Notes

1 INTRODUCTION, OR WHY OPEN ACCESS?

1 Although the concept of 'open access' has existed since the 1980s: Open Access Directory, 'Early OA Journals' http://oad.simmons.edu/oadwiki/Early_OA_journals [accessed 21 April 2014]. Note also that, in this volume, I refer to the lowering of price and permission barriers with the lower case 'open access' (abbreviated as 'OA') and to the movement dedicated to making this a reality with the title case 'Open Access movement'.

2 Malina Thiede, 'On Open Access Evangelism', *Serials Librarian*, 67 (2014), 21–6 (p. 23) http://dx.doi.org/10.1080/0361526X.2014.915608; Kathleen Fitzpatrick, 'On Open Access Publishing', *Society for Critical Exchange*, 2010 http://societyforcriticalexchange.org/blog/blog3.php/2010/01/15/on-open-access-publishing [accessed 3 May 2014].

3 Peter Suber, *Open Access*, Essential Knowledge Series (Cambridge, MA: MIT Press, 2012), p. 8 http://bit.ly/oa-book. The term 'barrier', of course, comes laden with a specific value judgement and perspective. The barrier is facing the reader and/or reuser in each of these cases. Other perspectives might contest this term and instead see a 'barrier' to their business model within open access itself, as I will cover shortly.

4 Peter Suber, 'Creating an Intellectual Commons through Open Access', in *Understanding Knowledge as a Commons: From Theory to Practice*, ed. Charlotte Hess and Elinor Ostrom (Cambridge, MA: MIT Press, 2007), pp. 171–208 http://dash.harvard.edu/handle/1/4552055.

5 Stevan Harnad, 'Overture: A Subversive Proposal', in *Scholarly Journals at the Crossroads: A Subversive Proposal for Electronic Publishing*, ed. Shumelda Okerson and James J. O'Donnell (Washington, DC: Association of Research Libraries, 1994), pp. 11–12 (p. 11) http://hdl.handle.net/2027/mdp.39015034923758 [accessed 8 May 2014].

6 George Veletsianos and Royce Kimmons, 'Assumptions and Challenges of Open Scholarship', *International Review of Research in Open and Distance Learning*, 13 (2012), 166–89 (p. 167).

7 The specific forms of open access will be covered shortly.

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8 Throughout this work I use the invariant US spelling of 'license'.
9 Neil Selwyn, 'Editorial: In Praise of Pessimism – the Need for Negativity in Educational Technology', *British Journal of Educational Technology*, 42 (2011), 713–18 (p. 167) http://dx.doi.org/10.1111/j.1467–8535.2011.01215.x.
10 Nigel Vincent and Chris Wickham, 'Debating Open Access: Introduction', in *Debating Open Access*, ed. Nigel Vincent and Chris Wickham (London: British Academy, 2013), pp. 4–12 (p. 6).
11 Cameron Neylon, '@d_mainwaring . . . I've Also Been Described as "Neo Liberal" (alongside Uber Capitalist) and "Marxist" in the Past Year Which Is Fun . . .', *@CameronNeylon*, 2013 https://twitter.com/CameronNeylon/status/410035300388597760 [accessed 18 January 2014].
12 Veletsianos and Kimmons, 'Assumptions and Challenges of Open Scholarship', p. 172.
13 Although it is interesting to note that the movement's origins were couched in terms of 'subversion'. Harnad, 'Overture: A Subversive Proposal'.
14 See the submission of Nature group House of Commons Science and Technology Committee, 'Supplementary Evidence from Nature Publishing Group', *UK Parliament*, 2004 www.publications.parliament.uk/pa/cm200304/cmselect/cmsctech/399/399we163.htm [accessed 7 January 2013].
15 Sara L. Rizor and Robert P. Holley, 'Open Access Goals Revisited: How Green and Gold Open Access Are Meeting (or Not) Their Original Goals', *Journal of Scholarly Publishing*, 45 (2014), 321–35 (p. 329) http://dx.doi.org/10.3138/jsp.45.4.01.
16 As with any manner of digital resource (for scholarship must now be thought of in such a way), it is never simply that there is one single way of funding its production, dissemination and continued existence. Although, as will be seen, dominant models are emerging, a relatively recent Ithaka report noted that 'There is no formulaic answer or single approach to achieving sustainability.' Kevin Guthrie, Rebecca Griffiths and Nancy Maron, *Sustainability and Revenue Models for Online Academic Resources* (New York: Ithaka, 2008) www.jisc.ac.uk/media/documents/events/2010/04/ithakasustainabilityreport.pdf [accessed 4 May 2014]; Suber, *Open Access*, p. 53.
17 Directory of Open Access Journals, 'Journals by Publication Charges' www.doaj.org/doaj?func=byPublicationFee&uiLanguage=en [accessed 20 January 2014].
18 Jisc, 'Publisher Copyright Policies & Self-Archiving', *SHERPA/RoMEO* www.sherpa.ac.uk/romeo/ [accessed 20 January 2014].
19 For a good summary of the economic challenges presented by issues of digital preservation, see Blue Ribbon Task Force on Sustainable Digital

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Preservation and Access, *Sustaining the Digital Investment: Issues and Challenges of Economically Sustainable Digital Preservation*, December 2008 http://brtf.sdsc.edu/biblio/BRTF_Interim_Report.pdf [accessed 2 May 2014].

20 Kathleen Fitzpatrick, *Planned Obsolescence: Publishing, Technology, and the Future of the Academy* (New York University Press, 2011), p. 122.

21 The evidence for the claims that green open access does not result in subscription cancellations is discussed below in Chapter 2.

22 Peter Suber, 'Helping Scholars and Helping Libraries', *SPARC Open Access Newsletter*, 2005 http://dash.harvard.edu/handle/1/4552051 [accessed 1 May 2014].

23 For introductory material, see Robert Darnton, 'What Is the History of Books?', *Daedalus*, 1982, 65–83; Robert Darnton, *The Business of Enlightenment: A Publishing History of the Encyclopédie, 1775–1800* (Cambridge, MA: Harvard University Press, 1987); *The Book History Reader*, ed. David Finkelstein and Alistair McCleery, 2nd edn (Abingdon: Routledge, 2006); Michael Bhaskar, *The Content Machine: Towards a Theory of Publishing from the Printing Press to the Digital Network* (New York: Anthem Press, 2013).

24 John Willinsky, 'The Unacknowledged Convergence of Open Source, Open Access, and Open Science', *First Monday*, 10 (2005) http://firstmonday.org/ojs/index.php/fm/article/view/1265 [accessed 9 July 2014].

25 University of Illinois Library at Urbana-Champaign, 'The Cost of Journals', *University of Illinois Library at Urbana-Champaign*, 2009 www.library.illinois.edu/scholcomm/journalcosts.html [accessed 25 November 2013]; Björn Brembs, 'A Fistful of Dollars: Why Corporate Publishers Have No Place in Scholarly Communication', *bjoern.brembs.blog*, 2012 http://bjoern.brembs.net/2013/08/a-fistful-of-dollars-why-corporate-publishers-have-no-place-in-scholarly-communication/ [accessed 27 November 2013]; Martin Paul Eve, 'Tear It Down, Build It Up: The Research Output Team, or the Library-as-Publisher', *Insights: The UKSG Journal*, 25 (2012), 158–62 http://dx.doi.org/10.1629/2048–7754.25.2.158.

26 Association of Research Libraries, 'ARL Statistics 2009–2011', 2014 www.arl.org/storage/documents/expenditure-trends.pdf [accessed 1 July 2014].

27 Stephen Bosch and Kittie Henderson, 'Periodicals Price Survey 2013', *Library Journal*, 2013 http://lj.libraryjournal.com/2013/04/publishing/the-winds-of-change-periodicals-price-survey-2013/ [accessed 6 May 2013].

28 Ian Sample, 'Harvard University Says It Can't Afford Journal Publishers' Prices', *The Guardian*, 2012 www.theguardian.com/science/2012/apr/24/harvard-university-journal-publishers-prices [accessed 31 May 2014].

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29 See, for contrasting views on the relative degree of dysfunction, Martin Paul Eve, 'Utopia Fading: Taxonomies, Freedom and Dissent in Open Access Publishing', *Journal of Victorian Culture*, 18 (2013), 536–42 (p. 538) http://dx.doi.org/10.1080/13555502.2013.865979; Peter Mandler, 'Open Access for the Humanities: Not for Funders, Scientists or Publishers', *Journal of Victorian Culture*, 18 (2013), 551–7 (p. 557) http://dx.doi.org/10.1080/13555502.2013.865981.

30 For more on markets and the problems of competition in scholarly publishing, see Peter Suber, 'Open Access, Markets, and Missions', *SPARC Open Access Newsletter*, 2010 http://dash.harvard.edu/handle/1/4322590 [accessed 21 April 2014].

31 Suber, *Open Access*, p. 39.

32 Theodore C. Bergstrom and Carl T. Bergstrom, 'Can "Author Pays" Journals Compete with "Reader Pays"?', *Nature: Web Focus*, 2004 www.nature.com/nature/focus/accessdebate/22.html [accessed 1 May 2014].

33 For more on the expansion of higher education, see Thomas Docherty, *For the University: Democracy and the Future of the Institution* (London: Bloomsbury Academic, 2011), p. 136.

34 This phenomenon is exemplified in the UK's Research Excellence Framework (REF) and its predecessors, the Research Assessment Exercises; Australia's Excellence in Research for Australia; and the brutal and infamous tenure-track appointment system in the States. Key Perspectives Ltd, *A Comparative Review of Research Assessment Regimes in Five Countries and the Role of Libraries in the Research Assessment Process: A Pilot Study Commissioned by OCLC Research* (Dublin, OH: OCLC, 2009) www.oclc.org/content/dam/research/publications/library/2009/2009-09.pdf?urlm=162926 [accessed 19 January 2014].

35 This was most recently flagged in a report by the MLA that noted that academics should 'challenge expectations for book publication as the primary criterion for conferral of tenure'. MLA Task Force on Doctoral Study in Modern Language and Literature, *Report of the MLA Task Force on Doctoral Study in Modern Language and Literature* (Modern Language Association of America, 2014), p. 15 www.mla.org/pdf/taskforcedocstudy2014.pdf [accessed 16 July 2014].

36 For more on the rhetoric of utility, see *Humanities in the Twenty-First Century beyond Utility and Markets.*, ed. Eleonora Belfiore and Anna Upchurch (London: Palgrave Macmillan, 2013).

37 See Suber, *Open Access*, p. 46.

38 The exception is when attackers deliberately overwhelm a server by over-taxing its resources in order to block others, a 'denial of service' (DoS) attack.

39 Veletsianos and Kimmons, 'Assumptions and Challenges of Open Scholarship', p. 173.

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40 As is the license on this book.
41 *Fox Film Corp. v. Doyal* (Supreme Court of the United States, 1932), my emphasis.
42 Stallman also believes that the term 'intellectual property' is nonsensical and refuses to use it.
43 Richard Stallman, 'Misinterpreting Copyright: A Series of Errors', in *Free Software, Free Society: Selected Essays of Richard Stallman* (Boston, MA: Free Software Foundation, 2010), pp. 111–20 (p. 113).
44 See Suber, *Open Access*, pp. 9–15.
45 There are also a small proportion of academic authors who do make substantial money out of their book sales. These are by no means the majority, though.
46 Bhaskar, *The Content Machine*, pp. 103–36.
47 Suber, *Open Access*, p. 7.
48 See Suber, *Open Access*, pp. 86–90 for a note on why the term 'mandate' is problematic, though.
49 Peter Suber and others, 'Bethesda Statement on Open Access Publishing', 2003 http://dash.harvard.edu/handle/1/4725199 [accessed 4 May 2014].
50 Helen Small, *The Value of the Humanities* (Oxford University Press, 2013), p. 30.
51 Jerome McGann, *A New Republic of Letters* (Cambridge, MA: Harvard University Press, 2014), p. 4.
52 Just as John Thompson differentiates fields of publishing on the basis of Bourdieu's work, I think this kind of definition works here to separate the sciences from the humanities. They are different 'structured space[s] of social positions' each with their own 'resources and power with [their] own forms of competition and reward', with some overlaps. John B. 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. 6.
53 Hannah Arendt, *The Human Condition* (University of Chicago Press, 1998), p. 155; see also Elizabeth Markovits, *The Politics of Sincerity: Plato, Frank Speech, and Democratic Judgment* (University Park, PA: Penn State Press, 2008), p. 57, which first reminded me of this part of Arendt's thought.
54 See, of course, C. P. Snow, *The Two Cultures*, Canto edn (Cambridge University Press, 1993).
55 Commonly paraphrased and listed in several quotation books as: 'academic politics is the most vicious and bitter form of politics, because the stakes are so low'.
56 '[T]he production of research output fulfils two distinct but equally important functions – dissemination and certification.' Thompson, *Books in the Digital Age*, p. 82.

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57 It is notable that much humanities work criticises the individualist nature of neoliberal late capital, particularly in literary and sociological fields, while also clinging to single-authored works as the benchmark of quality. Indeed, despite Foucault's well-known observations on the 'death of the author', Lisa Ede and Andrea Lunsford have picked up on the degree to which there are 'disjunctures or contradictions between theory and practice in the academy', noting that 'Literary scholars such as Jonathan Arac, James Sosnoski, Evan Watkins, Maria-Regina Kecht, and Paul Bove have pointed out the extent to which contemporary academic practices in English studies constitute, as Sosnoski puts it in the title of his 1995 study, "modern skeletons in postmodern closets".' Indeed, as they go on, 'In his *In the Wake of Theory*, Bove explores the relation of theory and practice in English studies, noting that too often scholars have assumed "that 'theory-work' somehow would or could stand outside the given realities of our time and place" (5). Similarly, in *Work Time* Watkins calls attention to the importance of acknowledging that "actual practices of resistance depend on specific working conditions" and to the danger of "the dream of transubstantiation" – the dream that work done in one location (the writing of an article or a book, for instance) will effect political change in another location (28–29).' Lisa Ede and Andrea A. Lunsford, 'Collaboration and Concepts of Authorship', *PMLA*, 116 (2001), 354–69 (p. 356).

58 Anthony Grafton, *The Footnote: A Curious History* (Cambridge, MA: Harvard University Press, 1999), p. 233.

59 Steve Hitchcock, 'The Effect of Open Access and Downloads ("hits") on Citation Impact: A Bibliography of Studies', 2013 http://opcit.eprints.org/oacitation-biblio.html [accessed 21 April 2014]; Alma Swan, 'The Open Access Citation Advantage: Studies and Results to Date', 2010 http://eprints.soton.ac.uk/268516/ [accessed 24 March 2014]. While advocates would claim that this 'citation benefit' is evidence of broader use of material, the counter-argument of sceptics is that such a focus could prioritise accessibility over relevance or appropriateness.

60 This is an extremely common misconception about OA. See Thiede, 'On Open Access Evangelism'.

61 Robin Osborne, 'Why Open Access Makes No Sense', in *Debating Open Access* (London: British Academy, 2013), pp. 96–105 (p. 104).

62 Osborne, 'Why Open Access Makes No Sense', p. 97.

63 Osborne, 'Why Open Access Makes No Sense', p. 104.

64 Osborne, 'Why Open Access Makes No Sense', pp. 104–5.

65 I am well aware, following Thomas Docherty, that the term 'taxpayer' is a hideously loaded phrase that summons to mind a miserly caricature who believes only in self-gain; one that probably doesn't actually exist.

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Indeed, there is clear benefit to society in simply having educated people who have access to research. I nonetheless use the term because of its prevalence in political discourse.

66 For more on the strong and weak forms of the 'taxpayer' argument see Peter Suber, 'The Taxpayer Argument for Open Access', *SPARC Open Access Newsletter*, 2003 http://dash.harvard.edu/handle/1/4725013 [accessed 1 May 2014].

67 ROAPE Editors, 'Yes to Egalitarian "Open Access", No to "Pay to Publish": A *ROAPE* Position Statement on Open Access', *Review of African Political Economy*, 40 (2013), 177–8 (p. 177) http://dx.doi.org/10.1080/03056244.2013.797757.

68 Editors of History Journals, 'Written Evidence', *UK Parliament*, 2013 www.publications.parliament.uk/pa/cm201213/cmselect/cmbis/writev/openaccess/m44.htm [accessed 24 January 2014].

69 Peter Mandler, 'Open Access: A Perspective from the Humanities', *Insights: The UKSG Journal*, 27 (2014), 166–70 (p. 168) http://dx.doi.org/10.1629/2048–7754.89.

70 Mandler, 'Open Access for the Humanities', p. 556.

71 See Andrew McGettigan, *The Great University Gamble: Money, Markets and the Future of Higher Education* (London: Pluto Press, 2013), pp. 79–95.

72 For more on this, see McGettigan, *The Great University Gamble*.

73 John Holmwood, 'Markets versus Dialogue: The Debate over Open Access Ignores Competing Philosophies of Openness', *Impact of Social Sciences*, 2013 http://blogs.lse.ac.uk/impactofsocialsciences/2013/10/21/markets-versus-dialogue/ [accessed 24 January 2014].

74 I use the term 'left-spectrum' here for those OA advocates who wish to eradicate the profit motive from scholarly communications.

75 Bob Grant, 'Elsevier Abandons Anti-Open Access Bill', *The Scientist*, 2012 www.the-scientist.com/?articles.view/articleNo/31798/title/Elsevier-Abandons-Anti-Open-Access-Bill/ [accessed 21 January 2014].

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77 Robert L. Bradley, 'Oil Company Earnings: Reality over Rhetoric', *Forbes*, 2011 www.forbes.com/2011/05/10/oil-company-earnings.html [accessed 21 January 2014].

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blogspot.co.uk/2013/03/taylor-francis-open-access-survey.html [accessed 21 January 2014]; Taylor & Francis, 'Open Access Survey', 2013 www.tandfonline.com/page/openaccess/opensurvey [accessed 21 January 2014].

80 Informa, *Annual Report*, 2012, p. 1 www.informa.com/Documents/Investor%20Relations/Corporate%20Governance/Informa%20Annual%20Report%202012-web.pdf [accessed 22 January 2014].

81 Informa, *Annual Report*, p. 9.

82 Informa, *Annual Report*, p. 1.

83 While Peter Mandler claims that the situation in the humanities is one wherein journals are less frequently owned by large commercial entities, I am unaware of any actual surveys that measure this and the prevalence of mega-presses seems to contradict such a view. Mandler, 'Open Access: A Perspective from the Humanities'.

84 For more on mergers in the book world, see Thompson, *Books in the Digital Age*, pp. 54–64.

85 Bloomsbury Group, *Annual Report*, 2012, p. 7 www.bloomsbury-ir.co.uk/annual_reports/2012/pdf/2012ar.pdf [accessed 22 January 2014].

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87 Friedman's doctrine that shareholder profit is the only social factor for which businesses should be held responsible is widely disseminated and equally widely criticised. See Milton Friedman, 'The Social Responsibility of Business Is to Increase Its Profits', *The New York Times Magazine*, 13 September 1970, pp. 32–3, 122–4.

88 Thompson, *Books in the Digital Age*, p. 45.

89 Thompson, *Books in the Digital Age*, p. 167.

90 PLOS, 'Written Evidence to House of Commons Select Committee Inquiry', in *Inquiry into Open Access: Fifth Report of Session 2013–2014*, by House of Commons Business, Innovation and Skills Committee (London: House of Commons, 2013), pp. Ev80–Ev87 (p. 83).

91 For more on symbolic capital in book publishing, see Thompson, *Books in the Digital Age*, pp. 32–4.

92 Bergstrom and Bergstrom, 'Can "author pays" journals compete with "reader pays"?'

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94 Caroline Sutton, Peter Suber and Amanda Page, 'Societies and Open Access Research', *Harvard Open Access Project*, 2014 bit.ly/hoap-soar [accessed 26 June 2014].

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99 Learned societies are organisations that promote academic disciplines and professions, often awarding grants and subsidising various activities through their membership base.

100 Agnès Henri, 'EDP Open Survey Reveals Learned Society Attitudes towards Open Access', 2014 www.edp-open.org/index.php?option=com_content&view=article&id=273&lang=en_GB.utf8%2C+en_GB.UT [accessed 28 May 2014].

101 Mary Waltham, *Learned Society Open Access Business Models* (Jisc, June 2005) www.jisc.ac.uk/whatwedo/topics/opentechnologies/openaccess/reports/learnedsociety.aspx [accessed 22 January 2014].

102 Paul Jump, 'Open Access Will Cause Problems for Learned Societies' Journals, Accepts Finch', *Times Higher Education*, 15 January 2013 www.timeshighereducation.co.uk/open-access-will-cause-problems-for-learned-societies-journals-accepts-finch/422395.article [accessed 22 January 2014].

103 'Steering Group' http://oapen-uk.jiscebooks.org/overview/steering-group/ [accessed 22 January 2014].

104 Martyn Wade, 'Thriving or Surviving? National Libraries in the Future' (presented at the RLUK Conference, Edinburgh, 2010) www.rluk.ac.uk/files/Martyn%20Wade%20-%202010%20Conf.pdf; Frances Pinter and Christopher Kenneally, 'Publishing Pioneer Seeks Knowledge Unlatched', 2013 http://beyondthebookcast.com/transcripts/publishing-pioneer-seeks-knowledge-unlatched/; Nancy Kranich, 'From Collecting to Connecting: Engaging the Academic Community' (presented at The Library in the Digital Age: Communities, Collections, Opportunities, Temple University, 2013).

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2 DIGITAL ECONOMICS

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3 Pierre Bourdieu, *Outline of a Theory of Practice* (Cambridge University Press, 1977), p. 180.

4 Bourdieu, *Outline of a Theory of Practice,* p. 195.

5 Longina Jakubowska, *Patrons of History: Nobility, Capital and Political Transitions in Poland*, Google Books (Aldershot: Ashgate, 2012), no page.

6 Peter Suber, 'Thinking about Prestige, Quality, and Open Access', 2008 http://dash.harvard.edu/handle/1/4322577 [accessed 21 April 2014].

7 Peter Suber, 'Open Access and Quality', *SPARC Open Access Newsletter*, 2006 http://dash.harvard.edu/handle/1/4552042 [accessed 1 May 2014].

8 The most recent of which is Higher Education Funding Council for England, 'Independent Review of the Role of Metrics in Research Assessment', 2014 www.hefce.ac.uk/whatwedo/rsrch/howfundr/metrics/ [accessed 21 June 2014].

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9 It is, of course, possible to put technological counter-measures in place to combat this type of technological cheating. However, this then becomes a game of catch-up, much like search engine optimisation practices, wherein those who are behaving badly ('black hats') are simply trying to stay one step ahead of the counter-measures.
10 See Fitzpatrick, *Planned Obsolescence*, pp. 27–30.
11 See Bhaskar, *The Content Machine*, pp. 131–4 for more on amplification in publishing.
12 See Osborne, 'Why Open Access Makes No Sense'.
13 Samuel Weber, *Institution and Interpretation*, Cultural Memory in the Present, expanded edn (Stanford, CA: Stanford University Press, 2001), p. 27.
14 Weber, *Institution and Interpretation*, pp. 32–3.
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