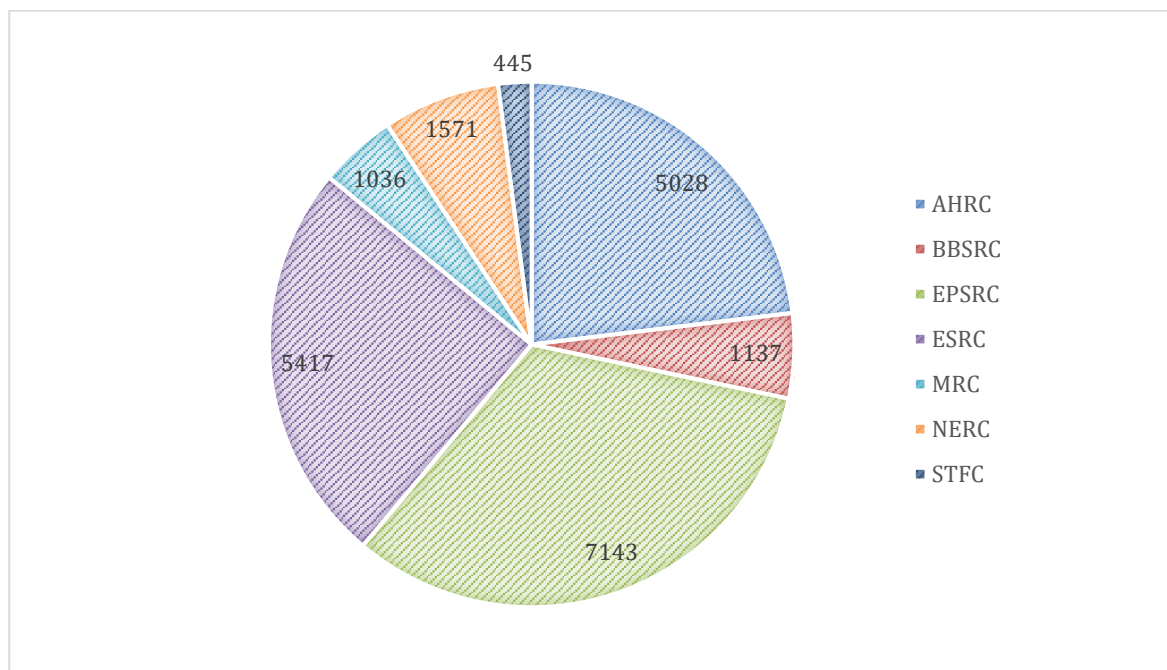


FIGURE 2.1: GtR data – total chapters by funder.

AHRC, Arts and Humanities Research Council  
 BBSRC, Biotechnology and Biological Sciences Research Council  
 EPSRC, Engineering and Physical Sciences Research Council  
 ESRC, Economic and Social Research Council  
 MRC, Medical Research Council  
 NERC, Natural Environment Research Council  
 STFC, Science and Technology Facilities Council

### *2014 REF*

The evidence of the REF shows a significantly different trend, with the book chapters submitted being overwhelmingly from the humanities and the social sciences, with few instances from the disciplines usually funded by EPSRC. Of the 14,396 chapters submitted to the REF, 10,003 (69%) were submitted to Panel D, and nearly all the remainder (4,128 chapters, or 29%) to Panel C. (We comment further on this apparent disparity below.)

### **2.3 What proportion of total scholarly publications are book chapters?**

In the GtR data, book chapters made up some 2.8% of the total outputs recorded, which numbered 756,455.

In the 2014 REF, book chapters constituted 7.5% of the total outputs submitted.

#### *Are there differences between disciplines?*

There was a very great variation in the proportion of the total that book chapters constituted for individual disciplines, both for funded projects and in the REF.



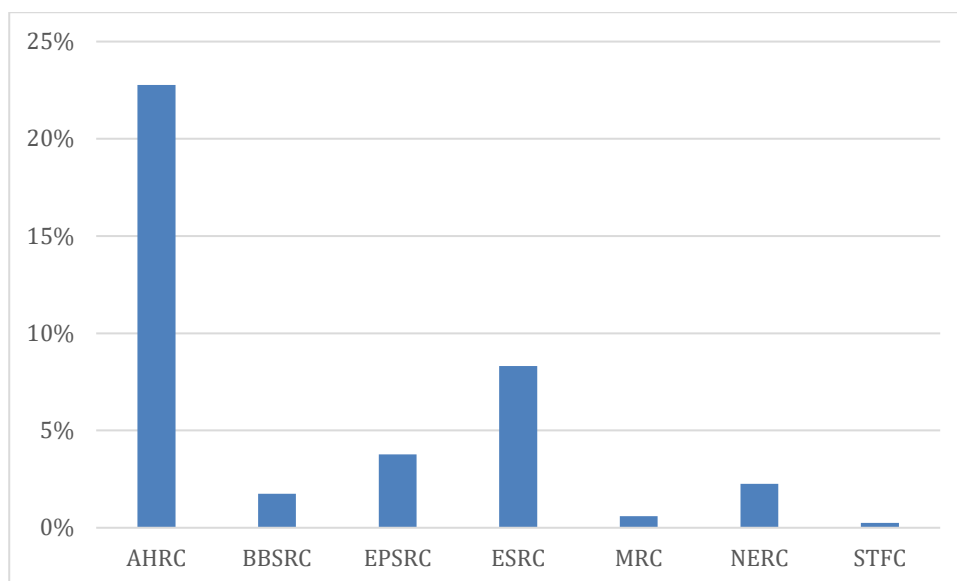


FIGURE 2.2: GtR data – book chapters as proportion of all publications by funder.

Figure 2.2 shows that, in the case of AHRC-funded projects, book chapters made up 22.8% of funded publications, reflecting the importance of the format for the humanities disciplines. In the case of the ESRC, the proportion was lower (8.3%) but still significant.

This was in contrast to the BBSRC, of the funded publications of which, only 1.7% were book chapters; the comparable figures for the MRC and STFC were even lower (0.6% and 0.3% respectively).

It was noted above that EPSRC-funded projects accounted for nearly a third of all book chapters (32.8%) recorded on GtR. However, this is a function of the disparity in scale between the funded activities of different research councils; EPSRC projects produced twice as many publications in total as did all AHRC and ESRC projects put together. So, even though (as noted before) the EPSRC funded more book chapters than any other council, those 7,143 items constituted only 3.8% of total EPSRC publications.

That the chapter is of greater importance in some disciplines than others is confirmed by the REF 2014 data. Table 2.1 shows the chapters submitted to each main panel, both the absolute numbers and the proportions of publications for that panel. Chapters form a vanishingly small proportion of publications for disciplines in Panel A and Panel B; a rather greater proportion for Panel C (7.9%), and over a quarter of those submitted to Panel D.



TABLE 2.1: 'Chapters' as a proportion of the total outputs submitted to the 2014 REF, by Panel.

<i>Panel</i>	<i>Number of chapters</i>	<i>Proportion of outputs that are chapters</i>
A (medical and biological sciences)	55	0.1%
B (physical sciences and engineering)	210	0.4%
C (social sciences)	4128	7.9%
D (arts and humanities)	10003	25.5%

However, it would be a mistake to conclude either (a) that all arts and humanities disciplines (as represented by Panel D) are equally committed to the chapter as a format, or (b) that they are uniformly more so than Panel C disciplines. Table 2.2 below ranks disciplines (as defined by Units of Assessment) from Panels C and D in order of the proportion of their publications that were book chapters. While the most chapter-rich disciplines are indeed from the humanities, the proportions varied significantly, from 37.3% (Classics) down to 17.9% (Art and Design). Among Panel C disciplines, chapters formed a significant part of publishing activity in Law in particular, but almost no role whatever in Economics and Econometrics.<sup>4</sup>

Proportions are significant for indicating the value that different disciplines place on the book chapter. But it is also interesting to note that the relation between the absolute number of chapters submitted in each Unit of Assessment does not correspond precisely to the proportions: in the case of Classics, though chapters formed the highest proportion, there were still fewer submitted than for English Language and Literature or for History, two of the larger disciplines. That said, the nine Units at the top of the Table 2.2 (out of 19) between them accounted for just short of two-thirds of the total chapters submitted.

The final column shows the proportion of publications for each Units of Assessment that are 'edited books' submitted as Output B. We note that a ranking of Units on this basis would be broadly comparable to that for Output C, 'chapter in book'.<sup>5</sup>

<sup>4</sup> Tanner, *An analysis of the Arts and Humanities submitted research outputs to the REF2014 with a focus on academic books* has shown that there are parallel variations between disciplines in the role of books/monographs. Monographs are equally uncommon in Economics and Econometrics, with the journal article being the predominant form of academic communication.

<sup>5</sup> Output B, 'edited book', does not include scholarly editions of text, which are dealt with as a different type, Output R.

TABLE 2.2: Numbers of 'chapters' and 'edited books' as a proportion of the total outputs submitted to Panels C and D in the 2014 REF, by Unit of Assessment.

	<i>Unit of Assessment</i>	<i>Chapters (Output C)</i>		<i>Edited books (Output B)</i>	
		<i>% of total outputs</i>	<i>Number</i>	<i>% of total outputs</i>	<i>Number</i>
31	Classics	37.3	517	9.0	125
33	Theology and Religious Studies	31.6	492	4.0	63
29	English Language and Literature	29.3	2026	5.7	397
28	Modern Languages and Linguistics	28.3	1397	4.8	238
30	History	28.2	1815	4.5	290
32	Philosophy	24.2	525	1.2	25
27	Area Studies	24.0	414	3.1	53
36	Communication, Cultural and Media Studies, Library and Information Management	23.1	811	2.8	97
20	Law	22.1	1219	0.5	25
35	Music, Drama, Dance and Performing Arts	20.6	873	4.0	170
34	Art and Design: History, Practice and Theory	17.9	1133	3.6	230
24	Anthropology and Development Studies	15.7	316	4.1	83
25	Education	9.9	548	0.4	22
21	Politics and International Studies	9.5	415	1.4	63
22	Social Work and Social Policy	9.1	435	0.7	34
23	Sociology	8.7	230	1.4	36
17	Geography, Environmental Studies and Archaeology	7.6	459	2.0	121
16	Architecture, Built Environment and Planning	7.0	266	1.0	38
19	Business and Management Studies	1.5	179	0.0	6
26	Sport and Exercise Sciences, Leisure and Tourism	1.2	33	0.0	1
18	Economics and Econometrics	1.1	28	0.0	0

## 2.4 Edited books: absolute scale and proportion of scholarly publication

The broad disciplinary trends that exist in relation to individual book chapters are largely matched by those for edited collections either submitted to REF as an output in their own right, or featuring as project outputs – but on a significantly smaller scale.

### *Funded projects*

The same GtR data records some 833 edited collections reported in their own right ('Book, edited'), just 1.1% of the total (and a figure dwarfed by the 21,777 individual book chapters that we have already noted). The importance of the format to the humanities and social sciences is again evident. Almost 60% of those reported (496 volumes) were the product of AHRC projects, and 230 (27.6%) from ESRC projects. The EPSRC funded a further 71 (8.5%) and the other four councils only another 36 in total.

*2014 REF*

In the REF, edited books constituted 1.1% of the total outputs submitted, where single-authored books formed 5.4%; 81.1% of submissions were articles in journals.

However, as in the GtR data, the picture varied greatly between disciplines: 79.1% of edited books submitted were directed to Panel D, and almost all the remainder to Panel C. Panels A and B received a mere 16 edited books between them.

## 2.5 Is the book chapter growing or in decline as a format?

To what degree can trends in book chapter publication be discerned over time? Is the edited collection format growing or declining in importance (as measured by proportions of individual publications), or remaining constant?

Taking the available GtR data from 2008 until 2018 (the last complete year), there is no evidence that book chapters are either rising or declining as a proportion of the total publications. During that period, book chapters accounted for between 2.4% and 3.5% of the total, with a slight dip in 2018 to 2% (which may be due to incomplete reporting of recently completed outputs).<sup>6</sup>

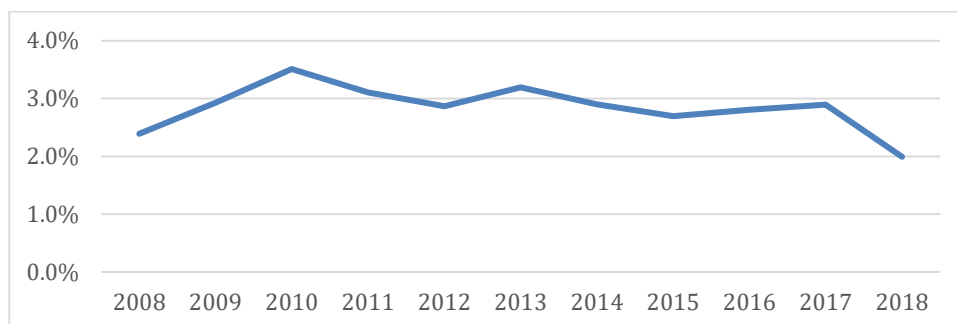


FIGURE 2.3: GtR data – total chapters (all funders) as a proportion of all publications

## 2.6 How much is the book chapter valued as a form of academic communication?

In this chapter we have so far presented the statistical evidence for the ‘footprint’ of the book chapter as one of the ways of communicating scholarly research. We now briefly report on some varied perceptions of their value.

<sup>6</sup> Some 762 chapters were recorded without a publication date, 3.4% of the total. These were necessarily excluded from this analysis.

In attempting our definition of the book chapter, we have already touched upon the scepticism that is believed to surround the edited collection. One academic publisher acknowledges this difficulty: ‘The extreme variability of edited collections is an issue. If there is a sense that the chapters vary in quality and shoot off in different directions, then that’s a turn-off. We have a “guilty until proven innocent” approach to any edited collection that comes to us, and we raise the bar a little bit higher to make sure it demonstrably meets the same kind of quality standards you would expect from the most rigorous journal or monograph assessment. The good ones are really, really good, but there are an awful lot that aren’t so good.’

A Law professor adds a further dimension: ‘As mentors, we always advise younger colleagues to avoid publishing too much in edited collections, and to go for peer-reviewed journal articles. Edited collections can be absolutely excellent, but there is a rigour to a peer-reviewed journal process that might not be there in an edited collection: it’s not double-blind peer review.’ And that perceived difference can hold sway on university promotions committees in the social sciences, driven in particular by views of the committee’s Economics members.<sup>7</sup>

We have already noted that there are disciplinary norms as to whether edited collections are favoured or not, and there are clearly contrasting perspectives. ‘In some subjects such as Philosophy, such volumes are often seen as more important than monographs.’ A Linguistics professor says that edited collections in that discipline – whether put together after a conference or through the initiative of the editor(s) – are common: ‘Individual chapters constitute as much as half of the items cited in major research articles, including those published in the world’s top journals. Their typically multinational range of contributors reflects the nature of the discipline and its intrinsically international profile.’

For disciplines where there is a significant practitioner base in addition to the academic one, ranging from Law to Pharmacology, edited collections may be seen to be a more effective way of communicating research to those who are less tied into the world of academic journals: ‘we see books as a very good way to reach our practitioners.’ In the Geosciences, where books have a prestige for engineers and those based in industry, ‘authors tend to have plans for the future to convene an edited collection; it’s something that they want to do in their career, it’s seen as an honour.’ And books for this type of constituency have their own publishing considerations: ‘There are publishers that have very strong Law professional lists – books to which academics contribute excellent scholarship – and they’re not going to be happy if those books sold to the profession for £200-£300 are made available open access.’

---

<sup>7</sup> It has also been suggested to us that a similar bias within universities’ administrative machinery in favour of the peer-reviewed journal article may serve to reduce the number of book chapters that are submitted to the REF.

Let us end this section by highlighting some particular strengths of the edited collection format. A publisher of History titles explains: ‘If we publish an edited collection on commemorating World War One, and next to it a couple of monographs by people who are doing much narrower research – on, say, the Battle of Vimy Ridge or on domestic servants at the time of World War One – then the edited collection will sell better because it is on a broader topic: the librarian will think more people will want to read it. Obviously, there are a lot of classic single-author contributions. But I am finding that edited collections are crucial in History for the discipline to deal with big issues, because so many researchers’ work is really drilled down into a very narrow set of topics.’

And, typically, an additional strength is the internationality of the list of contributors to such volumes – ‘almost every one of these that I publish is heavily international’ – and this can make possible well-orchestrated comparative treatments of global topics, which a single-author monograph would be less able to achieve.

## **2.7 Conclusions and recommendations**

We have established that book chapters are a major and constant form of research output, with over 14,000 of them submitted to the 2014 REF. And although their use as a tool of academic communication is not evenly spread across all areas of research, the fact that a quarter of all the REF submissions in the arts and humanities were in the form of book chapters is quite attention-grabbing. As thought is given to how to extend the use of OA, the book chapter cannot be ignored.

**Recommendation 2-A.** *Book chapters should be brought within the scope of policies aimed at extending the use of OA.*

We have looked at both statistical and more subjective evidence for how book chapters are valued, and have identified some different disciplinary conventions and norms – ranging from extreme scepticism to carefully cultivated appreciation.

In exploring these varied perceptions and practices, we have revealed a specific subset of edited collections in disciplines where the role of practitioners is significant, and where publication sales to ‘the profession’ form a major consideration for publishers.

**Recommendation 2-B.** *Consideration should be given to regarding edited collections that are published for commercial sale to practitioners and professionals as being exempt from OA policies.*

## 3. Analysis of book chapter publishers

Alongside researchers and funders, publishers are the third main actor in policy and practice relating to open access and book chapters.

### 3.1 Methodology

The following analysis broadly adopts the methodology used by Professor Simon Tanner to investigate the data for academic books submitted to the 2014 REF 2014 in the arts and humanities (Panel D) in section 5 of his report for the Academic Book of the Future project.<sup>1</sup>

Two datasets were used for this analysis: the publicly available research outputs data for the 2014 REF (form REF2),<sup>2</sup> and data from the research impact assessment platform Researchfish, supplied by UKRI. Both datasets have limitations – Researchfish, in particular, relies on self-reporting, which only became compulsory in 2012 – but they provide a valid high-level picture of the publishers involved in producing ‘book chapters’ as a research output.<sup>3</sup>

Analysis of Researchfish data focused on outputs reported to have been published in 2018, in order to provide a current-day comparison to the REF dataset, which covers outputs published between 2008 and 2013. No attempt was made to remove duplication in the Researchfish dataset, where the same research output is recorded against more than one research grant. Unsurprisingly, the Researchfish data contains several instances where a research project has resulted in an edited collection and consequently multiple chapters from the same book are recorded.

For both datasets, the data classified as ‘book chapter’ (Researchfish) or Output C, ‘chapter in book’ (REF), was extracted. The ‘publisher’ field was then manually cleaned, in order to produce a consistent set of publisher names. This included expanding abbreviations, correcting spelling and incorrect names, removing extraneous detail (for example place of publication) and where possible translating publisher names which appeared in multiple languages into a single form. As this was done manually, over many lines of data, it is impossible to guarantee complete accuracy, as not all

---

<sup>1</sup> Simon Tanner, *An analysis of the Arts and Humanities submitted research outputs to the REF2014 with a focus on academic books* ([https://academicbookfuture.files.wordpress.com/2016/11/abof\\_academic-books-ref2014-report\\_simon-tanner.pdf](https://academicbookfuture.files.wordpress.com/2016/11/abof_academic-books-ref2014-report_simon-tanner.pdf))

<sup>2</sup> [https://results.ref.ac.uk/\(S\(epg2k21hqz3mub1psbmayiny\)\)/DownloadSubmissions/SelectForm](https://results.ref.ac.uk/(S(epg2k21hqz3mub1psbmayiny))/DownloadSubmissions/SelectForm)

<sup>3</sup> With particular regard to Researchfish data, UKRI note ‘Data quality and completeness is variable, depending in part on whether the data was entered manually or uploaded, and when. There are also significant numbers of blank or clearly wrong entries of year or type, and many publisher names that are inconsistent.’

variants may have been identified, but sufficient data checking has been completed to ensure that the high-level picture emerging from the analysis is reliable.<sup>4</sup>

Three issues are worthy of particular note:

- For a significant number of records, it was impossible to tell from the data whether a publisher recorded as ‘Springer’ referred to Springer International Publishing, now Springer Nature, or the smaller, separate US company, Springer Publishing. In the initial analysis of the REF data, three variants have been maintained: Springer (unidentified), Springer Verlag or Springer Nature, and Springer Publishing. In the second analysis of REF data which groups publishers by their 2019 commercial entity, Springer (unidentified) data has been grouped with Springer Nature, on the basis that this is the far larger publisher. The same approach has been adopted for Researchfish data.
- A small number of records in the REF dataset (less than 100 across Panels C and D) name two publishers, often an academic or cultural organisation or learned society and a commercial publishing partner. In these instances, the record was cleaned to the publisher name alone. With the exception of British Academy/Oxford University Press, these combinations did not recur more than three times across the dataset. It is likely that these collaborations sit behind many other items in the data, but have not been recorded.
- Where a publisher was named as a ‘university’ this was left to stand, although it is likely that in a large number of these cases, it is the relevant ‘university press’ which is meant. If this is the case, the number of unique publishers will be reduced, although the overall numbers involved across the data are small (estimate of less than 250 cases).

An initial analysis of the cleaned REF data produced the figures recorded in the unshaded lines in Table 3.1. A second pass was then made through the REF data to identify different imprints from the same major publisher and cases where publishers have merged subsequent to 2013. This analysis focused on the known larger publishers. These entries were ‘grouped’ under the current name of the publisher group, in order that a clear picture could be obtained of the major publishers involved in ‘book chapters’ as a form of output in the current day. Given that publisher policies on open access are often set at the group level, this is a helpful way to view the data, although it may also be the case that publishers adopt different policies for different imprints if these are intended for different audiences, or are produced in partnership with a learned society. This data was used to produce the figures in the shaded rows in Table 3.1 and the figures in Tables 3.2-3.4. The same ‘grouping’ approach was applied to the Researchfish data and used to produce Tables 3.5-3.6.

---

<sup>4</sup> Work on long-form publications, such as that by Tanner and the UUK Open Access Monographs Group, has reported similar challenges.

### 3.2 Analysis

The overall picture which emerges from the 2014 REF data is similar to that identified by Tanner in relation to academic books in the arts and humanities that ‘there is a very wide and deep range of publishers and imprints that support the disparate needs of the scholarly community’. A very large number of individual publishers were identified, and a large proportion are connected to single or very low numbers of research outputs (Table 3.1).

TABLE 3.1: Numbers of publishers issuing examples of Output C (‘chapter in book’) in 2014 REF, by Panel.

Panel	Number of chapter outputs	Number of chapter outputs with publisher data	Number of unique publishers	Number of publishers accounting for half of outputs	Number of publishers with 10 or more outputs (% of publishers)	Number of publishers with one output (% of outputs)
A (medical and biological sciences)	55	55	29	7	0 (0%)	18 (33%)
<i>Based on 2019 publishers</i>			21	5	0 (0%)	10 (18%)
B (physical sciences and engineering)	210	210	62	6	3 (5%)	34 (16%)
<i>Based on 2019 publishers</i>			52	5	4 (8%)	28 (13%)
C (social sciences)	4128	4120	596	9	49 (8%)	373 (9%)
<i>Based on 2019 publishers</i>			548	5	36 (7%)	369 (9%)
D (arts and humanities)	10003	9985	1374	14	119 (9%)	824 (8%)
<i>Based on 2019 publishers</i>			1306	8	94 (7%)	808 (8%)

At the other end of the scale, there are a small number of major publishers, responsible for a large proportion of the total output. For main Panels A, B and C, fewer than 10 publishers were responsible for 50% of the chapter output; for Panel D (arts and humanities) the figure was 14, reducing to 8 when the data was reanalysed to reflect the present-day commercial landscape (Tables 3.2 and 3.3).

This overall picture applies across all subject areas. The major publishers reappear across all subject areas in slightly different proportions, but more variation by subject is present among the publishers responsible for mid and low numbers of outputs, reflected the increasing specialisation of smaller publishers.



TABLE 3.2: Publishers issuing 4 or more examples of Output C ('chapter in book') in 2014 REF, Panels A and B, by Unit of Assessment.

<b>PANEL A</b>	<b>Units of Assessment</b>				<b>Total</b>
	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	
Taylor and Francis	5	2		1	8
Oxford University Press	1	4	2		7
Elsevier	2	2	1		5
Springer Nature	5				5
Nova Science Publishers	3	1			4
					<b>29</b>
					<b>(53% of chapters)</b>

<b>PANEL B</b>	<b>Units of Assessment</b>							<b>Total</b>
	<b>7</b>	<b>10</b>	<b>11</b>	<b>12</b>	<b>13</b>	<b>14</b>	<b>15</b>	
Springer Nature	1	9	51	4	1	1	5	72
Cambridge University Press	2	8	5					15
Taylor and Francis	2		4			2	2	10
Wiley-Blackwell			2	4			2	8
ACM	1		7					8
IGI Global			7				1	8
Walter De Gruyter		6	1					7
IOS Press			7					7
Oxford University Press	2	3	1					6
American Mathematical Society		3	1				1	5
Springer Publishing			4				1	5
Elsevier	1	1	1				1	4
								<b>155</b>
								<b>(74% of chapters)</b>

[As a key to the Unit of Assessment numbers used in this and the following two tables, please see Table 1.1 earlier in this report. Where a Unit of Assessment number does not appear in the table, no examples of Output C were returned.]

TABLE 3.3: Publishers issuing 50 or more examples of Output C ('chapter in book') in 2014 REF, Panels C and D, by Unit of Assessment.

<b>PANEL C</b>	<b>Units of Assessment</b>											<b>Total</b>
	<b>16</b>	<b>17</b>	<b>18</b>	<b>19</b>	<b>20</b>	<b>21</b>	<b>22</b>	<b>23</b>	<b>24</b>	<b>25</b>	<b>26</b>	
Taylor and Francis	84	63		30	198	90	116	60	53	141	11	846
Oxford University Press	3	35	7	21	223	58	19	15	16	9		406
Springer Nature	23	18	4	27	40	70	64	39	27	88	3	403
Bloomsbury	9	8		2	227	10	9	5	6	24		300
Cambridge University Press	1	27	1	10	142	49	6	3	14	7		260
Brill	3	3			60	7	3	4	7	35	1	123
Edward Elgar	1	1		22	58	3	12	8	4	6	1	116
SAGE	6	7		2	9	4	26	10	15	31		110
Wiley-Blackwell	17	16		9	3	5	5	6	12	6		79
Berghahn		8			1	1	3	6	50			69
Policy Press	3	3			1	3	47	4	1	6		68
Oxbow		55										55
Emerald	3		1	17	2	1	6	4	2	14	1	51
	<b>2886</b>											
	<b>(70% of chapters)</b>											
<b>PANEL D</b>	<b>Units of Assessment</b>											<b>Total</b>
	<b>27</b>	<b>28</b>	<b>29</b>	<b>30</b>	<b>31</b>	<b>32</b>	<b>33</b>	<b>34</b>	<b>35</b>	<b>36</b>		
Taylor and Francis	48	76	240	246	12	44	60	187	172	186		1271
Oxford University Press	17	52	239	158	95	232	49	24	72	16		954
Springer Nature	34	80	253	183	2	63	20	68	86	119		908
Cambridge University Press	15	45	213	108	91	53	27	18	76	5		651
Bloomsbury	17	30	93	53	12	12	42	79	33	62		433
Brill	26	60	60	101	43	13	39	21	16	13		392
Boydell and Brewer	2	81	64	112	1	2	7	9	30	7		315
Wiley-Blackwell	3	29	63	21	16	14	5	23	18	36		228
Peter Lang	8	107	29	20	1		4	18	6	29		222
Cambridge Scholars Publishing	4	27	54	30	6	2	1	26	29	33		212
Walter De Gruyter	4	67	37	15	24	11	10	7	2	3		180
Manchester University Press	3	24	57	49			1	16	10	14		174
Edinburgh University Press	5	15	70	21	1	2	1	8	8	19		150
Brepols	5	10	42	53	4	1	2	13	12			142
John Benjamins	2	64	24					1		3		94
University of Wales Press	1	26	11	8	1	1			2	2		52
Liverpool University Press	1	5	30	6				8	1	1		52
	<b>6430</b>											
	<b>(64% of chapters)</b>											

Table 3.4 indicates that there is more diversity in the publishers involved in book chapter publication in some areas of the arts, humanities and social sciences than others: where the average number of outputs per publisher is small, this suggest more publishers are involved. It is notable that there is some correlation here with subject areas where book chapters are a less significant part of the output – for example, Economics and Econometrics (Unit of Assessment 18), and Sports and Exercise Sciences, Leisure and Tourism (Unit of Assessment 26). Where the average number of outputs per publisher is large, this may indicate the presence of publishers with specific interests in this subject area – for example Hart, a Bloomsbury imprint, for Law (Unit of Assessment 20).

TABLE 3.4: Average number of examples of Output C ('chapter in book') issued by publishers in 2014 REF, Panels C and D, by Unit of Assessment.

<b>PANEL C</b>	<b>Units of Assessment</b>										
	<b>16</b>	<b>17</b>	<b>18</b>	<b>19</b>	<b>20</b>	<b>21</b>	<b>22</b>	<b>23</b>	<b>24</b>	<b>25</b>	<b>26</b>
No. of chapter outputs	266	459	28	179	1219	415	435	230	316	548	33
No. of publishers	99	144	10	39	131	76	96	58	85	94	18
Average no. of chapter outputs per publisher	2.7	3.2	2.8	4.6	9.3	5.5	4.5	4	3.7	5.8	1.8

<b>PANEL D</b>	<b>Units of Assessment</b>									
	<b>27</b>	<b>28</b>	<b>29</b>	<b>30</b>	<b>31</b>	<b>32</b>	<b>33</b>	<b>34</b>	<b>35</b>	<b>36</b>
No. of chapter outputs	414	1397	2026	1815	517	525	492	1133	873	811
No. of publishers	180	368	252	333	116	63	110	364	200	153
Average no. of chapter outputs per publisher	2.3	3.8	8	5.5	4.5	8.3	4.5	3.1	4.4	5.3

Further analysis of the geographical distribution of publishers has not been undertaken, but impressions from the data is that while the major publishers are global entities, the publishers which serve more specialist subject markets are widely distributed. They are located across the full breadth of Europe and the United States, with noticeable numbers in Asia and to a lesser extent Africa. There are a significant number of UK and US university presses included in the data. The languages of publication are accordingly diverse, again reiterating Tanner's findings.

Finally, the picture which emerges from the 2018 Researchfish data largely reflects that from the larger, earlier REF sample (Tables 3.5 and 3.6). In the arts, humanities and social sciences in particular, there are a large number of different publishers involved in producing book chapter outputs, but a relatively small number of major publishers responsible for a high proportion of the outputs.

The fact that quite small numbers of publishers are responsible for issuing large proportions of all book chapters makes it conveniently much easier to identify and analyse the publisher OA policies and practices that predominate, as we shall see in the next chapter. But the 'long tail' of other publishers, particularly those who have issued just one example of a book chapter, is a matter of considerable note, and any future OA policy will have to take account of it.

TABLE 3.5: Numbers of publishers issuing 'book chapters' in 2018, in Researchfish data.

Funder	Number of chapter outputs with publisher data	Number of unique publishers	Number of publishers accounting for half of outputs	Number of publishers with 10 or more outputs	Number of publishers with one output (% of outputs)
AHRC	678	186	6	9	125 (18%)
ESRC	671	94	3	12	57 (8%)
EPSRC	709	35	1	6	17 (2%)
Other	434	41	2	7	18 (4%)

AHRC, Arts and Humanities Research Council

ESRC, Economic and Social Research Council

EPSRC, Engineering and Physical Sciences Research Council

'Other' includes: Alan Turing Institute, Biotechnology and Biological Sciences Research Council, Medical Research Council, Natural Environment Research Council, Science and Technology Facilities Council, UK Space Agency

TABLE 3.6: Top ten publishers of 'book chapters' in 2018, by funder, in Researchfish data.

AHRC	Number	ESRC	Number
Taylor and Francis	115	Taylor and Francis	172
Springer Nature	63	Springer Nature	130
Bloomsbury	61	African Minds	46
Oxford University Press	52	Oxford University Press	37
Brill	25	Policy Press	24
Edinburgh University Press	25	Edward Elgar	23
Cambridge University Press	16	Emerald Publishing	21
Boydell and Brewer	12	Cambridge University Press	16
Ian Randle Publishers	11	Sage	12
Multilingual Matters	9	Wiley-Blackwell	12
	<b>389</b>		<b>493</b>
<b>% of chapter output</b>	<b>57%</b>		<b>73%</b>

EPSRC	Number	Other	Number
Springer Nature	520	Springer Nature	201
Taylor and Francis	50	Elsevier	84
Elsevier	40	Taylor and Francis	28
Royal Society of Chemistry	17	Wiley-Blackwell	26
Edward Elgar	13	Oxford University Press	18
Wiley-Blackwell	10	Cambridge University Press	13
World Scientific	7	University of Dar es Salaam	6
ASTM International	6	Royal Society of Chemistry	5
Oxford University Press	5	EBN Health	4
IGI Global	4	IntechOpen	4
	<b>672</b>		<b>389</b>
<b>% of chapter output</b>	<b>95%</b>		<b>90%</b>

## 4. Review of publishers' open access policies

### 4.1 Discovering publishers' policies, and their limits

In order to ascertain what are the OA policies currently stated by the publishers who – according to our analysis in Chapter 3 – are responsible for publishing the majority of all book chapters, their websites have been visited and searched.<sup>1</sup> We have not contacted them all directly to ask what their policies are. It may be that policies exist and that we have not been able to track down: but we have adopted the harsh logic that an undeclared policy is not a policy for the purposes of public analysis and comparison.<sup>2</sup>

In general, publishers' policies in respect of OA for chapters in edited book collections are more difficult to track down than those they have in respect of journal articles.<sup>3</sup> This may be because specific policies for book chapters don't appear to have been defined at all. Some publishers may have a policy for Gold, but not one for Green; some may have a policy for Green, but not a specific Gold policy for individual chapters (though they may have one for whole books, including whole edited collections). Some may have a Gold policy, but are less explicit about the cost of processing charges than they are for journal articles – instead inviting authors to talk to their editor. Some may have a Green policy for monographs which allows authors to deposit one chapter from their work, but it may not be explicit that this policy extends to allowing every contributor to an edited collection to deposit their own chapter (potentially making all of a volume available OA).

Some publishers are candid about their lack of OA policies in respect of book chapters: 'the question has never come up'. This is more likely to be the case in the humanities and social sciences, where use and awareness of OA are typically less developed. But more generally, although OA has become a feature of the world of journals in both policy and practice in recent years, article-

---

<sup>1</sup> Publisher websites were visited in August 2019.

<sup>2</sup> Some attempts have been made to document publishers' OA policies in respect of book chapters. 'Self-archiving of book chapters' was a 2015 United Kingdom Council of Research Repositories list of 'publishers likely to permit self-archiving of book chapters in institutional repositories'. This seems to have been superseded by 'Permission requests and OA policies for books and chapters', a shared community resource that seeks to document publishers' OA policies and authors' experiences of seeking OA permissions, precisely because 'often publishers of monographs and books do not have online or otherwise accessible open access policies' (it can be found at: <https://docs.google.com/spreadsheets/d/1i44kKzsFS412ugDTt0maanAUqy8LV5Rjj820dVkK9vs/edit#gid=1003624866>). By its nature, the list provides informal interpretations of publishers' policies, but it does helpfully contain some links to relevant publisher webpages. The list contains entries for most of the publishers investigated in this report, but the analysis in this chapter is based solely on publishers' own formal policy statements on their websites.

<sup>3</sup> Open access for books would generally be easier to understand if publishers posted all their OA policies in one clear 'Open access' section of their website, rather than having different elements scattered in different places (e.g. with Green OA policies tucked away on webpages about 'copyright policy' or 'author permissions').

like content in books continues to be governed by the lower profile of OA that pertains in the world of books. As a starting point to any OA policy, academics should be encouraged to think of book chapters as an output for which OA is legitimate and achievable.

In the previous chapter, we identified 30-odd publishers as being responsible for issuing around two-thirds of the book chapters submitted to the 2014 REF. Of those, no more than a third seem to have clearly stated policies and options for both Gold and Green OA in respect of book chapters.

There may be practical reasons why a publisher may not have a full range of policies. Some quite major academic publishers are not yet willing – indeed not yet technically able – to make available different parts of an edited collection on different terms, some OA, some not: ‘in terms of platform capability, we can’t have mix-and-match’ (although they may quite happily achieve this in respect of their ‘hybrid’ journals). And because requests from chapter authors for Gold OA in order to meet funder requirements are as yet so rare, the publisher may simply choose to let an author post the PDF file of their own chapter to their institutional repository: ‘it’s not a policy, and if everyone asked for the same, it would be challenging.’ Publisher reluctance may also be driven by the sort of ‘double-dipping’ worries that have bedevilled journals: ‘there’s the whole nightmare of what’s a fair price for libraries if two-thirds of the book is behind a paywall and one-third is open access.’<sup>4</sup>

If OA is to be extended to include such a significant research output as the book chapter, then publishers need to develop their policies and practices.

(Of course, one significant practical obstacle to the development of OA for book chapters is if the content of an edited collection isn’t available online at all. While we believe that the publishers responsible for issuing the bulk of book chapters do routinely produce electronic versions, many edited collections coming out of the ‘long tail’ of book chapter publishers may be available in print only – and any future OA policy will have to take account of this.)

## 4.2 Gold open access

### *Publishers’ prices*

Although not all publishers may yet be using it, the ‘chapter processing charge’ (CPC) has now entered the lexicon of OA publishing terms, alongside the ‘book processing charge’ (BPC) and the now venerable ‘article processing charge’ (APC). Of the publishers whose OA policies have been investigated, a dozen publishers indicate a willingness to charge a CPC so that the ‘version of record’ of an individual chapter can be made available OA immediately the book is published: four

---

<sup>4</sup> Continuing print sales are obviously more significant for anything published as a book rather than a journal, so that remains a key factor in all the pricing calculations.

ask authors to speak to their editor for further details, but eight list firm or indicative prices. The quoted sterling prices, all excluding VAT, average just over £1,500 (ranging from £1,250 to £2,000).<sup>5</sup> In terms of Creative Commons licences, publishers generally seem willing to accept whatever licence is needed to meet an author's needs, but a couple 'recommend' that authors choose a licence with a 'NonCommercial' (NC) element, and two more require it.<sup>6</sup>

The BPC already exists in respect of monographs, and it is also in use for making whole edited collections available OA.<sup>7</sup> Not all publishers with Gold OA policies for monographs are specific about BPCs for edited collections.<sup>8</sup> But for the publishers we have looked at, BPCs are in the order of £8,000 (say, for a volume of up to 120,000 words) to £10,000 (for a longer volume).<sup>9</sup>

### *Uptake*

There are varying experiences and perceptions of the extent to which Gold OA is being used for edited book collections of chapters. A publisher in Geosciences says 'we get a steady stream of CPC payments, about 10% across our edited collections – a little bit less than for our journals.' Another specialist science publisher talks of 'getting some uptake for paid OA on individual chapters – not a huge amount.' We have already hinted at less positive experiences, this from a medical learned society publisher: 'I can only think of one or two occasions when authors have asked if we have a Gold author-pays OA option. I'm not sure I could see a future for full OA – I don't think we'd get a majority of authors wanting to pay.' The way that edited collections are put together poses a difficulty: 'how can you charge a CPC from an author who has been invited to contribute?'

There are also differing opportunities for whether whole edited collections may be made available OA through a BPC. There are whole volumes that are OA where an editor has been able to pay a BPC through their institution or funder. For example, the Wellcome Trust might fund the BPC for

---

<sup>5</sup> One European publisher has a CPC price of €990 / \$1,190 for a chapter of up to 35 pages, with any additional pages charged at €14 / \$17. No systematic comparison has been done, but CPCs often seem to be set lower than APCs.

<sup>6</sup> The British Academy has argued elsewhere, e.g. in its May 2018 position paper 'Open access and monographs: Where are we now?', that the 'NoDerivatives' (ND) element of the Creative Commons should be available for books in the humanities and social sciences. We note that this is also recommended in the UUK Open Access Monographs Group's report 'Open access and monographs: Evidence Review' (September 2019), so we do not pursue the issue further here.

<sup>7</sup> Indeed, a publisher that is exclusively OA – such as one university press set up after the 2014 REF (and therefore not one of those listed in the main data tables in Chapter 3) – may only be able to accept a BPC for a whole edited collection, not having the 'hybrid' option to have some chapters funded through CPCs and some behind a paywall.

<sup>8</sup> Also, some publishers that do accept CPCs, do not have Gold OA policies for whole collections of chapters. One explains: 'We've not yet had a situation where someone has asked for an entire collection to be open access; if that case arose, we would offer a discount, but it would still be charged on an individual chapter basis.' Another academic publisher with a CPC policy explicitly states that the Gold OA policy it has for 'authored research monographs' does not apply to 'entire edited collections'.

<sup>9</sup> As perhaps further evidence of the greater commercial value that is placed on handbooks, one publisher has a specific BPC price for 'Handbooks' of £12,000. Some other academic publishers are clear that they deliberately do not apply any Gold OA policy at all to companions, handbooks and 'History of...' titles.



an edited collection on medical history that drew on research it had supported. And while on the whole edited books are not particularly common in Economics, there *is* interest in OA, with people working for organisations that have resources to fund it; and specifically in development economics, there is a lot of interest in content being available for free in developing countries. But we have noted in Chapter 2 that there is a much weaker link between whole edited collections and Research Council grants, with just 833 being reported in the GtR data as a project output (compared to 21,777 book chapters). And the medical publisher warns of the limits of looking for alternative funding for BPCs: 'I suppose there could be options to look at pharma-sponsored OA books in our speciality, but then you would be restricted to topic areas that match specific therapeutic areas rather than potentially covering the whole field as we do now.' And in the humanities, where opportunities for funding OA are particularly sparse, publishers report very little interest in BPCs.

A publisher view is that any funder policy in respect of immediate OA of the final published version OA for edited collections should be at the chapter level rather than at the volume level in order to be viable: the international cast of authors would bring with it a varying range of funder OA requirements, and the authors would also differ in their ability to pay processing charges.<sup>10</sup> We might end this impressionistic overview with the following blunt comment by a publisher in a university press: 'requiring edited volumes to follow Gold OA would in all likelihood kill off the genre.'

### 4.3 Green open access

#### *Publishers' terms*

Of the publishers whose OA policies have been investigated, 15 have stated policies for Green OA that explicitly cover individual chapters in edited book collections.<sup>11</sup> There are some significant variations in these policies, in particular in respect of the 'permitted version' of the chapter that can be posted in a repository, and the length of the embargo period.

The permitted version that is most commonly stipulated is the 'author accepted manuscript' (typically described as 'the version of the manuscript accepted for publication after peer review, but prior to copyediting and typesetting', with some additional qualifications that 'the self-archived

---

<sup>10</sup> Perversely, a publisher may find that having too many contributors being able to pay CPCs brings its own problems. If only a small minority of the chapters are *not* funded through CPCs, a publisher may feel obliged to make the whole volume available OA rather than set a ludicrous price for just the unfunded content.

<sup>11</sup> We have not presumed that publishers' Green OA policies for 'monographs', which might allow an author to post 'one chapter' from the book, automatically apply to the chapters in edited collections. Indeed, one academic publisher explicitly states that the Green OA policy it has for 'authored research monographs' does not apply to 'entire edited collections' (see also footnote 7). Further to our discussion in section 2.6 above, it may be noted that another university press explicitly states that its Green OA policy for 'monographs' does not apply to 'professional books for practitioners'.

AAM should not include any changes made after the point of editorial acceptance’, and ‘the publisher’s lay-out must not be used’); but the ‘version of record’ (i.e. the final published version that has been through the publishers’ editorial and proofing processes) is permitted by up to a third of publishers.

The most commonly stipulated embargo periods are 12 months (sometimes explicitly for science books), and 24 months (sometimes implicitly for humanities and social sciences books).<sup>12</sup> There are also examples of 18 months (sometimes explicitly for humanities and social sciences), and 6 months.

(Of the publishers investigated, there is one outlier, a specialist science publisher which permits an author to post the final typeset PDF to their university repository, and makes no mention of any embargo period at all.)

There seems to be only one explicit example of a Creative Commons licence stipulation – for CC BY-NC-ND. But in respect of the repository to which a chapter author may post (most commonly their ‘institutional repository’), a ‘NonCommercial’ element is sometimes introduced through the further qualification that the author may only post to a ‘not-for-profit repository’.

There are a few examples of an additional stipulation that any ‘linking, collection or aggregation of chapters from the same volume is strictly prohibited’. This intention, for commercial reasons, to prevent the content of an edited collection being too easily reassembled using the Green OA versions of the chapters, inevitably is at odds with a more open presentation of the chapters in their interconnected context.<sup>13</sup>

### *Perspectives*

The range of formal Green OA policies reveal an interesting range of publisher perspectives on Green OA, and these are reflected in the opinions that publishers express more informally. There are more relaxed views about Green OA for book chapters when it is the author accepted manuscript version that is posted to a repository: the version of record remains essential – ‘if you’re serious about your research, you have to use the final published version, in order to be able to cite it correctly’ – and libraries will still be pressed by their users to acquire it; we are already in a world where the ‘pre-life’ of a chapter may exist on multiple servers, so making the author accepted manuscript available doesn’t alter things very much; in any case, the very international cast list of

---

<sup>12</sup> As perhaps further evidence of the greater commercial value that is placed on handbooks, the longer 24 months embargo period is sometimes explicitly stipulated for them.

<sup>13</sup> The following is another example of a stipulation aimed at limiting the amount of an edited collection that may be made available through Green OA: ‘If different authors are based at the same institution we request that they agree on the one chapter to post.’

contributors to an edited collection will probably not all have OA mandates they must abide by, so it is not likely that all the volume's content will get posted to repositories.

But there are also less relaxed views, particularly about the possible future impact of more widely used Green OA: 'you can already use indexing services to look up a volume and you will be directed straight to repository versions of the chapters', such technologies and tools are evolving further, and you shouldn't base your judgements and policies on how things work now; and it's not that difficult for a reader, working from an author accepted manuscript version, to deduce the page numbering they need for citation purposes without having to pay for the version of record. Some publishers have told us of their growing concerns about aggregations of author accepted manuscript versions based on what they see happening in respect of journal articles, and that they may need to take steps to make them more difficult to achieve in future.

#### **4.4 Conclusions and recommendations**

OA in respect of book chapters is so much less developed than it is in respect of journal articles. Both a cause and a consequence of this is that academics are not engaging with the possibilities that perhaps OA could be achievable for their chapters.

**Recommendation 4-A.** *Steps should be taken to raise awareness – among editors and contributors – of the possibilities of extending OA to chapters in edited book collections.*

Publishers too have not given as much thought to OA for book chapters; and even when they have, they do not always make their policies clear and easy to locate – which acts as a barrier to authors considering their OA options.

**Recommendation 4-B.** *Publishers of edited book collections of chapters should settle on their policies in respect of OA for book chapters, and should state them clearly.*

And whereas publishers have had to develop their systems to deliver the expectations that exist for OA in respect of journals, some quite major academic publishers have yet to resolve the specific technical difficulties and the 'bureaucratic headache' of applying Gold OA to individual chapters within edited collections.

**Recommendation 4-C.** *Publishers of edited book collections of chapters should aspire to overcome any technical or procedural obstacles to enabling the version of record to be made available OA on a chapter by chapter basis.*

And as an extension of that, in order to forestall the sort of worries about 'double-dipping' that have arisen in respect of journals, publishers should consider how they can reassure purchasers

that the pricing of 'hybrid' edited collections will take appropriate account of the amount of chapter content that has been made available as Gold OA.

**Recommendation 4-D.** *Publishers should consider, as good practice, giving some general indication of how the sale prices of edited collections are adjusted when one or more chapters are available OA in return for CPCs.*

The policy corollary of the above recommendations is that 'hybrid' edited collections, with some chapters available OA through payment of a CPC, and some chapters behind a paywall, should be a permissible form of publication.

**Recommendation 4-E.** *Publication of a chapter in a 'hybrid' edited book, through payment of a CPC, should be regarded as an eligible means by which an author can meet an OA mandate.*

Last, but by no means least, we have detected both a wide range of publishers' formal Green OA policies, and quite polarised publisher views on the possible future impact of Green OA, which suggests further exploration is needed.

**Recommendation 4-F.** *Funders should consult publishers and other stakeholders on the appropriate terms for Green OA for book chapters, including both the length of embargo periods, and Creative Commons licences.*

Such a consultation could include the question of whether there is any justification for having different embargo periods or licences for scientific book chapters as opposed to those with arts, humanities and social sciences content.

# 5. Options for extending the use of open access

## 5.1 Funded projects and Gold OA

In this final chapter, we look at some specific options for extending the use of OA in respect of book chapters, in particular access to the version of record.

We have already identified the volume of book chapters that are reported to be outputs from projects funded by Research Council grants. A means of promoting OA may be to encourage grant applicants to build into their applications a Gold OA allowance for outputs published in edited collections. If that approach is to be pursued, then more research will be needed into the likely scale and timing of the funding that may be needed to provide for processing charges (CPCs and BPCs) to promote the extended use of OA for book chapter and edited book outputs from Research Council grants.

To get an idea of when processing charges might be payable within the total life cycle of a funded project, we have looked at the time lag between the end of a project and the publication of a book chapter output from that project. It is well known that academic publications can take some time from submission of a final manuscript to publication, and often those timescales can be unpredictable. To what degree would such a funding model necessitate the holding back of publication funding beyond the end date of a project?

Data were available from Researchfish that linked project end-dates to the publication dates of publications associated with the project. As noted elsewhere, Researchfish data is not complete, containing a number of publications without publication dates, which were necessarily omitted in this analysis.<sup>1</sup> It was not possible to determine in these cases whether a publication had indeed appeared but the date had not been recorded, or (on the other hand) whether a publication had been planned but was never in fact published. The analysis that follows must be taken in the light of that uncertainty.

The data also included a considerable number of cases where a publication was attributed to more than one project. Given the difficulties of determining which of multiple project-to-publication

---

<sup>1</sup> Also, we have already noted that a requirement for grant-holders to report to Researchfish was only introduced in 2012, so data returned prior to that, though useful, may be incomplete.

relationships should be taken to be primary, the data was not deduplicated; each project-to-publication relationship expressed in the data was counted on its own terms.

The data for book chapters were analysed for projects funded by the EPSRC, ESRC and AHRC, which between them accounted for the vast majority of book chapters (as discussed above). In each case, the time (in years) between project completion and publication was calculated. For example, a 2017 publication from a project ending in 2015 is regarded as appearing in Year 2. The data recorded both the year and month of the project end, whereas only the year of publication was available for comparison. As such, some proportion of those items published in the final calendar year of a project (Year 0) will have appeared before the formal project end and some after.<sup>2</sup>

The analysis is presented in Figure 5.1 and Table 5.1. It revealed that 53% of book chapters are published either in or after the year in which the project ended (Year 0) (conversely, 47% were published during the timespan of the funded project). The proportion was higher for publications from AHRC projects (72.8%) and lower for those funded by the EPSRC (37.7%).

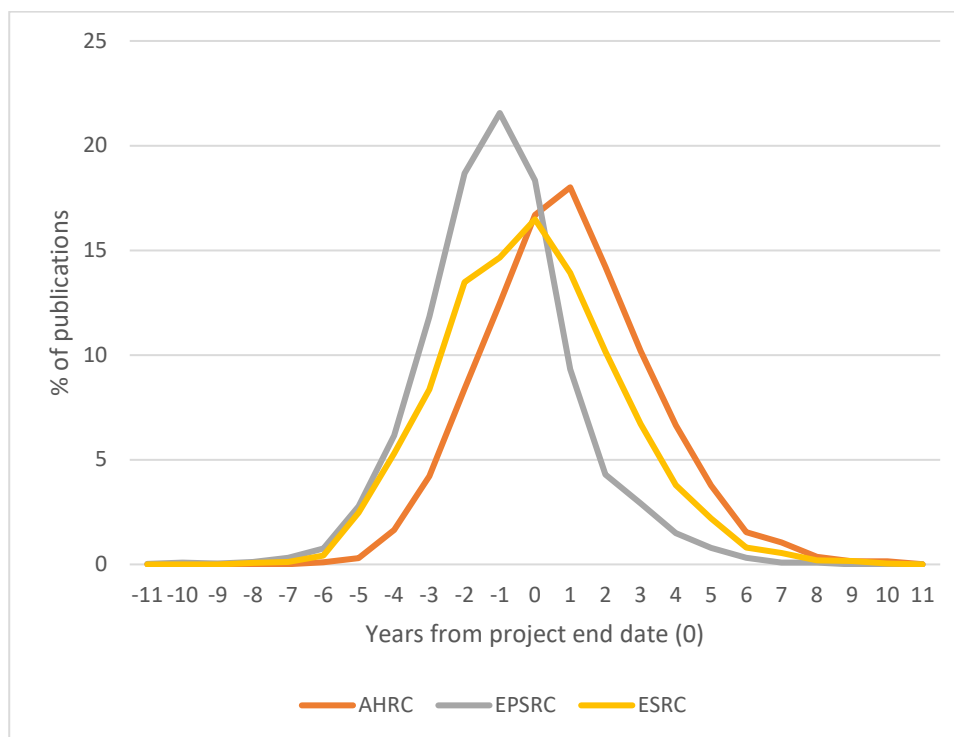


FIGURE 5.1: Time between publication date and project end date (Year 0), based on Researchfish data

<sup>2</sup> It should of course be noted that there may be instances of a project (say) ending at the end of 2015 and a publication appearing at the start of 2017 – giving a time lag of perhaps just 14 months, which will be recorded as a lag of 2 years. Similarly, where a project (say) ended at the beginning of 2015 and a publication appeared at the end of 2017, the time lag will again be recorded as 2 years, although it is actually nearly 3 years.

Only 22.7% of chapters were published in Year 2 or later. Again the proportions was higher among outputs of AHRC projects (38%) and lower in the case of the EPSRC (10%).

Only 3.8% of chapters were published in Year 5 or later. However, still 7% of those generated by AHRC projects were published after this elapse of time. The longest recorded time lapse is to Year 11, a single publication.

TABLE 5.1: Time between project end and publication, based on Researchfish data.

	<i>AHRC</i>	<i>EPSRC</i>	<i>ESRC</i>	<i>Total</i>
<i>Total book chapters</i>	6302	8730	6899	21931
<i>Published: Year 0 – Year +11</i>	4587	3287	3796	11670
<i>%</i>	72.8%	37.7%	55.0%	53.2%
<i>Published: Year 2 – Year +11</i>	2400	872	1698	4970
<i>%</i>	38.1%	10.0%	24.6%	22.7%
<i>Published: Year 5 – Year +11</i>	443	113	273	829
<i>%</i>	7.0%	1.3%	4.0%	3.8%

We would conclude, then, that provision would certainly need to be made for the retention and payment of post-project publication fees, if a CPC- or BPC-like solution were to be adopted. A central fund that remained open for five years would cover almost all such cases, and one open for ten years would cater for them all. If delegated, different Research Councils may wish to make arrangements of varying lengths, given the different profile for publications generated by their funded projects.

### 5.2 A ‘delayed open access’ model for edited collections

Gold OA and Green OA are a feature of journal article publishing, and increasingly of book publishing. Chapters are like articles published within books, so Gold OA and Green OA are already part of the conversation about how to extend OA to book chapters.

But an evolving strand of the conversation about how to extend OA to books more generally has been trying to move away from just considering Gold and Green OA, and exploring other business models. The ‘delayed open access’ model provides an alternative approach to achieving full OA for the version of record of a book, after an initial embargo period in which the publisher is able to

earn revenue from sales.<sup>3</sup> This obviously does not deliver immediate OA. But it does deliver access to the version of record, without chapter authors or book editors needing to find funding for CPCs or BPCs, while providing publishers with a means of being paid for issuing the content.

The key question is: what is the appropriate length of the period of delay? Work done elsewhere<sup>4</sup> reveals that 80% of print unit sales occur within the first three years of a monograph's life, followed by a long tail of lower sales, and that may be a factor in discussions about embargo periods (although publishers will argue for the importance of the revenue earned from that long tail of backlist sales). A balancing factor to be considered is the possible impact on library acquisitions behaviour of different lengths of embargo period: is there a tipping point at which libraries may opt to await an OA version, or will they always need to meet their users' needs for access to edited collections content as soon as possible after publication? Because this is such a critical question for the success of the delayed OA model, some further research needs to be done on the possible effects of different lengths of embargo period (and such research could at the same time look at the effects of different lengths of embargo period under the Green OA model).

### 5.3 Conclusions and recommendations

We have considered two approaches for extending the use of OA in respect of content published in edited book collections of chapters. The first looks at the practical implications of making fuller use of Gold OA through the funding potential of Research Council grants.

**Recommendation 5-A.** *Funders should conduct further research into the levels of funding that might be needed to provide for processing charges (CPCs and BPCs) to promote the extended use of OA for book chapter and edited book outputs from Research Council grants.*

But we have gone on to introduce into the discussion the 'delayed OA' model, which is already being aired more generally as an alternative approach for books. We suggest that it can be applied to edited collections as much as to monographs.

**Recommendation 5-B.** *Consideration should be given to developing a 'delayed OA' model for whole edited book collections of chapters.*

---

<sup>3</sup> Some publishers already offer reduced charges – perhaps a third of the normal CPC or BPC levels – for already published content to be made available OA. What we discuss in this section is a model in which no charges are paid.

<sup>4</sup> Quoted in 'Open access and monographs: Evidence Review: A report from the Universities UK Open Access Monographs Group', September 2019, p. 6. (drawing on Fund *et al.*, 'Open Access Monographs in the UK: A data analysis', 2019, figure 3.7.3).



For the delayed OA model to be a success, the setting of an appropriate period of delay is critical, and further research needs to be done in order to arrive at a carefully balanced result.

**Recommendation 5-C.** *Funders should conduct research into the likely impact on library acquisitions of edited collections of (a) different terms of Green OA for book chapters, and (b) a delayed OA model for publishing whole edited collections.*

# Consolidated list of recommendations

## POLICY

**Recommendation 1-A.** *The following definition should be adopted for reporting and assessment purposes: ‘A book chapter is a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a tightly coherent, permanently identifiable set of contributions on a common theme, bearing an ISBN. An edited book collection of chapters may arise from a conference, but it is constructed as a publication in its own right, rather than reproducing the proceedings of the conference.’*

**Recommendation 1-B.** *For the REF after REF 2021, ‘conference proceedings’ should be clearly defined to refer to the type of publication that is issued during or shortly after a conference as a record of the event, with the selection of content having preceded the conference.*

**Recommendation 2-A.** *Book chapters should be brought within the scope of policies aimed at extending the use of OA.*

**Recommendation 1-C.** *Consideration should be given to regarding companions, handbooks and equivalent publications as a category of ‘trade books’, and treating them the same in terms of OA policies.*

**Recommendation 2-B.** *Consideration should be given to regarding edited collections that are published for commercial sale to practitioners and professionals as being exempt from OA policies.*

**Recommendation 4-E.** *Publication of a chapter in a ‘hybrid’ edited book, through payment of a CPC, should be regarded as an eligible means of meeting an OA mandate.*

**Recommendation 5-B.** *Consideration should be given to developing a ‘delayed OA’ model for whole edited book collections of chapters.*

## SCHOLARLY COMMUNITY

**Recommendation 4-A.** *Steps should be taken to raise awareness – among editors and contributors – of the possibilities of extending OA to chapters in edited book collections.*

**PUBLISHERS**

**Recommendation 4-B.** *Publishers of edited book collections of chapters should settle on their policies in respect of OA for book chapters, and should state them clearly.*

**Recommendation 4-C.** *Publishers of edited book collections of chapters should aspire to overcome any technical or procedural obstacles to enabling the version of record to be made available OA on a chapter by chapter basis.*

**Recommendation 4-D.** *Publishers should consider, as good practice, giving some general indication of how the sale prices of edited collections are adjusted when one or more chapters are available OA in return for CPCs.*

**FUNDERS**

**Recommendation 5-A.** *Funders should conduct further research into the levels of funding that might be needed to provide for processing charges (CPCs and BPCs) to promote the extended use of OA for book chapter and edited book outputs from Research Council grants.*

**Recommendation 4-F.** *Funders should consult publishers and other stakeholders on the appropriate terms for Green OA for book chapters, including both the length of embargo periods, and Creative Commons licences.*

**Recommendation 5-C.** *Funders should conduct research into the likely impact on library acquisitions of edited collections of (a) different terms of Green OA for book chapters, and (b) a delayed OA model for publishing whole edited collections.*

# Appendix 1. Definitions of Outputs A-E for the 2021 REF

[The relevant part of 'Output glossary and collection formats for REF2 and REF3', reproduced from REF 2021 'Guidance on submissions', Annex K]

## A – Authored book

An authored book written entirely by a single author or by joint authors who share responsibility for the whole book.

Includes:

- scholarly books
- research monographs
- textbooks based on significant research (as defined above) by the author(s)
- revisions/new editions of the above, providing this includes substantial new research material
- novels, plays and screenplays
- collections of plays, poems, short stories or other creative writing by the author(s).

## B – Edited book

A book or volume in which individual chapters or contributions have been written by different authors.

To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation.

Includes:

- edited books or volumes
- textbooks or encyclopaedias where significant background research is required
- annotated anthologies where research informs the annotations
- revisions or new editions of the above providing this includes substantial new research material
- literary translations, where these contain significant editorial work in the nature of research.

## C – Chapter in book

This category includes contributions to edited books. This may include scholarly work, such as:

- chapters in edited books
- entries in textbooks incorporating significant research content
- entries in scholarly editions
- entries in revisions or new editions providing this includes substantial new research material
- translations where these contain significant editorial work which constitutes research.

## D – Journal article

A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include:

- full research articles
- critical scholarly texts which appear in article form
- review articles, where these meet the definition of research for the REF

- evidence synthesis, including systematic reviews, analyses, meta-analyses, metasyntheses, where these meet the definition of research for the REF
- rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material)
- discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper)
- creative articles, including photographic essays.

#### E – Conference contribution

A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as:

- volume of proceedings
- special or normal edition of a journal
- book or a monograph
- website.

Submitted outputs may include:

- full written papers that appear in published conference proceedings
- other conference contributions which meet the definition of research.

**The British Academy is the UK's national body for the humanities and social sciences.**

**Our purpose is to deepen understanding of people, societies and cultures, enabling everyone to learn, progress and prosper.**



October 2019

ISBN 978-0-85672-638-3