

## Monographs in humanities and social sciences : back to the basics ?

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**Monographs in Humanities and Social Sciences: Back to the Basics?**

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**Abstract**

The ICT revolution has drastically changed academics' practices of searching, reading, storing, sharing, and writing academic literature as the advent of electronic journals has dramatically improved the accessibility and usability of journal articles. However, digital versions of monographs are lackluster in their influence compared with e-journals. Monograph publishing has many obstacles in digitization that do not exist in journal publishing. This paper first revisits the basics of monographs and then discusses the circumstances of various stakeholders in monograph publishing, including researchers, university presses, universities, funders, and libraries. Many discussions of monographs seem to assume that the current stereotypical image of monographs will not change. However, is it necessary to redefine and repurpose the roles of monographs?

**Keywords:** Monographs, Open Access, Scholarly Communication, Research Libraries, Impact

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## Monographs in Humanities and Social Sciences: Back to the Basics?

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### INTRODUCTION

The development of information and communication technology (ICT) has dramatically changed academics' practices of searching, reading, and storing academic literature. The advent of electronic journals has drastically improved the accessibility and usability of journal articles, which has greatly contributed to the development of many scientific fields. However, digital versions of monographs are lackluster in their influence compared with e-journals. The number of digital books has been increasing, but e-books do not seem to have had a great impact on academia. Why not?

Traditionally, monographs are the most preferred form of publication for arts and humanities and qualitative social sciences (HSS) researchers. Unlike scientists, HSS academics still strongly prefer publishing and reading a (printed) monograph, and it seems that HSS researchers are satisfied with the current monograph publishing landscape. However, the monograph publishing programs of many small university presses have been struggling, and the business environment surrounding monograph publishing is bleak. It is uncertain whether university presses, the important monograph publishers, can survive in the era of digital publishing and open access (OA). We must return to the basics and reflect on the essence of monographs.

This paper first revisits the definition of a monograph and illustrates the present status of monograph publishing in section 1. In section 2, the current publishing activities of university presses are described. In section 3, the recent environment surrounding scholarly publishing, i.e., funders' requirements for OA and a contribution to society, is discussed. In section 4, I consider various obstacles faced by monograph publishing in the new environment. In section 5, the new initiative of library publishing is introduced. The final section draws conclusions.

## 1. BASICS OF A MONOGRAPH

Many studies note that monographs play a crucial role in the career development of faculty members, especially in the humanities; e.g., one monograph is required for a young scholar to obtain a position and two or three monographs are required for promotion. Fyfe (2013) says that a scholarly monograph is a gatekeeper and plays a credentialing role in academia. Little (2018) explains that dissertation monographs are called tenure monographs because a monograph is a necessity for an assistant professor to apply for tenure.

### 1.1. The Definition of a Monograph

First, we should revisit the definition of a monograph. I have long wondered exactly what “monograph” means, as no dictionary provides a clear, realistic definition.

Eve (2014) defines monographs as “scholarly books on a single, specialised subject with coherent thematic unity, authored by one or more persons, but that are not edited collections of disparate essays” (p. 113). Ferwerda, Pinta, and Stern (2017) use a working definition as follows: “A long academic and peer reviewed work on a single topic normally written by a single author, and extended to also include peer reviewed edited collections by multiple authors” (p. 15). In a pilot study, Esposito and Barch (2017) also note that surveyed presses have various ideas of what constitutes a monograph. Then, they use the following definition in a main survey: “books which are written by scholars and researchers and which are intended primarily for other scholars and researchers’ (Thompson 2005).<sup>1</sup> ... a monograph can have more than one author” (p. 4).

These descriptions are objective, but it is still not easy to grasp the essence of a monograph. A more substantial and intelligible description is given in the following two reports. Crossick (2015) views a monograph as a long-form book created by “several years of sustained research on a single topic” and “presenting complex and rich ideas, arguments and insights supported by carefully contextualised analysis and evidence” (pp. 13-14). Maxwell, Bordini, and Shamash (2017) describe a monograph as, in general, an extended narrative treatment—not less than two hundred pages—of a single topic, typically written by a single author, peer reviewed, typically published by a university press, and purchased by research libraries. Monographs fundamentally lack marketability but are worth publishing because of their scholarly contribution (p. 1). I describe monographs in the following sections, keeping these explanations in mind.

### 1.2. How Long Is a Monograph Manuscript?

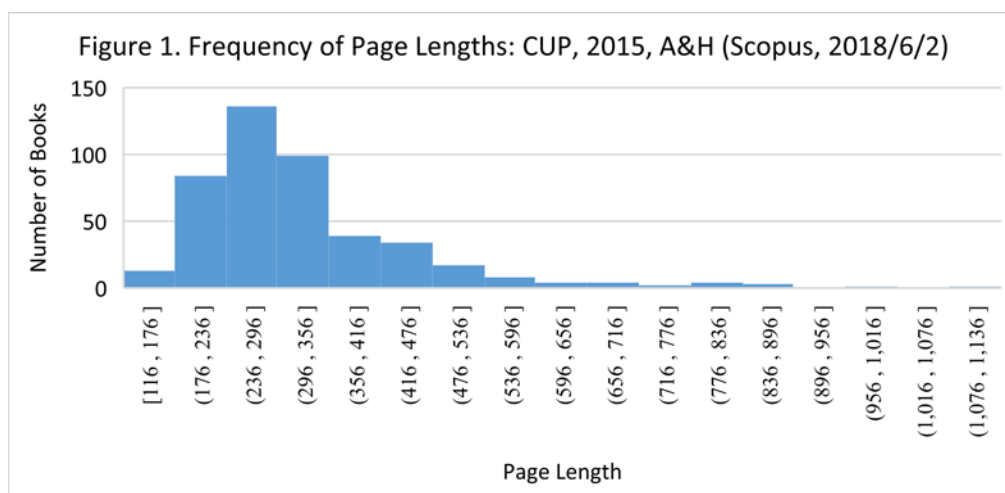
Generally, the maximum length of a journal article may be 10,000-12,000 words, though the limit depends on the discipline and the policy of the journal. The typical length of a regular article

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<sup>1</sup> John Thompson, *Books in the Digital Age: The Transformation of Academic and Higher Education Publishing in Britain and the United States* (Cambridge: Polity Press, 2005), p. 103.

in an economics journal, for example, is approximately 7,000-8,000 words. In contrast, publishers prefer a manuscript of 70,000-110,000 words for a monograph, roughly ten times the length of a journal article.

To grasp the number of pages in academic books, I retrieved book data from Scopus. As a sample, I searched for books categorized in the field of arts and humanities and published by Cambridge University Press in 2015.<sup>2</sup> The number of titles is 449, and the median length is 291 pages (the average length is 325 pp.; the minimum length is 116 pp.; and the maximum length is 1,101 pp.).<sup>3</sup> The frequency is illustrated in Figure 1. The standard length appears to be approximately 300 pages.



While the importance of long-form scholarship must be recognized, recently published mid-sized books are worth attention. Since 2010, a handful of publishers have produced a new type of book that bridges a gap between journal articles and monographs in terms of length and content. These books are approximately half the length of a standard academic book. For example, Palgrave Pivot requires 30,000-50,000 words, Springer Briefs requires 20,000-60,000 words, Policy Press Shorts requires 20,000-50,000 words, and Stanford Briefs requires an essay length and fast publishing (McCall and Bourke-Waite 2016).

If this new type of “medium-form” scholarship becomes popular in the future, the boundaries between this type of book, a journal article, and a long-form monograph may become blurred.

### 1.3. How Many Monographs Are Published?

Esposito and Barch (2017) conducted a survey of American university presses that examined data received from 65 of the 106 members of the Association of American University Presses,<sup>4</sup> excluding two too-large presses—Oxford University Press and Cambridge University Press—and

<sup>2</sup> I used 2015 data because the data for 2016 and 2017 are limited.

<sup>3</sup> Accessed on June 2, 2018. The page length excludes front matter but includes end matter.

<sup>4</sup> This association was renamed the Association of University Presses (AUPresses) in December 2017.

associate members. On average, the 65 presses published a combined total of 2,924 monographs (original editions only) per year over the 2009-2013 period. Based on this number, the authors estimated that approximately 4,000 monographs, of which 3,000 titles were in humanities disciplines, were published by member presses per year over the period. The nine largest US university presses (California, Chicago, Columbia, Harvard, Johns Hopkins, MIT, Princeton, Teacher's College, and Yale) published 984 monographs (598 in humanities) per year. The average five-year sales of a monograph published in 2009 was 749.

In recent years, as for journal articles, an increasing number of academic books have been indexed by abstract and citation databases, such as Scopus and Web of Science. As the indexed books are recognizable as academic books, they can be viewed as monographs. Table 1 shows the number of academic book titles indexed in Scopus. As a number of titles published in 2016 and 2017 have not yet been fully indexed, titles published in 2013-2015 are shown. In total, 3,359 titles are indexed in 2013, 3,062 titles in 2014, 4,386 titles in 2015, 2,054 titles in 2016, and 1,357 titles in 2017 as of May 31, 2018. More than half of them are related to disciplines of arts and humanities. Regrettably, however, the coverage of publishers and book titles is not exhaustive; for example, large US university presses such as Chicago University Press, Columbia University Press, and Harvard University Press are not indexed, and I am aware that even many academic books published by the listed presses are missing. However, this table may provide a bird's-eye view of the current monograph publishing landscape.

Table 1. Number of Book Titles (published in 2013-2015) Indexed in Scopus by Publisher

Publisher	No.	Publisher	No.
Taylor & Francis	11,479	SAGE	218
Springer Nature	6,469	University of North Carolina Press	214
Nova Science Publishers	3,598	Policy Press	205
Springer Nature	3,247	University of Nebraska Press	191
Wiley-Blackwell	2,941	University of Illinois Press	190
Elsevier	2,340	New York University Press	188
Cambridge University Press	2,076	State University of New York Press	187
Princeton University Press	1,424	Johns Hopkins University Press	166
IGI Global	797	University of California Press	163
Peter Lang Publishing	606	Pan Stanford Publishing	154
Oxford University Press	578	Future Medicine Ltd.	147
Edward Elgar Publishing	489	University of Hawaii Press	143
World Scientific Publishing	474	McGill-Queen's University Press	139
University of Toronto Press	396	Rutgers University Press	131
Edinburgh University Press	376	University Press of Mississippi	127
Brill	359	Channel View Publications	126
University of Michigan Press	354	University Press of Florida	122

University of Pennsylvania Press	314	University of Alabama Press	114
Project Muse	312	Fortress Press	113
Berghahn Books	298	Karlsruher Institut für Technologie (KIT)	113
Walter de Gruyter	279	Louisiana State University Press	111
Indiana University Press	258	MIT Press	110
Fordham University Press	257	University of Virginia Press	108
Yale University Press	250	Texas A&M University Press	107
National Academies Press	242	University Press of Kentucky	106
Wolters Kluwer Health	237	University of Arizona Press	101

Source: Scopus book title list. <https://www.elsevier.com/solutions/scopus/content>. Accessed on May 31, 2018.

Note: Publisher imprints are grouped into a main publisher. Publishers with more than 100 indexed titles are listed.

#### 1.4. How Many Copies of a Monograph Are Sold?

The presence of academic journals has been increasing in scholarly communication, whereas monographs appear to be losing ground. The number of monographs published annually has been increasing, but sales per title have fallen significantly both in the UK and in the United States. According to Jubb (2017), current print sales per title are expected to be as low as 200 or even fewer copies (p. 53). Other studies show similar figures, such as 200-400 copies (Lockett and Speicher 2016) or 300-400 copies (Sherman 2014). One reason for this decline is the availability of e-books, but a much more critical reason is the budget cuts for the book collections of the main monograph customers, research libraries.

Under budget constraints and with rising journal subscription fees (the rise in the price of journals as well as an increase in the number of journal titles in the current heyday of science journals), libraries have had to sacrifice their book collection budgets to maintain journal subscriptions.<sup>5</sup> According to Jubb (2017, p. 64), the members of the UK society of college and university libraries increased expenditure on serials and decreased expenditure on books between 1999 and 2013. In 2013, serials accounted for 20% of total library expenditure, but books accounted for less than 10%. A ProQuest survey (2016) of 460 libraries worldwide (North America 337, Europe 52, and other areas) also reports that monograph budgets are sacrificed to finance the ever-increasing price of electronic journals.

<sup>5</sup> The AUPresses explains that since 1970, cuts in federal funding to higher education have caused reductions in library acquisitions budgets. Emphasis by the federal government on university-based scientific research has promoted the reallocation of research library budgets: more money for the purchase of publications contributing to science, i.e., journals, and less money for the purchase of books in HSS. This situation is aggravated by the steep run-up in serials prices and the development of subdisciplines in science research. <http://www.aupresses.org/about-aaup/about-university-presses/history-of-university-presses>



### **1.5. How Important Is Monograph Publishing for Junior Faculty?**

An OAPEN-UK survey (2014) reports that one of the real problems lies not in access but in publishing a monograph in the first place, especially for young scholars. In HSS disciplines, monographs rather than journal articles have provided scholars with academic credentials. The publication of monographs is an important criterion in the tenure and promotion processes. Thus, a first book crucially influences the academic future of junior faculty. However, the current circumstances of monograph publishing are not friendly to them.

As mentioned before, the so-called “serials crisis” and “periodicals squeeze” have forced research libraries to curtail the budget for academic books collections. Among newly published monographs, first books become easy targets for cost cutting because they are authored by less well-known authors, and the usage of these books in libraries is expected to be low. In addition, the OA deposit of Ph.D. dissertations may also discourage the publication of first books because the contents of most first books are based on dissertations.

As a natural consequence, university presses have become reluctant to publish first books. This problem is called a “first book” crisis in several reports (AAU-ARL 2014; Walters and Hilton 2015; Maxwell, Bordini, and Shamash 2016). The AAU-ARL (2014) estimates that in an average year, 85% of US assistant-rank HSS faculty members who seek the publication of a first book could be published by North American university presses. However, this report continues that “the issue is not simply the absolute number of monographs published. Anecdotal evidence suggests that many presses are forced to turn away a significant number of manuscripts they might otherwise consider worthy of publication” (p. 4).

## **2. UNIVERSITY PRESSES AS PUBLISHERS OF MONOGRAPHS**

### **2.1. The Picture of US University Presses**

According to Esposito and Barch (2017), the Association of American University Presses grouped nine university presses in the category of the largest publishers on the basis of their sales figures (annual sales over \$6,000,000) (see Table 2). This group (Group 4) includes the University of California Press, the University of Chicago Press, Columbia University Press, Harvard University Press, Johns Hopkins University Press, the MIT Press, Princeton University Press, Teachers College Press, and Yale University Press. On average, a press in this group published 109 primary (original) monographs per year in the period from 2009 to 2013.

The second-largest group (Group 3) is estimated to have published 88 monographs per year. The smaller presses in Groups 1 and 2 were estimated to have published much lower numbers of monographs, 18 and 33, respectively. As is expected, the larger the press size is, the more titles

are published. It is, however, worth noting that Group 3 published more humanities primary monographs than Group 4.

Table 2. Number of Primary Monographs Published by American University Presses in 2009-2013

	Total Annual Sales (all inclusive)	No. of Presses	Annual Average per Press	
			No. of Monographs	No. of Monographs in Humanities
Group 1	Up to \$1,500,000	46	18*	15*
Group 2	\$1,500,000 to \$3,000,000	15	33*	26*
Group 3	\$3,000,000 to \$6,000,000	18	88*	69*
Group 4	Over \$6,000,000	9	109	66
Total		88†	44*	33*

Source: Based on data from Esposito and Barch (2017).

Note: In the interest of brevity, I show the figures on an average basis per year and per press, but there may be wide variations among the presses in each category.

\* The number of monographs is an extrapolated estimate.

† 88 presses of 106 members of AAUP, CUP, OUP, and 16 associate members are excluded.

Table 3 shows the sales figure of books that were published in 2009 and sold during the period of 2009-2013. It seems that the larger the press size is, the more copies of each title are sold. This tendency is the same if monographs are limited to studies in humanities.

Table 3. Average 5-Year Unit Sales of 2009 Titles (2009-2013)

	No. of Presses (Sample Size)	All Books	Primary Monographs	Primary Monographs in Humanities
Group 1	24	493	404	388
Group 2	11	683	548	428
Group 3	13	768	632	612
Group 4	9	1,757	749	643

Source: Based on data from Esposito and Barch (2017).

Table 4 shows the number of subventions reported by university presses. Although the amount of subventions is unknown, it is interesting that the ratio of the number of subventions to the number of published monographs is not much different between the smallest group and the largest group. Furthermore, the ratio shows that the smallest group received a relatively smaller number of subventions than Groups 2 and 3, which was unexpected.

Table 4. The Number of Subventions Related to Books Published in Five Years (2009-2013)

	No. of Presses (Sample Size)	No. of Subventions (Five Years) (A)	No. of Primary Monographs (Five Years) (B)	(A): (B)
Group 1	24	964	2,135	1: 2.2
Group 2	11	1,129	1,825	1: 1.6
Group 3	13	3,727	5,737	1: 1.5
Group 4	9	1,752	4,922	1: 2.8
Total	57	7,572	14,619	1: 1.9

Source: Based on data from Esposito and Barch

(2017).

Note: The survey requested the number of subventions, not the number for primary monographs.

## 2.2. Realities Faced by University Presses

Many university presses have been aided in funding their business by operating subsidies from their home universities. Hill (2016) said, “monographs that would have sold over 1,000 copies a decade ago may now sell one third of that” (p. 317).<sup>6</sup> Thatcher (2007, 2015) provided anecdotes about the crisis of scholarly monograph publishing faced by US university presses and his struggle to tackle the challenge since the 1970s.

Adema and Stone (2017) note that there are seven university presses in the UK large enough to compete with commercial presses: Cambridge University Press, Edinburgh University Press, Liverpool University Press, Manchester University Press, Oxford University Press, Policy Press (Bristol University Press), and University of Wales Press. Lockett and Speicher (2016) call the first five presses long-standing entities, while “a stable wider group of smaller university presses persisting over many decades has not been evident” (p. 1).<sup>7</sup>

According to Sherman (2014), most university presses receive annual subsidies (US\$150,000–\$500,000).<sup>8</sup> A thorny problem that has recently emerged is the fact that universities have started to reduce subsidies to university presses (Walters and Hilton 2015). One major reason for the subsidy cuts is the unintentional separation of missions between university presses and their home universities.

Almost all university presses publish monographs written by authors who are not affiliated with their home universities. Brown, Griffiths, and Rascoff (2007) report, “The highest percentage of local authors published by a university press that we came across was 25-30 percent, but most were below 10 percent” (p. 17). Esposito and Barch (2017), based on a survey of Association of

<sup>6</sup> This situation is exactly similar to the case in Japan (my anecdotal experience as a director of academic publications is in Japan). Currently, 250-300 monographs per year are published with the aid of title subventions (US\$3.61 million–\$4.5 million). [https://www.jsps.go.jp/j-grantsinaid/13\\_seika/index.html#seika](https://www.jsps.go.jp/j-grantsinaid/13_seika/index.html#seika)

<sup>7</sup> Wikipedia lists 24 UK university presses (accessed on June 8, 2018).

<sup>8</sup> Large university presses such as Yale, Princeton, and Harvard can benefit from endowments.

American University Presses members, report, “Interestingly, rarely does a university press have more than 10% of its total authors affiliated with the parent institution” (p. 10).

Although the initial objective of a university press might have been the dissemination of research studies created at the home university, the current publishing activities of university presses are not closely related to the activities of their host universities. The reason is that university presses have their own editorial and marketing strategies independent of their home universities, and faculty authors may freely choose a press regardless of their affiliation. Authors may prefer a press that is renowned in their research field. Furthermore, authors may intentionally want to publish a book with a nonaffiliated university press to avoid the image of vanity publishing. In addition, each university does not necessarily have its own press; therefore, the number of university presses is far lower than the number of higher education institutions (Brown, Griffiths, and Rascoff 2007; Pochada 2012; Walters and Hamilton 2015).

This disconnection between the core mission of universities and the activities of university presses has created an awkward situation for the presses. Many reports suggest that university administrators have little knowledge of university presses and tend to view their publishing activities as a noncore activity (Brown, Griffiths, and Rascoff 2007; Walters and Hilton 2015). The performance of the presses tends to be evaluated on the basis of financial aspects rather than mission. Watkinson (2016) notes that “university presses are generally classified by their parent institutions as ‘auxiliary’ operations alongside entities such as student housing, catering, and sometimes even athletics” (p. 345). Walters and Hilton (2015) report a so-called “free rider” problem: “More and more, regents, financial officers, and provosts are asking why the university budget subsidizes a press that publishes the work of scholars from other universities and colleges” (p. 4).

### **3. MONOGRAPHS IN A NEW ENVIRONMENT—THE OA MOVEMENT AND RESEARCH EVALUATION**

A simple definition of OA is provided by Suber (2012) as follows: “OA literature is digital, online, free of charge, and free of most copyright and licensing restrictions.”

The OA movement is dramatically changing the landscape of scholarly communications. There is no doubt that OA has increased accessibility and extended readership, including academics in different disciplines, civil scientists, and other nonacademic readers, no matter where they live in the world.

Table 5 shows the number of OA policies registered in the Registry of Open Access Repository Mandates and Policies (ROARMAP). Sixteen of 139 funders (funders and funders and research organizations) require (mandate) OA to books and book chapters in addition to journal articles.

Table 5. OA Policies

	Number of Policies			
	Total	Including Books	Including Peer-reviewed Manuscripts	Not Specified
Funders	83	18 (15)	59 (52)	15
Funders and Research Organizations	56	3(1)	22 (17)	24
Multiple Research Organizations	11	6(2)	6(2)	5
Research Organizations	697	253(169)	497 (349)	139

Source: ROARMAP, accessed on April 21, 2018.

Note: Numbers in parentheses show the number of policies requiring OA, not requesting it.

The Higher Education Funding Council England (HEFCE)<sup>9</sup> in the UK currently excludes monographs and other long-form publications from its OA policy mandate. Crossick (2015) expects that monographs will not be required to be OA for the next Research Excellence Framework (REF), but the requirement might be included in the REF after that (probably in the mid-2020s). This trend is in limbo in other countries, such as the United States, Canada, and European countries (ACUP 2014). However, the European Research Commission (ERC) and the Wellcome Trust, a large UK charity, have earnestly required fund grantees to make their research publications open, including books.

Ferwerda, Pinta, and Stern (2017) report the current situations of OA and monographs in eight European countries (Austria, Denmark, Finland, France, Germany, Netherlands, Norway, and the UK). The sales of monographs are declining, and monograph publishing in many European countries still relies on subsidies. Most OA policies in these countries are recommendations. Except for publishers in Norway and Finland, a typical OA business model is that publishers provide a simple digital edition (PDF, XML, or EPUB) free of charge and sell print versions (softcover/hardcover) and e-book editions (value-added versions), i.e., a freemium model.

Then, how many OA monographs are currently available? For example, the Directory of Open Access Books (DOAB), run by the Open Access Publishing in European Networks (OAPEN) Foundation, lists 11,871 academic peer-reviewed books from 269 publishers as of April 2018 (Table 6). Publishers in Europe are leading OA monograph publishing.

<sup>9</sup> The Higher Education Funding Council England was renamed the Office for Students and Research England in April 2018.

Table 6. The Number of OA Books

Publisher	Country	No. of Books
Frontiers Media SA	Switzerland	1,068
De Gruyter	Germany	809
Presses universitaires de Rennes	France	528
ANU Press	Australia	489
MDPI AG—Multidisciplinary Digital Publishing Institute	Switzerland	367
Springer	Germany	359
Amsterdam University Press	Netherlands	320
Universitätsverlag Göttingen	Germany	303
Transcript Verlag	Germany	250
Brill	Netherlands	237

Source: DOAB, accessed on April 21, 2018.

Note: Languages are not limited to English.

While promoting OA for funded research, funders also increasingly demand to know the economic and societal impacts of the funded research. Some governments explicitly require academic institutions to show not only academic contributions but also contributions outside academia. Keeping in mind the delivery of such impacts is increasingly important in grant applications and assessments of research excellence.

In the United States, the National Science Foundation (NSF) has used two criteria to evaluate proposals: intellectual merit (the potential to advance scientific knowledge) and broader impacts (the potential to benefit society and contribute to the achievement of specific desired societal outcomes) since 1997.

In the UK, the Research Councils UK (current UK Research and Innovation) requires that funded research have both academic and economic and societal impacts.<sup>10</sup> REF2014, the UK research assessment exercise in 2014, first included the assessment of impact, i.e., an effect on, change to or benefit to the economy, society, culture, and quality of life beyond academia, in its overall research evaluation framework.

In 2018, Australia introduced Engagement and Impact 2018 (EI2018), which is comparable to the UK's impact assessment, in addition to Excellence in Research for Australia (ERA), which is the evaluation of academic contribution. Research engagement means the interaction between researchers and research end users outside academia, and impact means the contribution that research makes to the economy, society, environment or culture beyond the contribution to academic research. The UK also plans to use “engagement and impact” as keywords in REF2021.<sup>11</sup>

<sup>10</sup> <https://www.uhi.ac.uk/en/t4-media/one.../RCUK-definition.docx>

<sup>11</sup> LSE Impact Blog, February 6, 2018. <http://blogs.lse.ac.uk/impactofsocialsciences/2018/02/06/the-creative-elements-of-engagement-mean-that-using-metrics-to-measure-impact-is-not-always-possible/>

Monographs have many latent readers who are interested in the topic but currently cannot access them. OA to monographs will arguably increase readership, which will directly or indirectly contribute to society as well as the development of disciplines.

#### **4. SPECIFIC OBSTACLES FACED BY MONOGRAPHS IN A NEW OPEN ENVIRONMENT**

Although the extension of the OA argument for journal articles to monographs seems logical, there are substantive differences between journal publishing and monograph publishing. Commissioned by the HEFCE in the UK, Crossick (2015) reports that although the advantage of providing OA to monographs is widely recognized in the arts and humanities, a rapid transition to OA of monographs is not viable in the short term and midterm.

There are arguably many critical obstacles to be overcome in monograph publishing in comparison with journal publishing.

First, while journal articles are publishable based solely on scholarly merit, monograph publishing further requires commercial viability to some extent. Journals are sold on a subscription basis, but monographs are sold on a title-by-title basis. In the OA environment, the prospect of making a profit, no matter how modest, from monograph publishing is bleak.

Second, one of the major motives of OA promotion was to challenge the market domination of oligopolistic giant publishers. Research libraries, which suffered severely from the price hikes of academic journals, have earnestly supported the OA movement. However, no such strong motivation exists for monographs so far. In addition, as mentioned in section 3, research funders have not yet strongly promoted OA for monographs.

Third, a majority of monographs are produced by HSS researchers, who regard a monograph as a gatekeeper and as scholarly credentials for HSS academics. However, the digital versions of monographs, a suitable version of OA, are not currently popular among HSS researchers, who strongly prefer to publish and read printed books. This preference has been shown in various surveys, such as a survey of US academics (Wolff, Rod, and Schonfeld 2016a), surveys of UK academics (OAPEN-UK 2014; Wolff, Rod, and Schonfeld 2016b), and a survey of US libraries (Wolff 2017).

Fourth, the high cost of publishing monographs discourages authors from taking the gold OA route, i.e., the author defrays the production costs. The book processing charge (BPC) required to make an OA monograph is much higher than an article processing charge (APC) because of the difference in volume. Some BPC examples are shown in Table 7. HSS academics do not usually have enough funding to cover the BPC.

Table 7. Examples of Fees Charged by Publishers

Publisher	Author fee
Cambridge University Press	£6,500 for up to 120,000 words
Manchester University Press	£5,900 for up to 80,000 words and banded costs for longer works
Bloomsbury	\$9,000 for up to 75,000 words and banded costs for longer works
Open Book Publishers	Approx. £3,500, but only if funding is available
Palgrave Open	£7,500-£11,000
Springer Open	Depends on the size of the work
Ubiquity Press	£2,860-£9,340

Source: Collins, Milloy, and Stone (2015) and Bloomsbury website (<https://www.bloomsbury.com/us/academic/open-access/>), accessed on June 5, 2018.

Fifth, the green OA route for monographs is also problematic. Green OA for monographs is not very common because publishers are afraid that the early opening of content harms sales. Table 8 shows examples of publishers' green OA policies. Compared with journal articles, the self-archiving of book manuscripts is highly restrictive in volume and embargo period. These samples are large university presses and commercial publishers, but smaller university presses are obviously more concerned about green OA.

Table 8. Green OA (Self-Archiving) Policies of UK Publishers after Acceptance for Publication

	CUP	OUP	PM	Routledge	EE
Embargo period	6 months (monograph only)	12 months (science, medical), 24 months (academic, trade, reference)	36 months	18 months (humanities and social sciences), 12 months (STEM)	6 months
Volume	One chapter only*	One chapter (or 10%) only*	One chapter only*	One chapter only*	One chapter only
Permitted version	Accepted manuscript or version of record	Pre- and postpublication versions	Precopyedited version	Precopyedited version	Precopyedited version

Source: Publishers' websites, accessed on May 2018.

Note: CUP: Cambridge University Press; OUP: Oxford University Press; PM: Palgrave Macmillan; EE: Edward Elgar. No information on Springer.

\* Contributors to edited volumes may self-archive their own single chapter.

Last, the development of digital and OA publications will endanger the business of stakeholders, such as small university presses, printers, book distributors, and bookshops (Jubb 2017). Arguably, printers, book distributors, and bookshops have been seriously damaged by the development of e-books.



## 5. NEW INITIATIVES BY RESEARCH LIBRARIES

Nearly ten years ago, Brown, Griffiths, and Rascoff (2007) reported the results of a survey on university publishing.<sup>12</sup> The report emphasized that publishing is a centrally important activity of any university and concluded, “There seems to us to be a pressing and urgent need to revitalize the university’s publishing role and capabilities in this digital age” (p. 3). Have the publishing activities of universities been revitalized in the past ten years?

While many university presses are struggling in a new environment, an increasing number of university libraries have started to enter the area of publishing. A survey of the Association of American University Presses (AAUP 2013) conducted in May 2012 reported that 77% of 42 library respondents agree that publishing should be part of the library’s mission.

The Library Publishing Directory 2018 issued by the Library Publishing Coalition (LPC)<sup>13</sup> provides information on the publishing programs of 156 libraries around the world. Countries included in this directory are the United States (119 libraries), Canada (14), the UK (7), Australia (7), Brazil (2), New Zealand (2), Germany (1), Ireland (1), South Africa (1), Ukraine (1), and Sweden (1) (LPC 2017). This directory summarizes the listed programs as follows: (1) the major publishing outlets are faculty-driven journals (442 journals), monographs (488 titles), and student-driven journals (224 journals); (2) 50% of the programs rely on the library’s operations budget; and (3) 82% of the programs focus entirely or almost entirely on OA publishing.

Behind this trend lurk the interests of research libraries and stakeholders, such as faculty authors, universities, and university presses.

First, the digital era put pressure on research libraries to repurpose their role in scholarly communication (Dempsey and Malpas 2018). Due to the development of digital technology, library buildings and collections of print publications are losing their roles. Maintaining repositories and engaging in publishing have become important activities for libraries.

Second, faculty members increasingly have an interest in the dissemination of their work and have approached their university libraries for help in producing their digital publications, for example, e-journals, monographs, conference proceedings, working papers, technical reports, and data (Skinner et al. 2014).

Third, as universities are increasingly required to strengthen the outreach and impact of their research, libraries publishing and promoting OA research are aligned with the interests of universities.

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<sup>12</sup> This report is based on a survey of 53 directors of university presses and interviews with 14 provosts/presidents of universities, 26 directors of university presses, and 12 directors of academic libraries in the United States.

<sup>13</sup> <https://librarypublishing.org/resources/>. The LPC is an independent, community-led membership association of academic and research libraries and library consortia engaged in scholarly publishing.

Last, in the current bleak business climate for monograph publication, an increasing number of US university presses have come to report to libraries. According to Watkinson (2016), the number of those libraries increased to 30 in 2016, which accounts for almost one-third of campus-based university presses in North America. In the United States, not only small- and medium-sized university presses but also large presses such as Yale, Michigan, MIT, and Stanford are departments within the university library system or report to the university librarian (Little 2018). In Europe, a survey of 38 university presses in nine European countries reported that 34.2% of them (13 of 38) are linked to libraries (AEUP 2015).

Australia is one of the leading countries in which OA-oriented university presses publish monographs in full or hybrid OA models. New, or reconstituted, university presses at the Australian National University, University of Adelaide, Monash University, University of Technology Sydney, and University of Sydney are located in the university libraries and are part of the scholarly infrastructure of the university. These newly launched university presses published significantly more academic books than more established university presses in 2013 (Steele 2014).<sup>14</sup>

Not only monographs but also journals, proceedings, and other gray literature are targets of library publishing, but the role played by research libraries will not be small in future monograph publishing in an OA era.

## CONCLUDING REMARKS

The ICT revolution has drastically changed academics' practices of searching, reading, storing, sharing, and writing scholarly literature. However, digital versions of monographs are lackluster in influence compared with e-journals. Monographs also lag behind journals in the OA movement.

Various stakeholders such as traditional university presses, research libraries, universities, and the Mellon Foundation are testing various business models to make monographs sustainable in the digital and open environments. The models include an author payment (gold OA) model with a subsidy from the author's home institution, the introduction of freemium models (selling a printed book or a value-added digital book and at the same time providing a free simple digital version of the book), cost sharing between a press and a library consortium, library publishing, and crowdfunding (Collins, Milloy, and Stone 2015; Maxwell, Bordini, and Shamash 2017). In sharp contrast to the struggling traditional university presses, the number of a new type of university presses has been increasing in the United States, the UK, Australia, and Germany.<sup>15</sup> The

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<sup>14</sup> One of the pioneering presses often exemplified in the literature is the ANU Press. Missingham and Kanellopoulos (2014) detailed the birth of ANU Press, its business model, and controversy over OA-oriented university presses operating under university libraries.

<sup>15</sup> UK—Goldsmiths Press, Kingston University Press, UCL Press, University of Buckingham Press, University of Chester Press, University of Huddersfield Press, White Rose Press (Universities of Leeds,

typical characteristics are a small scale; a focus on OA publications, including monographs; and fundamental subsidies provided by their home institutions (Adema and Stone 2017). The future viability of these models remains to be seen.

The future of monographs is uncertain. I found innovative features in OA megajournals and research funders' OA platforms in the journal publishing scene (Okada 2018), but I have not yet noticed such innovative features in the monograph publishing scene. I will close this paper with questions to which I wish to find answers in the future. Will the young future generations still appreciate printed books (Waters 2016)? Will the concept of a monograph change in a digital era? Will the current defining physical features of a book, e.g., the 6x9 trim size, 300-page length, and eye-catching cover design, remain the same in a digital era? Will the academic credential system in HSS still respect printed monographs in the future?

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Sheffield, and York), University of Westminster Press, University of Hertfordshire Press (Adema and Stone 2017, Appendix 4). US—Amherst College Press, Luminos (University of California Press), Lever Press (Oberlin Group of Libraries [consortium of 80 liberal arts college libraries] + Amherst College Press + University of Michigan Press) (Little 2018). Canada—Athabasca University Press, University of Calgary Press, and Concordia University Press (Little 2018). Australia—ANU Press, University of Adelaide Press, Monash University Publishing, UTS ePRESS (University of Technology Sydney), and University of Sydney Press (Steele 2014).

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