



Plan S and the History Journal Landscape

Royal Historical Society Guidance Paper

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Margot Finn

President, Royal Historical Society



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Note on terminology

Some of the terminology in this paper is highly technical. Appendix 1 provides a 'Glossary and Abbreviations' list to assist readers unfamiliar with key terms. For ease of comprehension, terms defined in the glossary are *set in bold italic type* at first usage in the text below. Readers unfamiliar with the *Plan S* agenda are advised to first read the 'What is cOAlition S' section of the official Plan S website,¹ and its 'Principles and Implementation' guidance.² Part 2, below, also provides a short précis of *cOAlition S* and Plan S requirements.

¹ <https://www.coalition-s.org/about/>.

² <https://www.coalition-s.org/principles-and-implementation/>.

Executive Summary

- What are the new contours of peer-reviewed journal publication for Humanities and Social Science disciplines following the establishment of cOAlition S in September 2018?
- How prepared are History journals and History researchers for the implementation of Plan S-aligned open access mandates in the UK?
- What are the potential implications for UK-based and international History journals of implementing (or choosing not to implement) Plan S-aligned open access policies?
- What is the evidence base that should inform UKRI's consultations on open access?

What is this Report?

This report from the Royal Historical Society (RHS) assesses the extent of History journals' engagement with, and preparedness for, implementation of Plan S-aligned open access (OA) mandates. Plan S was first announced by cOAlition S in September 2018. Two major UK grant-making bodies—UKRI and the Wellcome Trust—are founding cOAlition S 'Funders'. As such, according to the official cOAlition S website, they 'have endorsed Plan S and are jointly working on its implementation'.³ In May 2019, the Wellcome Trust accordingly revised its OA policy for peer-reviewed research articles, with effect from 1 January 2021.⁴ The nature and extent of UKRI's commitment to Plan S implementation are, in contrast, marked by substantial ambiguity. Over the past several months, UKRI has increasingly referenced a goal of 'alignment' (rather than 'compliance') with Plan S, referring to Plan S as an 'input' into its OA planning.⁵ Whether UKRI will adopt the full complement of Plan S specifications for all research outputs it funds remains to be determined, as does its implementation schedule. In this context, Plan S provides one—but only one—core feature of a highly labile publishing landscape for UK-based researchers in 2019-20.

This report provides evidence, information and guidance for History researchers, editors of journals, learned societies, publishers, research organisations and grant-making bodies in the context of UKRI's forthcoming public consultation on OA. It is intended to enhance the evidence base upon which H&SS stakeholders can draw as UKRI (and other UK and international funders) develop their OA policies in 'alignment' with Plan S. It offers a worked example of one large discipline within H&SS subject areas, seeking to populate policy

³ <https://www.coalition-s.org/funders/>.

⁴ <https://wellcome.ac.uk/news/wellcome-updates-open-access-policy-align-coalition-s>.

⁵ Thus for example the webpage describing the forthcoming open access review states that: 'The Plan S principles broadly align with current [UKRI] Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.' See <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>.

discussions with granular evidence that can inform pragmatic implementation plans and sustainable, scalable OA publication frameworks.

Evidence

The report uses data in the public domain, for example, evidence from REF2014 and the Directory of Open Access Journals as well as previous RHS reports on OA. It also draws from an RHS survey conducted in July–September 2019, which assessed awareness of and preparation for Plan S among UK and international History subscription journals. This survey received 107 responses from journal editors, providing quantitative data and qualitative commentary on subscription journals published by 26 presses, as well as self-published journals, in the UK and internationally. This sample includes both subscription journals owned by learned societies and proprietary journals owned by university or commercial presses. The survey responses suggest that few journals (or publishers) have finalised decision-making or planning to meet the full compliance criteria mandated by Plan S. Many journals, both within and outside the UK, clearly state no intention to change their current policies to align with Plan S.

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Key Findings

This report finds that, both within the UK and internationally, levels of awareness among History journal editors about Plan S and OA more broadly vary significantly. Knowledge and understanding of licencing issues—vitally important for comprehending Plan S, which specifies a default CC BY licence for OA compliance—are often especially limited.⁶ Like editors, History learned societies that own journals display very disparate levels of engagement with Plan S and wider OA developments. Publishers’ OA policies—and their initial responses to Plan S—also differ very substantially. Individual publishers’ policies emerge from our research as the primary factor influencing the approach to Plan S adopted by History journal editors and learned societies: to date, cOAlition S has not succeeded in making the Plan S case to these stakeholders. The ambiguities and internal contradictions

⁶ A CC BY license ‘lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation. This is the most accommodating of licenses offered. Recommended for maximum dissemination and use of licensed materials’. For more on Creative Commons Licenses see <https://creativecommons.org/licenses/>.

that mark both cOAlition S and UKRI policies—including the intended extent of their alignment—pose a major obstacle to OA engagement and planning for researchers, journal editors, learned societies and publishers. The technical requirements set out by cOAlition S for online journals, platforms or repositories, moreover, represent substantial barriers for existing OA journals and subscription publications alike.

Two major UK funders, UKRI and the Wellcome Trust, are early adopters of cOAlition S’s vision of full and immediate OA publication. The evidence underpinning this report suggests that, unless major shifts occur in the UK publishing landscape in the next few months, it is unlikely that either UKRI- or Wellcome Trust- funded History researchers as a group will be able to identify sufficient high-quality journal outlets that comply with full-scale implementation of Plan S for research articles on 1 January 2021. This is the start date of the Wellcome Trust’s implementation of its new Plan S-aligned OA policy for research articles. For UK university-based researchers who derive support for their research from either or both of two distinct streams of UKRI funding—so-called ‘quality

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related’ (QR) funding allocated to universities via the Research Excellence Framework (REF), on the one hand, and individual research council grants, on the other—assessments of potential impacts are inherently more complex. They are especially fraught for Humanities and Social Sciences (H&SS). On average, 20% or less of research support in these subjects, including History, comes from research council grants. Many H&SS researchers who publish journal articles are, moreover, located outside the higher education system, working either independently or in institutions that have at most limited access to UKRI funding. Others undertake and publish research while employed at universities on teaching-only contracts, or between periods of employment. These distinctive conditions of labour will shape the impact of Plan S-aligned policies on different research communities.

Funding deficits in H&SS are exacerbated by (and associated with) high levels of self-funded research and the lack of a robust, publicly-funded early career postdoctoral framework. Registered charities such as the British Academy, the Leverhulme Trust and myriad learned societies—including the RHS—play substantial roles in plugging this funding gap, especially for early career researchers (ECRs).⁷ None of these charities is a cOAlition S ‘Funder’. This variegated and patchy funding landscape has major implications for H&SS researchers’ access to ‘pay to publish’ models of publishing—the dominant route to OA in many science subjects.

⁷ The two major national H&SS postdoctoral schemes for ECRs are the British Academy Postdoctoral Fellowships and the Leverhulme Early Career Postdoctoral Fellowships. In addition to these programmes, History ECRs are supported by a range of fellowships funded by charities that include the Economic History Society, Past & Present Society and Royal Historical Society.

If the distinctive characteristics of much H&SS funding and publication are ignored, the adoption of Plan S-aligned OA policies may be deleterious to these researchers. Within H&SS, this impact may fall disproportionately on ECRs and on researchers with ‘protected characteristics’ as defined by the 2010 Equality Act.

Publication in an OA journal is the first of three available routes to Plan S compliance specified by cOAlition S. Lack of fit between existing OA History journals and cOAlition S’s complex requirements for Plan S compliance and lack of capacity within existing OA journals to accommodate most UK History research are two key findings of this report. Lack of clarity concerning the nature and extent of UKRI’s intended ‘alignment’ with Plan S emerges from our History journal survey as a key impediment to editors’ and publishers’ planning with respect to the two other pathways to Plan S compliance—the ‘zero embargo’ and ‘transformative agreement’ routes.

“Plan S terminology and sharp differences among national systems that fund journals, universities and researchers significantly hinder engagement with the cOAlition S agenda. In this context, mandating full implementation of Plan S requirements for all new journal submissions from 1 January 2021—as the Wellcome Trust has done—appears to be a highly ambitious agenda.”

Within the UK, where the implementation of Plan S-aligned policies is most imminent, concerns about journals’ ability to fund the costs of high quality peer-review and editing outside the subscription model, the known inequalities that mark authors’ access to article processing charges (APCs) and to OA repositories, and issues of scale and medium- to long-term sustainability have promoted a ‘wait and see’ approach to Plan S. Outside the UK, the opacity of Plan S terminology and sharp differences among national systems that fund journals, universities and researchers significantly hinder engagement with the cOAlition S agenda. In this context, mandating full implementation of Plan S requirements for all new journal submissions from 1 January 2021—as the Wellcome Trust has done—appears to be a highly ambitious agenda. It may prove damaging for H&SS researchers in particular.

Key Sections of the Report

The Introduction (Part 1) outlines the Royal Historical Society’s profile as a journal and book publisher and the Society’s approach to OA. Like most stakeholders in OA policy discussion, the RHS is an interested party. The Introduction outlines these interests, and those of the report’s author. It then specifies the intended audience of this report and the uses for which it is—and is not—intended. The Introduction asserts emphatically and unambiguously that the RHS advocates neither for nor against the adoption of Plan S compliant policies by History journals. Nor—for those journals that do opt to change their editorial policies in response to Plan S—does RHS favour any one of the three available routes to compliance over the others.

Part 2 - Plan S: What Do We Know? summarises Plan S, including its three compliance routes: 1) publication in a fully OA journal that meets twenty specified requirements; 2) self-deposit in an OA repository of an Author Accepted Manuscript/Version of Record made available with zero embargo (with many additional requirements), and 3) publication in a subscription journal that has signed a 'transformative agreement' to 'flip' or become fully OA within a specified time period. Copyright and licencing issues are important for all three compliance routes: Plan S requires as a default that publications are made available with a Creative Commons CC BY licence. Complying with Plan S entails a complex diet of technical mandates, which are difficult for many stakeholders to comprehend. These specifications are dispersed across different sections of the cOAlition S website. Part 2 also summarises the mandatory Plan S requirements for Route 1 and Route 2 compliance in tabular form (**Figure 3a-b**).

Part 3 -Plan S: What Don't We Know? assesses areas of ambiguity, contradiction or complexity in cOAlition S's policies. It notes the divergent compliance regimes and schedules associated with the two UK-based cOAlition S Funders: UKRI and the Wellcome Trust. With respect to UKRI, it underlines the potentially different impact of Plan S on two areas: research funded by UKRI's seven constituent Research Councils (formerly known as RCUK); and research funded by the REF, which is the UK government's mechanism for allocating university core research funds and is orchestrated by UKRI's Research England funding body. This dual funding context is highly unusual among cOAlition S's national/state funders. That UKRI supports researchers both through long-term, core research grants to all national universities (in the UK, by QR funding allocated via REF exercises) *and* through open calls for competitive grants to individual researchers and collaborative research teams, adds significant complexity. UKRI's twofold role as a provider of both core university funding and competitive, call-based individual grants to researchers may render full alignment with or implementation of Plan S especially challenging for UK researchers.

Part 4 - Research and Journal Publication in History provides an overview of research funding and article production in History, the H&SS worked example that underpins this report. A schematic survey of the broad contours of the History journal landscape—with over 1,000 titles, of which perhaps 15% are OA publications—is followed by a brief overview of the funding environment in which H&SS researchers produce journal articles. Roughly 20% or less of UK History research is funded by external grants from national research councils. Self-funding by researchers is a salient feature of History research. Journal article length is relatively long compared to non-H&SS subjects. English language journals are numerically predominant among History outlets as a whole, but a substantial minority of subscription History journals and a majority of History OA journals listed in the Directory of Open Access Journals are published in languages other than English. Because quality of prose is an integral part of quality of argument in History publications, high levels of editorial intervention are common in high-quality History outlets. History and H&SS research and journal publication thus display distinctive characteristics. These characteristics have implications for OA journal publication that deserve recognition by funders and policy-makers.

Part 5 - Open Access History Journals, DOAJ and Plan S investigates the current availability of OA History journals. Publication in a fully OA journal that meets cOAlition S's twenty specified requirements constitutes Route 1 to Plan S compliance.⁸ In April 2019 RHS published a preliminary analysis of the implications of Plan S version 1.0 (now supplanted by Plan S version 2.0) for Wellcome Trust funded researchers in medical humanities. These researchers are the first cohort of History authors to whom OA requirements aligned with Plan S will apply. This analysis suggested that identifying sufficient high quality Plan S compliant OA journals in history of medicine would likely prove challenging.⁹ Part 5 augments the evidence used in our April 2019 working paper with additional information from the Directory of Open Access Journals (DOAJ). Registration with DOAJ is among the twenty minimum requirements for Route 1 Plan S compliance as specified by cOAlition S. DOAJ data reveal many excellent OA History journals and a vibrant OA publication landscape in Spain and Latin America in particular. However, this survey confirms the paucity of OA History journals that are suitable for REF-type outputs, fully Plan S compliant and/or published in English. Even if they were all Plan S compliant—and they clearly are not—current DOAJ-registered History journals do not offer sufficient capacity and quality to meet the publication needs of university-based UK historians (much less those of the wider international discipline). Nor is it evident that the editors of most existing OA History journals are aware of the many technical requirements entailed by full Plan S compliance (including DOAJ registration), and/or are now planning to change their policies to become Plan S compliant. A rigid implementation of the Plan S mandate by cOAlition S Funders, including UKRI and the Wellcome Trust, may have the perverse consequence of driving researchers away from existing, fully OA publications that already offer innovative, high-calibre research outlets to H&SS researchers.

Part 6 - The 2019 RHS Survey of History Subscription Journals details the methodology and responses to the summer 2019 RHS survey of History journal editors. 107 journals responded to the survey, published by 26 national and international presses, representing c.10% of research-orientated History journals. The survey results suffer from known skews, detailed in Part 6. However, the survey captured a wide spectrum of journals, including many journals actively used in UK History REF submissions. With 55% of responses from journals based in the UK and 57% of responses from journals owned by learned societies, these data offer granular evidence about H&SS journal publication and learned society goals and strategies. Evidence of this kind is conspicuously lacking in Plan S and wider OA policy discussions.

⁸ This figure of twenty requirements is derived from our own analysis of all stipulations within Plan S guidance. See Figure 3a and 3b for a full list.

⁹ <https://royalhistsoc.org/rhs-working-paper-history-researchers-and-plan-s-journal-compliance-april-2019/>. See esp. pages 2, 15-23 and 30-39.

Part 7 - History Journals and Route 2 Plan S Compliance uses data from the summer 2019 RHS survey to explore the ‘zero embargo self-deposit’ route to Plan S (Route 2 compliance). This OA pathway lies within the existing subscription/paywall journal model of publication, if twenty requirements specified by Plan S (detailed below in **Figure 3**) are met. Subscription journals constitute the great bulk of high-quality UK and international History journals. Route 2 Plan S compliance within a subscription journal entails self-deposit by the author of either the Author Accepted Manuscript (AAM) or the Version of Record (VoR) in an OA repository with a CC BY licence and zero embargo. No journals in our sample appear to be fully Plan S compliant by Route 2. Our survey responses reveal that while a large minority (38.6%) of sampled History journals offer self-deposit of the AAM with zero embargo, very few (if any) of these journals are actively considering allowing deposit with a CC BY license. Further, of those journals that do not currently offer self-deposit of the AAM/VoR with zero embargo, over half (56.7%) have no plans to revise their policy to become Plan S compliant by this pathway. The many additional requirements mandated by cOAlition S for Route 2 compliance further distance current History journal policies from Plan S alignment.

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Part 8 - ‘Transformative Agreements’ and Route 3 Plan S compliance uses our survey data and the September 2019 Information Power report (commissioned by the Association of Learned & Professional Society Publishers, UKRI and the Wellcome Trust) to examine Plan S’s third, ‘transformative agreements’, compliance route.¹⁰ These agreements represent one of the most substantial opportunities, and one of the largest ‘known unknowns’, of OA policy for H&SS researchers. Providing an alternative to the highly problematic ‘pay to publish’ OA model associated with article processing charges (APCs), these agreements potentially suggest solutions to several of the obstacles that Plan S poses to ‘unfunded’ H&SS researchers’ access to Plan S-aligned OA publication outlets. However, the transformative agreements that constitute Route 3 to Plan S compliance leave many core issues unresolved. Two are especially salient for H&SS. The first is the source of sustainable funding for journals’ eventual transition from ‘transformative hybrid’ to fully OA publications. The second is equality/inequality of opportunity to publish—including researchers’ access to UKRI funds to pay APCs to publish in ‘transformative agreement’ journals, and thus for these newly OA journals to be financially viable in the medium- to long-term. This second point is especially pertinent to specific constituencies including ECRs, researchers within the UK but outside the

¹⁰ Society Publishers Accelerating Open access and Plan S (SPA-OPS) project: https://wellcome.figshare.com/collections/Society_Publishers_Accelerating_Open_access_and_Plan_S_SPA-OPS_project/4561397.

university sector, international researchers and emeriti. The question of whether these groups may include disproportionate numbers of researchers with protected characteristics under the 2010 Equality Act deserves urgent investigation. Research council grants are a major source of funding for researchers' payments for APCs. We know that UKRI research council funding is not distributed evenly. For example, among the 2017-18 cohort of all new-entry PhD students in the UK, 3% were Black; among the new-entry cohort of PhD students funded by UKRI in 2016-18, however, only 1.2% were categorised as Black or Black Mixed students.¹¹ In a fully 'open' publishing landscape, access to 'aligned' or 'compliant' OA publication must be supported equitably by cOAlition S Funders. This does not at present appear to be the case. Significantly, neither cOAlition S nor Plan S official documentation refers at any point to the statutory frameworks that mandate and protect equal opportunities in the UK and the EU.

Part 9 - Conclusions and Recommendations steps outside cOAlition S's approach to OA, by asking who and what open access is for. The answers to these questions are important, and they deserve to be articulated explicitly in policy consultations. Where possible, they should be supported with evidence. Part 9 concludes by offering specific recommendations for stakeholders—researchers, journal editors, learned societies, research organisations and funders—to consider.

¹¹ Leading Routes, *The Broken Pipeline: Barriers to Black PhD Students Accessing Research Council Funding* (2019), page 3: <https://leadingroutes.org/the-broken-pipeline>.

PART 1. INTRODUCTION

The RHS and Open Access:

The Royal Historical Society is a registered charity that exists to:

- represent history as a discipline and historians as a group;
- promote the vitality of historical scholarship through support for research and publication;
- advocate best practice in history teaching in universities and schools;
- provide a forum for all historians to meet and exchange ideas;
- support and encourage early career historians.¹²

As part of this mission RHS is actively engaged in debates about the future of H&SS publishing, including **open access (OA)**.¹³ The Society has a mixed publications portfolio: it publishes both subscription-based/paywall research outputs and OA articles and books.¹⁴ We are unusual (among UK History societies that support scholarly journals) in deriving a relatively low proportion of our revenues from journal subscriptions.¹⁵

RHS's investment in OA initiatives is substantial, and includes time, labour and financial support. Our OA *New Historical Perspectives* ECR book series has been several years in the planning. A collaboration with the Institute of Historical Research and the University of London Press, its first title was published in October 2019. The *New Historical Perspectives* series is fully subsidised: it requires (and accepts) no book publication charges from authors. Its volumes are published simultaneously in hard copy and as fully OA high-quality digital publications through the Humanities Digital Library, a new publishing platform from the University of London.¹⁶

Like the RHS, the author of this report has interests in both OA and subscription-based scholarly communications systems. Her publications include paywall and OA outputs, with

¹² Royal Historical Society website home page: <https://royalhistsoc.org/>.

¹³ See our open access Policy page: <https://royalhistsoc.org/policy/publication-open-access/>.

¹⁴ Our annual *Transactions of the Royal Historical Society* is a hybrid journal published by Cambridge University Press. Authors can pay for 'Gold' open access with an Article Processing Charge or deposit the Author Accepted Manuscript in a repository for zero embargo OA release with a CC BY-NC licence. Our *Studies in History* book series (winding down in 2019-20) and *Camden* book series are available OA only when an external subvention to pay a Book Processing Charge (BPC) is available. *New Historical Perspectives* publishes only fully OA outputs, with no BPC. See: <https://royalhistsoc.org/publications/>.

¹⁵ In conversation, several History societies report deriving 90% or more of their revenues from their journal subscriptions. Calculating a precise RHS figure is not possible: our investment portfolio, for example, includes sums of unknown value that may derive from journal subscription income in times past. However, current subscription revenues from *Transactions* account for less than 20% of our annual revenues.

¹⁶ New Historical Perspectives book series: <https://royalhistsoc.org/publications/new-historical-perspectives/>.

journal articles deposited in university OA repositories. She is actively involved in developing and promoting OA book publication both through the RHS and (separately) UCL Press.¹⁷

History is a ‘science’ in the European sense, and historians welcome opportunities to enhance knowledge through the circulation of new ideas, methodologies and research findings. Historians sit on advisory boards of OA journal initiatives and several History learned societies have—as demonstrated in later sections of this report—established OA journals. Many historians have embraced the ethics and possibilities associated with diverse new models for making the results of our research openly accessible in the broadest sense.

The RHS welcomes an OA landscape that:

- reflects, develops and showcases high quality peer-reviewed research;
- is accessible and equitable to authors, regardless of their career stage, institutional location or personal characteristics;
- significantly and sustainably enhances readers’ access to History scholarship;
- offers authors flexibility and the possibility to innovate;
- strengthens and promotes sustainable scholarly cultures, societies and research ecosystems;
- brings academics, publishers and scholarly communication specialists into constructive dialogues.

Who and what is this report for?

This report is primarily intended for historians, scholarly editors/editorial boards, History learned societies and publishers of History. Staff in research organisations such as universities, libraries and heritage organisations as well as funding bodies may also find it of interest. Although the report focuses on evidence drawn from History, its findings have broader resonance for many H&SS subjects. This report is specifically intended as a guidance document and a source of subject-specific information in the context of these stakeholders’

¹⁷ A declaration of major interests would include former editorship of the subscription-based *Journal of British Studies* and current advisory or editorial board membership on *Journal for Eighteenth-Century Studies*, *Journal of British Studies* and *Journal of Colonialism and Colonial History*. In book publishing, major interests are co-editorship of Cambridge University Press’s *Modern British Histories* and Executive Board membership of UCL Press, with which the author has also published an OA book. As RHS president and trustee, the author has a professional interest in the *Camden* series (CUP), *New Historical Perspectives* (UoLP), *Studies in History* (Boydell & Brewer) and *Transactions of the Royal Historical Society* (CUP).

contributions to the two successive Open Access Reviews that **UKRI** plans to undertake in autumn 2019 and winter 2020.¹⁸

This report does not seek to advise journal editors or learned societies that own/sponsor peer reviewed journals whether or not to implement changes to become Plan S ‘compliant’. Nor does it seek to steer journals or societies that do opt to embrace these new OA protocols toward any specific compliance route within the Plan S framework.

Instead, our goal is to enhance the quality of information available for business planning and policy-making by providing a map of the current state of play for History. In addition, we identify issues—‘known unknowns’—about which additional information should be sought from funders, publishers and research organisations in the course of UKRI’s 2019-2020 OA consultations.

The report considers both fully OA and ‘**hybrid**’ subscription journals, but focuses on the latter. The Cambridge Open Access Publications Policy Framework offers a definition of hybrid journals that appears to comport with Plan S usage. It states that: ‘A hybrid journal is a subscription journal where individual articles can be published Open Access on the payment of an article processing charge (APC).’¹⁹ Hybrid journals currently predominate within the outlets in which university-based UK historians publish. These are the journals available for Route 2 Plan S compliance. Hybrid journals that sign approved ‘transformative agreements’ are the outlets available for Route 3 Plan S compliance. Only limited information about the concrete specifications of transformative agreements is at present available in the public domain.

¹⁸ UKRI’s Open Access Review involves four phases of work (Autumn 2018 - Spring 2020). This includes a public consultation on the UKRI draft policy initially scheduled for September to November 2019, and a report in spring 2020: <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>.

¹⁹ Cambridge Open Access Publications Policy Framework: <https://www.openaccess.cam.ac.uk/cambridge-open-access-policy>.

PART 2. PLAN S (VERSION 2.0) - WHAT DO WE KNOW?

Known 1. What is cOAlition S?

Launched in September 2018, Plan S is a radical OA publishing initiative formulated by cOAlition S, a confederation of 22 (as of October 2019) national, international, European and charitable funding bodies which is co-ordinated by Science Europe, and supported by the European Commission. Designated ‘Funders’ on the official cOAlition S website, these grant-making bodies ‘have endorsed Plan S and are jointly working on its implementation’.²⁰ Among national bodies that are Funders, European grant-making organisations overwhelmingly dominate. Among cOAlition S Funders as a group, organisations that focus on Science, Technology, Engineering, Mathematics and Medicine (STEMM) constitute the great majority of cOAlition S partners. The only founding Funder that focuses on H&SS funding, the Swedish Riksbankens Jubileumsfond, left cOAlition S in May 2019 stating that ‘the process is too fast to suit humanities and social sciences’.²¹

The cOAlition S Funders include two UK-based bodies. The first is UKRI, which includes both the seven UK government funding councils formerly known as *RCUK* and also *Research England*, the body that orchestrates the UK *REF* exercise. The second UK Funder is the Wellcome Trust, a registered charity that funds health-related research in biology, medicine, population health, the humanities and social science, spending around £900 million per year in these research areas.²²

Known 2. What is Plan S?

In September 2018, cOAlition S made a preliminary statement of its Plan S requirements (Plan S, version 1.0), specifying an implementation date of 1 January 2020. Following a consultation that attracted c.600 responses, it released version 2.0 of Plan S on 31 May 2019. Version 2.0 delayed the onset of implementation by a year, to 1 January 2021. However, as we note below, the description on the official Plan S website of cOAlition S’s required implementation timeline is marked by internal contradictions.

Plan S is predicated on 10 shared principles (see **Figure 1**).²³ It aims to accelerate the transition toward full and immediate (*zero embargo*) OA publication of all peer-reviewed

²⁰ <https://www.coalition-s.org/funders/>.

²¹ <https://www.rj.se/en/Researcher-news/general-news/riksbankens-jubileumsfond-steps-away-from-plan-s/>.

²² Wellcome News: <https://wellcome.ac.uk/news/value-wellcome-investments-passes-25-billion-pounds>.

²³ To ensure clarity and consistency, this report uses the version of Plan S Principles and Implementation 2.0 dated 31 May 2019, downloaded on 23 July 2019. It is available on the RHS website here: <https://royalhistsoc.org/policy/publication-open-access/rhs-working-paper-plan-s-hybrid-history-journals/>. All



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The cOAlition's ambition is global. Its goal is to '*flip*' (or convert to full, immediate OA publication) all peer-reviewed research articles published in subscription-based academic journals. This goal has major implications both for academic journals owned by *learned societies* and *proprietary journals* owned by university or commercial presses. It also has significant implications for UK and international researchers who publish in these outlets.

Known 3. What constitutes Plan S compliance?

There are three alternative routes to Plan S compliance for researchers who publish scholarly articles funded by cOAlition S:

Route 1. Publish in a fully OA journal or platform which meets the specifications set out in Part III of the 31 May 2019 Plan S 'Principles and Implementation' guidance. See **Figure 3a-b** for a visualisation of these specifications;²⁴

Route 2. Publish in a subscription journal that allows author self-deposit in an approved OA repository of either the *AAM (Author Accepted Manuscript)* or the *VoR (Version of Record)*. Authors must be able to deposit this document for immediate release upon publication of the VoR (that is, with "*zero embargo*"). The journal must also meet the specifications set out in Part III of the 'Principles and Implementation' document (and captured visually in **Figure 3**). No publication fees (for example, an *APC* for '*Gold*' OA publication of the VoR), will be paid by the cOAlition S funder for authors publishing by Route 2;

Route 3: Publish in a hybrid subscription journal that meets Plan S's technical specifications AND has signed a cOAlition S approved 'transformative agreement' to 'flip' to full, zero embargo OA publication by 1 January 2025. In this case, fees such as APCs can be paid by the cOAlition S funder to cover publication costs during but not after the transition period, for which funding ends on 31 December 2024.

In addition:

For all routes: 'the publication must be openly available immediately with a Creative Commons Attribution license (CC BY) unless an exception has been agreed by the funder'.²⁵ This specification for a default CC BY licence emerges from the RHS survey data as a major barrier to the adoption of Plan S-aligned policies by History journals and publishers.

²⁴ cOAlition S has committed to 'support the development of a tool that researchers can use to identify whether venues fulfil the requirements' of Plan S at an unspecified future date (Part II, 'Principles and Implementation').

²⁵ See Part II, point 2 of the 'Principles and Implementation' document.

For all routes: Copyright must also be maintained either by the author or their institution, rather than by the journal, learned society or publisher (Principle 1 of Plan S). The RHS survey data suggest that this is an obstacle to the adoption of Plan S-aligned practices for a relatively small number of journals and publishers.

This report explores historians' current access to Plan S compliance through Routes 1, 2 and 3, bearing in mind the added complications of CC BY and copyright. It also supplies information on History journals' current alignment with the 'Basic mandatory conditions for all publication venues' set out in Part III, section 1.1 of the current Plan S 'Principles and Implementation' document. Typically, little attention is paid to these 'mandatory conditions for all publications' in H&SS discussions of Plan S, but our evidence suggests that they will prove to be important for pragmatic discussions of implementation and timescales for Plan S.

Known 4. Plan S OA requirements do NOT apply to REF2021

The current UK REF exercise, REF2021, will NOT operate in alignment to, or compliance with, Plan S. REF2021 protocols are not affected by UKRI's status as a cOAlition S 'Funder'. Any alignment with Plan S will attach only to future REF exercises. This is made explicitly clear in UKRI guidance that, pending the outcome of their January-March 2020 REF OA review, they 'ask the sector to work on the basis of continuation of existing REF 2021 policy at this stage'.²⁶

Known 5. The Wellcome Trust timeline for Plan S compliance

Although the details and requirements of Plan S implementation for UKRI funded research are unknown and subject to consultation, the Wellcome Trust has a clear and emphatic Plan S-aligned OA policy. It has opted for the earliest of the three alternative Plan S implementation timescales. The Wellcome Trust's policy applies to all new scholarly articles containing original research submitted for peer review with effect from 1 January 2021.²⁷

²⁶ UKRI 'Open access policy for the REF after next': <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>.

²⁷ Wellcome Open Access Policy: <https://wellcome.ac.uk/funding/guidance/open-access-policy>.

PART 3. PLAN S - WHAT DON'T WE KNOW?

Unknown 1. Timeline for UKRI Plan S Implementation

Funders that adhere to Plan S guidelines are, according to the official cOAlition S website, due to begin to implement its requirements with respect to EITHER new grant calls OR new grants initiated OR scholarly articles newly submitted for peer-review from 1 January 2021. However, the description on the official cOAlition S/Plan S website of the required implementation timeline is marked by internal contradictions.

The first major section of text encountered by a visitor to the Plan S website is highlighted in bold (see Fig. 1, above, immediately below 'Part I: The Plan S Principles').²⁸ It states:

“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”²⁹

A subsequent section of this official website in contrast states: 'The timeline for implementation of Plan S will vary among member organisations.'³⁰ These two statements directly contradict each other. This contradiction is emblematic of the wider opacity of cOAlition S and its policies.

Whereas the initial declaration refers to '**all scholarly publications...funded by public or private grants**' and specifies implementation with 'effect from 2021', subsequent statements in the document qualify those parameters:

- 'Principles and Implementation', Part II, point 1 ('Aims and Scope') clarifies that the policy at present applies only to '**scholarly articles**';
- 'Principles and Implementation', Part II point 1 states that the 'target set out in Plan S...[is] '**publications resulting from research funded by cOAlition S members' grants under calls published as of 1 January 2021 (or earlier at individual members' choice)**'. Within the text of the Plan S website, the 2021 implementation timeline thus shifts from encompassing 'all scholarly publications' published with effect from 2021 to referencing all peer-reviewed articles published from 1 January 2021. It then moves

²⁸ The text is presented as an unattributed quotation, but the use of “ ” perhaps instead simply indicates, together with the bold text, that this is the main aim of cOAlition S. This is suggested by the reiteration of the “quotation” on the 'What is cOAlition S?' tab of the official website: <https://www.coalition-s.org/about/>.

²⁹ <https://www.coalition-s.org/principles-and-implementation/> (21 July 2019).

³⁰ Plan S Principles and Implementation, Part II, point 8.

the implementation deadline to include all articles funded by new grant *calls* issued by cOAlition S Funders.

Plan S version 1.0 (the version superseded in May 2019) helpfully identified three distinct implementation schedules (see **Figure 2** below):

- 1) implementation for research funded by existing grants;
- 2) implementation for research funded by new grants; and
- 3) implementation for research funded by new calls.

5. Timeline

cOAlition S appreciates that the timeline for implementation of Plan S will vary among member organisations. Implementation of Plan S will take place from 1 January 2020, having impact on either 1) existing grants, 2) new projects/grants or, at the latest, 3) new calls. cOAlition S members should, at the very least, implement the new requirements in all calls issued after 1 January 2020.

Figure 2: Initial Timeline for Implementation, from Plan S Version 1 (downloaded 4 March 2019).

These three clear implementation points have disappeared from Plan S version 2.0, and appear to have become implicit rather than explicit in the text. Plan S version 2.0's 'Principles and Implementation', Part II point 1 thus represents a significantly different timescale than the bold text that prefaces the Plan S Principles.

Whether UKRI opts to apply its new Plan S-aligned policies to *all new article submissions* from ongoing grants it funds from 1 January 2021, to all research articles supported by *all new grants* initiated from 1 January 2021 or to research articles supported by *new grant calls* issued from 1 January 2021 onward will have a major impact on the planning processes of researchers, journals and publishers. The reference in Plan S specifications to grant 'calls' further underlines the anomaly of including REF-related QR funding—which, unlike research council funding, does not derive from grant 'calls'—in the Plan S envelope.

"Whether UKRI opts to apply its new Plan S-aligned policies to *all new article submissions* from ongoing grants it funds from 1 January 2021, to all research articles supported by *all new grants* initiated from 1 January 2021 or to research articles supported by *new grant calls* issued from 1 January 2021 onward will have a major impact on the planning processes of researchers, journals and publishers."

Pragmatically, in History, most grant *calls* issued on or after 1 January 2021 are unlikely to produce active new individual *projects* or new collaborative *research teams* substantially earlier than 1 January 2022. These funded researchers are unlikely to submit significant numbers of scholarly *articles* to journals until 2023 or 2024. The Wellcome Trust has opted

for the earliest of these 3 implementation points for its funded researchers. It is unknown which implementation timescales cOAlition S Funders outside the UK will adopt.

Unknown 2. The Extent of UKRI's proposed 'alignment' with Plan S

It is unclear from the official cOAlition S website precisely what obligations being a 'Funder' entails. The website states that 'cOAlition S funders...have agreed to implement the 10 principles of Plan S in a coordinated way, together with the European Commission and the ERC.' The same page reiterates the problematic assertion (discussed above) that "'With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.'" ³¹

It is unclear in Plan S version 2.0 and UKRI policy statements whether 'alignment' and/or 'compliance' entail wholesale acceptance and implementation of all of the requirements specified on the Plan S website (see **Figure 3a-b** below). Clarifying this essential definitional point is of fundamental importance to all stakeholders—researchers, journals, learned societies, publishers, research organisations (including libraries) and funders.

Further, Part II, point 7 of 'Principles and Implementation' outlines Plan S expectations with respect to 'Compliance and Sanctioning'. It states that 'The individual members of cOAlition S will align their grant agreements and/or contracts with Plan S and monitor compliance and sanction non-compliance. Each funder will determine how best to monitor compliance and what sanctions to introduce.'³²

A central concern for the RHS is that the language of Plan S focuses on compliance by, and sanctions on, the *authors* of publications notwithstanding very few of the mandatory requirements for compliance lie within researchers' control.

Figure 3a-b details the requirements for Plan S compliance via Route 1 (publication in a fully OA journal) and Route 2 (publication in a subscription journal with self-deposit in an OA repository of a zero embargo AAM or VoR, with a default CC BY licence).

"It is unclear in Plan S version 2.0 and UKRI policy statements whether 'alignment' and/or 'compliance' entail wholesale acceptance and implementation of all of the requirements specified on the Plan S website. Clarifying this essential definitional point is of fundamental importance to all stakeholders."

³¹ <https://www.coalition-s.org/about/>.

³² It further specifies: 'Possible sanctions could include: withholding grant funds, discounting non-compliant publications as part of a researcher's track record in grant applications, and/or excluding non-compliant grant holders from future funding calls.' <https://www.coalition-s.org/principles-and-implementation/>.

Compliance Point (green highlight indicates covered by RHS survey)	Route 1: Open Access Journal or Platform	Route 2: Subscription Venues / Repository
* items covered by RHS editors' survey		
Basic Principle		
*The journal/platform must enable authors <i>EITHER</i> to publish with immediate and permanent Open Access (without any kind of technical or other form of obstacles) <i>OR</i> to deposit the AAM or VoR in an Open Access repository at no extra cost.	✓	✓
Publication Venue requirements for all routes		
*Retention of copyright by the authors or their institutions, at no extra cost.	✓	✓
*The publication must be openly available immediately with CC BY 4.0 licence unless an exception has been agreed by the funder	✓	✓
*Solid system in place for review according to the standards within the relevant discipline and guided by the core practices and policies outlined by the Committee on Publication Ethics (COPE) .	✓	✓
*Details of review system must be openly available on journal and platform websites.	✓	✓
*The journal/platform must provide, on its website, a detailed description of its editorial policies and decision-making processes.	✓	✓
*Payment of publication fees must not in any way influence editorial decision-making	✓	✓
*At least basic statistics must be published annually, covering in particular the number of submissions, the number of reviews requested, the number of reviews received, the approval rate, and the average time between submission and publication.	✓	✓
*Licenses to publish must preserve the right and responsibility of the author/institution to make the VoR or the AAM (or both versions) of the article Open Access immediately upon publication, under an open license.	✓	✓
*No embargo period on the version being made immediately and permanently publicly available, including early view versions.	✓	✓
Mandatory technical requirements for all publication venues		
Use of persistent identifiers (PIDs) for scholarly publications (with versioning, for example, in case of revisions), such as DOI (preferable), URN, or Handle.	✓	✓
Deposition of content with a long-term digital preservation or archiving programme (such as CLOCKSS, Portico, or equivalent).	✓	✓
High-quality article level metadata in standard interoperable non-proprietary format, under a CC0 public domain dedication.	✓	✓
Metadata must include complete and reliable information on funding provided by cOAlition S funders (including as a minimum the name of the funder and the grant number/identifier)	✓	✓
Machine-readable information on the Open Access status and the license embedded in the article, in standard non-proprietary format.	✓	✓

Figure 3a: General Mandatory Plan S Requirements for Compliance through Routes 1 and 2:

Specific to Open Access journals / publishing platforms		
The journal/platform/repository must be registered in the Directory of Open Access Journals (DOAJ) or in the process of being registered.	✓	
Open Access journals must not have a mirror/sister subscription journal with substantial overlap in editorial board	✓	
Transparent costing and pricing – information must be openly available on the journal website / publishing platform	✓	
Must provide APC waivers for authors from low-income economies and discounts for authors from lower middle-income economies, and waivers/discounts for other authors with demonstrable needs	✓	
Waiver policies must be described clearly on the website/platform and statistics must be provided if requested.	✓	
Specific requirements for Open Access repositories		
The journal/platform/repository must be registered in the Directory of Open Access Repositories (OpenDOAR) or in the process of being registered.		✓
Use of PIDs for the deposited versions of the publications (with versioning, for example in case of revisions), such as DOI (preferable), URN, or Handle.		✓
In addition to metadata requirements above, metadata must include information on the DOI (or other PIDs) both of the original publication and the deposited version, on the version deposited (AAM/VoR), and on the Open Access status and the license of the deposited version.		✓
Continuous availability (uptime at least 99.7%, not taking into account scheduled downtime for maintenance or upgrades).		✓
Helpdesk: as a minimum an email address (functional mailbox) has to be provided; a response time of no more than one business day must be ensured.		✓

Figure 3b: Route-Specific Mandatory Plan S Requirements for Compliance through Routes 1 and 2.

This tabular presentation is intended to clarify Plan S requirements for researchers and journals by systematising information that is dispersed in different areas of the official Plan S principles and implementation guidance.

Whether UKRI intends to ‘align’ the policies of each (or only some) of its constituent councils fully with Plan S is unknown. Like the Wellcome Trust, UKRI is a founding ‘Funder’ of cOAlition S. UKRI’s website states that ‘The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.’³³ The public portion of this consultation on UKRI’s research councils and OA is scheduled for autumn 2019 and is due to

³³ On its Open Access Review web page, UKRI currently (October 2019) still cites a Plan S target date for implementation of 1 January 2020, apparently reflecting a failure to update its website since the publication of version 2.0 of Plan S, which shifted cOAlition S’s implementation date from 1 January 2020 to 1 January 2021. <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>.

report in March 2020.³⁴ It will be followed (January-March 2020) by a consultation on new REF OA requirements.

UKRI's complex internal structure comprises multiple councils of different types and distinctive functions. Its seven research councils, which previously operated under the umbrella of RCUK, include the Arts & Humanities Research Council and the Economic & Social Research Council. Each of these seven councils annually offers public *calls* for competitive grants. Funders configured along these lines are the normative national 'type' of cOAlition S 'Funder'.³⁵ UKRI's Research England council—as a government funding body that provides multi-year core grants to all universities—is anomalous in this context. As discussed in the next section ('Unknown 3'), Research England's presence and its complex role in the UK funding clearly complicate Plan S policy decision-making.

Unknown 3. *Quality Related (QR)* and REF Funding and Plan S

It is at present (October 2019) unknown whether UKRI will apply Plan S requirements uniformly to all scholarly articles funded by QR income derived from REF and/or will require all outputs submitted to future REF exercises (that is, after REF2021) to meet Plan S-aligned or Plan S-compliant OA specifications.

One logical interpretation of UKRI's commitments as a founding 'Funder' of cOAlition S would be the extension of Plan S requirements to all journal articles—and, subsequently, all books and book chapters—that are supported by QR research funding allocated via the REF, a system undertaken by Research England. Research England is a council of UKRI and thus a component body of a cOAlition S 'Funder'. It manages REF exercises on behalf of English, Northern Irish, Scottish and Welsh funding bodies. It also allocates QR funding based on REF results to English universities. (The devolved funding bodies undertake this latter role for Northern Irish, Scottish and Welsh universities). QR block grants to universities contribute to research costs that include researchers' salaries.³⁶ In this context, there are those, including cOAlition S 'Ambassador' Professor Martin Eve (co-founder of the Open Library of Humanities), who argue that QR is fully in scope for Plan S compliance.³⁷

³⁴ <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>.

³⁵ The cOAlition S 'Funders' can be found here: <https://www.coalition-s.org/funders/>.

³⁶ Research England is a constituent Council of UKRI; the Higher Education Funding Council for Wales, the Northern Ireland Department for Economy and the Scottish Funding Council are not, nor are they listed among the current members of cOAlition S. More on QR funding: <https://re.ukri.org/research/how-we-fund-research/>.

³⁷ cOAlition S 'Ambassadors' are listed here: <https://www.coalition-s.org/ambassadors/>. Professor Eve's comments of July 2019 can be found here: <https://eve.gd/2019/07/24/the-british-academy-response-misrepresents-plan-s-and-oa/>.

Alternatively, as appears more consistent with the current wording of its website, UKRI (through Research England and the devolved funding councils) could use REF to implement Plan S OA requirements *in substantial part*. That is, the funding bodies could require that

“The extent to which UKRI considers Research England and RCUK to be fully and equally bound by Plan S mandates is unclear. The UKRI website states that Plan S ‘will be considered *as part of* the UKRI Open Access Review’ (my emphasis).¹ This wording strongly suggests that UKRI recognises the anomalous position it occupies as a cOAlition S Funder that comprises both research councils that make calls for competitive, peer-reviewed grants and a body that allocates multi-year block grants to sustain core research capacity to all government-funded UK universities.”

either all or instead a portion of future journal outputs (and subsequently book outputs) submitted to REF would need to meet Plan S requirements. This would have the effect of broadly, but not exhaustively, linking QR-funded research to the Plan S mandates.³⁸

With respect to REF exercises after REF2021, the UKRI website currently states: ‘It is the intention to align as closely as possible to the UKRI OA policy, whilst taking into account the differences for a policy associated with grant funded research and research that is submitted to a UK-wide research assessment exercise.’³⁹ In sum, the extent to which UKRI considers Research England and RCUK to be fully and equally bound by Plan S mandates is unclear. The UKRI website states that Plan S ‘will be considered *as part of* the UKRI Open Access Review’ (my emphasis).⁴⁰ This wording strongly suggests that UKRI recognises the anomalous position it occupies as a cOAlition S Funder that comprises both research councils that make calls for competitive, peer-reviewed grants and a body that allocates multi-year block grants to sustain core research capacity to all government-funded UK universities.

³⁸ Not all peer-reviewed QR-funded research is submitted in REF exercises. Thus, if REF were used to ‘police’ Plan S ‘compliance’, not all QR-funded research would be captured, and not all QR-funded research would need to be Plan S OA compliant. However, pre-selecting particular outputs for Plan S compliance and thus for REF-eligibility in advance of agreed Research England REF guidelines and Research England approval of universities’ individual REF Codes of Practice would both be a logistical nightmare for universities and an open invitation to violate **EDI** (Equality, Diversity and Inclusion) as protected by legislation such as the 2010 Equality Act (for England, Scotland and Wales).

³⁹ <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>: ‘Open access policy for the REF after next’.

⁴⁰ <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>: ‘Open access policy for the REF after next’.

PART 4. RESEARCH AND JOURNAL PUBLICATION IN HISTORY

Journal publication plays a significant role in History, notwithstanding History is often described as ‘a book discipline’. In REF2014, UK universities entered 83 History Units of Assessment (UoAs) with 1,786 FTE staff. There were 6,431 submitted History outputs, of which 2,479 (38.5%) were journal articles.⁴¹ For ECRs in particular, journal publication plays an instrumental role in securing postdoctoral awards and employment. Publication of a first monograph in History typically takes several (usually three or more) years after completion of the PhD. In these early postdoctoral years, characterised by high levels of economic and institutional precarity, publication of high calibre journal articles lays essential groundwork for historians’ employment in research organisations.

At present, History ECRs establishing research careers rely on—and benefit from—a broad-based international system of journal publication in which pay-to-publish is the exception, not the rule. Their access to external funding for research is patchy and limited, as is their access (subsequent to completion of the PhD) to OA repositories. Student and postgraduate cohorts in History exhibit more racial and ethnic diversity than senior university staff cohorts.⁴² Supporting ECRs is an essential part of increasing the representation of Black and Minority Ethnic researchers in History, the fifth least diverse UK university discipline.

What are the dominant features of History journals?

No definitive figure is available, but estimates suggest that there are well over 1,000 History journal titles globally. Using sources such as the Scopus database, Helen Preskett of Taylor & Francis Journals Division identified 1,070 journals with a ‘History’ designation.⁴³ These data provide a broad preliminary framework for identifying the salient features of History research articles and History journals.

English is the dominant, but by no means exclusive, language of publication within History journals. Of Preskett’s journals, 649 (61%) are published in English alone and 184 (17%) in English and one or more other languages. Thus, History journals that publish at least part of their content in English together constitute 78% of this list. As noted below in Part 5 below,

⁴¹ REF2014 Panel D Report, pages 50, 52:

<https://www.ref.ac.uk/2014/media/ref/content/expanel/member/Main%20Panel%20D%20overview%20report.pdf>.

⁴² RHS, *Race, Ethnicity & Equality: A Report and Resource for Change* (2018), esp. pages 38–43:

<https://royalhistsoc.org/policy/race/>.

⁴³ Many thanks to Helen Preskett for providing these data by email. They are intended to offer a preliminary estimate, not a definitive accounting of all History journals.

the dominance of English as the language of publication in History journals as a whole contrasts sharply with the OA History journal landscape, in which Spanish appears to strongly predominate. This is unsurprising given that South and Central America, and Spanish and Portuguese-speaking countries, are in many respects leading the way in global OA initiatives.⁴⁴

Proprietary journals owned by publishers constitute the largest category of History subscription journals, with learned societies and subject associations owning the bulk of other outlets. Self-published journals represent a small but important minority of History journals, and may be especially important for specialist sub-fields and interdisciplinary studies. Perhaps 40% of the 66 History journals published by Taylor & Francis, for example, are associated with scholarly societies. Oxford University Press reports that two-thirds of their more than 350 journal titles are published for learned societies.⁴⁵ In the summer 2019 RHS survey, 57% of responding History journals were society rather than proprietary journals. This weighting may be higher (as suggested by the T&F History journals list), lower (as perhaps suggested by the OUP journals list) or in line with the representation of learned society journals among all History journals that publish research articles. If higher, this skew may reflect the predominance (55%) of UK-based journals in our sample and UK learned society editors' greater recognition—compared to the editors of UK proprietary journals and international journals—of the potential impact of Plan S on the continued viability of H&SS learned societies in the UK.

Subscription journals strongly predominate over OA journals in Preskett's list of 1,070 History journals. In all, only 157 (15%) are OA publications registered in the *Directory of Open Access Journals (DOAJ)* and/or the *Directory of Open Access Scholarly Resources (ROAD)*. As detailed below in Part 5, the total number of OA journals that DOAJ lists under its two History categorisations is 110. Not all DOAJ-registered journals that publish History research articles are categorised in DOAJ as 'History', and not all OA History journals are registered with DOAJ. A very rough working estimate of OA History journals suggests perhaps 200 or fewer titles, or somewhat less than 20% of the total figure for all History journals.

⁴⁴ Many Latin American and Caribbean countries have government-led systems and strategies for improving accessibility to data, including laws requiring institutions receiving public funds to create repositories, and/ or the creation of national repositories and networks of repositories, or clear leadership on incorporating publicly-funded research into international repositories. 13% of all Latin American journals are open access, and 51% of online journals.⁴⁴ Spain's RECOLECTA or "Open Science Harvester" is managed by the Spanish Foundation for Science and Technology (FECYT) in collaboration with the University Libraries Network (REBIUN) to bring all the national scientific repositories together on a single platform. The La Referencia website harvests open access publications from nine Latin American countries, and currently hosts 1.7 million documents. See Dominique Babini, "Open access initiatives in the Global South affirm the lasting value of a shared scholarly communications system." <https://blogs.lse.ac.uk/impactofsocialsciences/2013/10/23/global-south-open-access-initiatives/>.

⁴⁵ Taylor & Francis estimate kindly provided by Helen Preskett; OUP statistics—which refer to all OUP journals, not specifically to all OUP History journals—from: https://academic.oup.com/journals/pages/societies/about_oup.

Data from REF2014 highlights the range and diversity of the journals in which high-calibre historical research is published. The author examined 7 of the 83 History UoAs that submitted outputs in REF2014. Together, the 887 research articles their staff submitted represented 13.7% of all research outputs in History in REF2014. These 887 articles, submitted by 264.03 staff FTEs, were published in a total of 192 journals. Just under 10% of these journals (19) are published in languages other than English. ‘Clumping’ around specific journals within any given UoA was limited. For example, Cambridge, with 115.20 FTE staff, submitted articles published in 91 different journals. Appendix 2 summarises these data.

How is the research published in peer-reviewed History journal articles funded?

An analysis conducted in 2019 by William Farrell for the Local Population Studies Association examined 20,370 articles published in 340 national and international History journals from 2014 to 2018. Of these, 2,887 (14%) acknowledged external funding.⁴⁶ A much smaller RHS sample of 350 History articles published in UK learned society journals in 2015-2017 found that 255 (72.9%) research articles listed no external funding. Of these 350 articles, only 28 (8%) acknowledged funding from a member of cOAlition S.⁴⁷ An AHRC analysis of 2009—the most recent year for which we have reliable evidence—found that the balance of UK Arts & Humanities between QR funding and AHRC grants was 85.8% QR to 14.2% AHRC. In subject areas outside Arts & Humanities, in contrast, the contribution of QR varied from 35% to 65%.⁴⁸ A reasonable working assumption, common in the current literature on OA policy, and echoing similar figures by the Academy of Social Sciences response to Plan S is that c. 80% of UK Humanities research is not funded by major external research grants.⁴⁹

QR provides a bedrock of funding for UK History researchers in the higher education sector, but self-funding of research is endemic in History, both within and outside universities. No comprehensive figures for the proportion of History research that is self-funded are available, but both self-funding of PhDs and self-funding of research by precariously-employed ECRs, many of whom work part-time and/or on fixed-term (often teaching-only) contracts, are pervasive in the UK.⁵⁰ Moreover, self-funding by conducting research outside contracted hours extends far beyond precariously employed ECRs. It is common both for externally-funded and QR-funded university-based research in History. In a recent RHS survey of UK

⁴⁶ Margot Finn, ‘Plan S and UK Learned Societies’ (8 February 2019), page 42: <https://royalhistsoc.org/plan-s-consultation-feb-2019/>. Acknowledgements of funding in individual articles, the source of these data, likely under-register external funding, including small grants from charities.

⁴⁷ Ibid., pages 40-42.

⁴⁸ Shearer West/AHRC, ‘Arts and Humanities Research Landscape’ [2009], pages 6-7. It is not clear from this AHRC report how these figures compare to funding from bodies such as the British Academy and Leverhulme Trust.

⁴⁹ Academy of Social Sciences response to Plan S, and UKRI implementation: <https://www.acss.org.uk/wp-content/uploads/2019/02/AcSS-Plan-S-Final.pdf>.

⁵⁰ In the author’s own department, in 2018-19, half of all History PhD students were self-funding.

university historians, most respondents reported working ‘a lot’ at weekends, and many reported giving up annual leave to manage their workloads. These responses were highly gendered. Overworking ‘a lot’ at weekends was reported by 72.5% of female and 52.6% of male respondents; giving up annual leave was reported by 51.7% of female and 37.0% of male respondents.⁵¹

Given the significant, known differentials in pay and promotion for research staff with protected characteristics—UK BME staff in 2017-18, for example, had a pay gap of 9% compared to white staff, rising to 14% for Black academics—self-funding of research in H&SS has important equalities implications.⁵² Historians’ frequent resort to self-funding to obtain images for publication in their articles and books illustrates one common type of H&SS self-funding for research with significant repercussions for OA publishing. Images and other content owned by third parties provide vital data for many historians and the reproduction of third-party content is integral to effective argumentation in many History journal articles. Many national and local archives, libraries and museums charge for access to and/or reproduction of

“Paying for rights to reproduce images by full and immediate OA is—where it is allowed by third-party rights holders at all—often disproportionately costly (compared to charges for conventional publication). For historians who deploy images in particular, self-funding can entail substantial out-of-pocket research expenses and publication subventions.”

this content. Paying for rights to reproduce images by full and immediate OA is—where it is allowed by third-party rights holders at all—often disproportionately costly (compared to charges for conventional publication). For historians who deploy images in particular, self-funding can entail substantial out-of-pocket research expenses and publication subventions. QR funding is rarely sufficient to cover these costs for ‘unfunded’ H&SS researchers. St Andrews University art historian Professor Kathryn Rudy recently reported spending over £24,000 from her salary from 2011 to 2019 to secure image rights for her research publications.⁵³ Personal expenditure on this scale for research costs is not known to operate in subjects in Science, Technology, Engineering and Mathematics, in which women constitute only 14.4% of the UK workforce.⁵⁴ In UK university History departments, 41.6% of academic staff are women.⁵⁵ Modelling whether (or not) Plan S-aligned OA policies will entail self-funding research costs that fall disproportionately on researchers with ‘protected’

⁵¹ Nicola Miller et al., *Promoting Gender Equality in UK History: A Second Report and Recommendations for Good Practice*, page 40:

⁵² <https://www.ucu.org.uk/article/10360/Black-academic-staff-face-double-whammy-in-promotion-and-pay-stakes>.

⁵³ Kathryn M. Rudy, ‘The True Costs of Research and Publishing’, *Times Higher Education*, 29 August 2019: <https://www.timeshighereducation.com/features/true-costs-research-and-publishing>.

⁵⁴ <https://www.theguardian.com/science/head-quarters/2018/mar/08/bridging-the-gender-gap-why-do-so-few-girls-study-stem-subjects>.

⁵⁵ Miller et al., *Promoting Gender Equality in UK History*, page 17.

characteristics should be an integral part of all stakeholders' responses to the UKRI consultations.

Much History research in the UK is undertaken outside the UKRI (or broader cOAlition S) framework: this includes most research by staff based in archives, libraries and museums as well as the scholarship undertaken by independent researchers, emeritus staff and many ECRs. Institutional contributions (which may include, but are not confined to, funds from QR), charitable donations and researcher self-funding underpin the bulk of research published in History journals.

PART 5. OPEN ACCESS HISTORY JOURNALS, DOAJ AND PLAN S

Publishing in an OA journal that meets multiple cOAlition S requirements is the first (Route 1) of three alternative routes to Plan S compliance. cOAlition S specifies that OA journals must be registered in the DOAJ or have applied for DOAJ registration for compliance with its requirements via Route 1. DOAJ is the key international database for OA research journals. It is an independent, community-curated directory.⁵⁶ Inclusion in DOAJ alone, however, does **not** confer Plan S compliance on an OA journal, a vital point for researchers, editors, research managers and funders to grasp. Significantly—and partly in response to RHS’s April Working Paper on History Researchers and Plan S—DOAJ has emphasised that it ‘is not a confirmed “partner” of Plan S’.⁵⁷

Examining the Directory of Open Access Journals (DOAJ) provides a proxy mechanism for estimating UK historians’ potential access to this Route 1 Plan S compliance. DOAJ is an imperfect, but revealing, source of evidence for this exercise. Three main conclusions result from a subject-level analysis of DOAJ-registered History journals.

- these journals do not offer sufficient scope or volume to provide UK History researchers with access to journals that are both Plan S-compliant and meet standard expectations for submission as History REF outputs. For example, these OA outlets appear to constitute less than 20% of all History journals and they predominantly publish in languages other than English.
- because the great majority of these OA journals do not meet the twenty Plan S requirements for Route 1 compliance, a rigid adherence to Plan S mandates may perversely drive researchers away from established OA journals in the DOAJ (for example, toward subscription journals under Route 2 of Plan S).
- the quality of journals registered with DOAJ is highly variable. Some of these journals appear to have excellent scholarly standards and to have successfully established sustainable peer-reviewed publications that have published substantial articles in a timely manner for many years. These journals potentially provide a limited number of excellent outlets for high-calibre History journal articles suitable for REF submission. Many of the DOAJ-registered journals, however, do not meet this scholarly standard. Common problems include infrequency of publication, low standards of historiographical engagement and/or referencing and an apparent lack of capacity to publish articles of standard REF-submission length for the discipline.

⁵⁶ <https://doaj.org/>.

⁵⁷ ‘DOAJ’S Open Letter To SSHA Communities About Plan S’ (16 May 2019).

<https://blog.doaj.org/2019/05/16/doajs-open-letter-to-ssha-communities-about-plan-s/>. In June, DOAJ noted that ‘DOAJ expects to be involved in the implementation of Plan S and this will lead to additional criteria for journals to become Plan S compliant’. (14 June 2019) <https://blog.doaj.org/2019/06/14/regarding-a-delta-think-blog-post-analysing-the-doaj/>.

DOAJ History Journal Characteristics:

DOAJ uses a subset of the Library of Congress Classification system to categorise OA journals by subject area. It sorts History journals into two categories: 'History (General) and history of Europe' and 'History America'.⁵⁸ Registration of journals that publish articles on areas outside Europe and the Americas, notably Africa, Asia and the Middle East appears to be very limited. DOAJ recognise that their coverage of H&SS research more broadly is 'not good enough' and have committed to 'actively tackling' this problem.⁵⁹ A recent guest-post on their blog surveys the OA landscape in Africa, for example, and notes that 196 journals based in Africa (across all disciplines) are now registered with DOAJ. It also draws attention to major obstacles to access to OA journals in many African nations, due to factors that include government censorship of the internet, the lack of stable ICT systems and unaffordable telecommunications pricing.⁶⁰

"Inclusion in DOAJ alone does not confer Plan S compliance on an OA journal, a vital point for researchers, editors, research managers and funders to grasp."

DOAJ's 'History (General) and history of Europe' category included 95 journals on 18 September 2019. Clicking through from DOAJ to each journal's homepages (or using Google to identify the homepage where the DOAJ link was broken) revealed that 2 journals had discontinued publication, leaving 93 active, fully OA History journals in this category. These journals have an impressive global reach: they include outlets based (for example) in Estonia, France, Poland, Portugal, Romania, Russia, Spain, Turkey, the UK and Ukraine.

DOAJ's 'History America' category includes 18 journals, 1 of which (*Historia 2.0: Conocimiento Histórico en Clave Digital*) appears to have stopped publishing in 2016. The 17 active journals in this category are based in 10 nations: Argentina, Brazil, Chile, Colombia, Costa Rica, France, Italy, Mexico, Romania and Spain. Four of these 17 journals are based in Spain, 3 in Argentina and 2 each in Chile, Colombia and France.

In total, DOAJ thus currently has 110 active OA 'History' journals on its register. The History journal data supplied by Helen Preskett, in contrast, included 157 OA History journals. This disparity likely reflects the fact that many Area Studies and interdisciplinary journals contain substantial History content, and (relatedly) the absence of Africa, Asia and the Middle East from DOAJ's History subject classifications. This is a serious absence, given the global nature of History scholarship.

⁵⁸ DOAJ: Browse Subjects: <https://doaj.org/subjects>.

⁵⁹ 'DOAJ's Open Letter' (16 May 2019): <https://blog.doaj.org/2019/05/16/doajs-open-letter-to-ssha-communities-about-plan-s/>.

⁶⁰ Ina Smith, "Guest Post": <https://blog.doaj.org/2019/10/11/guest-post-overview-of-the-african-open-access-landscape-with-a-focus-on-scholarly-publishing/>.

DOAJ History journals and language of publication

Languages other than English dominate History journals registered in DOAJ. The 93 active journals in DOAJ's 'History (General) and history of Europe' classification publish peer-reviewed research articles in 19 main languages or combined language groups.⁶¹ Ten journals (10.8%) publish in English alone. Twenty-one journals (22.6%) publish in English and another language: French, Finnish, German, Greek, Lithuanian, Portuguese, Romanian, Russian, Serbian and Spanish. Together these two types of 'English' language journals represent 33.3% of the sample. By far the largest proportion of journals published in a single language are the 27 (29.0%) published in Spanish.

Of the 17 active 'History America' titles in DOAJ, 3 (17.6%) publish research articles exclusively in English and 2 (11.8%) in English and a second language (either French or Spanish). Thus under a third (5 of 17 journals, or 29.4%) afford an opportunity for Anglophone authors to publish their articles without translation from English. The remainder publish in a continental European language, with Spanish (11 journals or 64.7% of all 17 journals) by far the dominant language.

Publication of History articles in a language other than English is an integral part of many UK historians' scholarly profiles, and is especially important for researchers who focus on continental European history and the History of the Americas. The availability of so many OA History journals in languages other than English is thus an asset to the international History research base. However, UK-based historians work within a professional framework that is overwhelmingly Anglophone. Outside specialised sub-fields, appointment panels, assessors for grants and promotions and prize committees in the UK typically lack the linguistic skills to assess substantial volumes of research in History that is published in languages other than English. Realistically, OA journals in which Spanish is the dominant language cannot accommodate more than a small fraction of UK History research.

"Outside specialised sub-fields, appointment panels, assessors for grants and promotions and prize committees in the UK typically lack the linguistic skills to assess substantial volumes of research in History that is published in languages other than English. Realistically, OA journals in which Spanish is the dominant language cannot accommodate more than a small fraction of UK History research."

⁶¹ My figure for English language journals is considerably lower than suggested by DOAJ's descriptions of the language of publication. The latter often list 'English' when only article abstracts (not articles themselves) are published in English. I have counted journals as publishing in English if they have published a research article in English in the most recent issue of the journal I could access. The 19 language groups are: Arabic, Czech, Dutch & Flemish, English, English & Another, Estonian, French, German, Indonesian, Italian, Persian, Polish, Portuguese, Romanian, Russian, Spanish (including Castilian), Swedish & Finnish, Turkish and Ukrainian.

DOAJ History Journals and publication frequency

Periodicity emerges from an examination of DOAJ data as a significant limitation of OA History journal publication. Although some History subscription journals are produced only annually or twice-yearly, most publish four or more issues each year. Among the subscription journals that are repeatedly represented in the sampled REF2014 submissions in Appendix 2 for example, the *American Historical Review* publishes 5 issues/times a year; the *Economic History Review* publishes 4 issues a year; the *English Historical review* publishes 6 issues a year; the *Historical Journal* publishes 4 issues a year; *Past & Present* publishes 5 issues a year and *Cultural & Social History* publishes 5 issues a year. In 2012, *Social History of Medicine* increased from 3 to 4 issues a year. Many subscription journals also release individual journal articles weeks or months in advance by ‘Early View’ online access. This frequency of publication has important implications for authors, especially for ECRs beginning to establish publication profiles and seeking postdoctoral funding and university employment.

The frequency (or infrequency) of publication as well as the timeliness (or not) of publication also offer a potential windows onto the labour processes (and thus the sustainability, or not) of OA journal publication in History. Data from DOAJ’s ‘History (General) and History of Europe’ classification are suggestive in this respect. Of the 93 active ‘History (General) and history of Europe’ titles identified on 18 September 2019, 60 (or 65.5%) had published an issue in 2019. A further 28 (30.1%) had last published in 2018, 4 (4.3%) had last published in 2017, and the remaining journal had last published in 2016. In some cases the absence of publication in 2019 appears simply to reflect annual publication of the journal; for other journals, however, it clearly reflects a lag-time in publication schedules of journals that normally publish more than a single issue annually.

There are also intriguing anomalies in the data on ‘Time from Submission to Publication’. This is a key metric supplied by DOAJ, and the publication of such data is a Plan S requirement for compliance (see **Figure 3a**). The lack of fit between this figure and the date of journals’ most recent publication is in some cases significant. Except where these journals offer ‘Early View’ publication, it is logically problematic to reconcile stated times between submission and publication of, for example, 4-6 weeks with the absence of any publication by a journal in 2019.⁶²

Impressionistically, the typical periodicity of these OA journals appears to be less than that for subscription History journals, and the lag-time in publication schedules appears to be more than is usual in subscription journals. These data are amenable to systematic analysis across all UKRI-funded subjects and merit further study by cOAlition S Funders. The author’s

⁶² The purpose of this report is not to ‘name and shame’ individual History OA journals: their editors are to be commended for innovation in an environment that is dominated by other, highly commercialised modes of scholarly communication. Readers can easily test the statements in the paragraph above by clicking through from individual DOAJ History journal listings to the Homepages and most recent issues of their respective journals.

working hypothesis is that editors operating outside the demands of the subscription system—which relies upon revenues from subscribers and thus is incentivised to publish on time—may be less inclined (or less able) to adhere to routinized and frequent publication schedules. Professional publishers operate with clearly articulated production cycles, promoting timely publication. It is also possible that OA journal editors in H&SS or as a whole work within an institutional and/or funding framework which offers less professional support than is provided for subscription journals by university and commercial presses.⁶³ Journals affiliated with university or commercial presses typically benefit from both regular revenues

“Sustainable OA publication *at scale* without a stable source of external funding is an impressive ambition. It is also an untried proposition for UK H&SS journals.”

and from economies of scale.⁶⁴ Sustainable OA publication *at scale* without a stable source of external funding is an impressive ambition. It is also an untried proposition for UK H&SS journals. DOAJ data deserve much more systematic scrutiny by stakeholders, including learned societies and cOAlition S Funders such as UKRI and the Wellcome Trust, in this context.

OA and high-calibre History publication

Does the quality of research articles in History journals listed in the DOAJ match, exceed or fall short of the quality of research articles in subscription journals? This important question, which is amenable to testing, is regrettably beyond the scope of this report. Given the emphasis many editors of high-calibre H&SS (and STEMM) journal editors place on the added value of careful peer-review and editorial process,⁶⁵ the very short turn-around times (between submission and publication) cited in DOAJ are significant. For example, in the larger of the two History categories, journals that reported a turn-around time of 4 weeks include *E-Spania*, *La Razón histórica*, *Revista hispanoamericana de Historia de las Ideas*, *Studia Historica*, *Historia Medieval*, and *Revista de História da UEG*. The speed of review reported by these journals may reflect exceptionally high levels of editorial efficiency, or unusually low levels of editorial intervention, relative to History subscription journals, in which this interval is more usually 3 or more months.

In compiling the DOAJ data discussed above, the author sampled research articles in English and French in the ‘History (General) and history of Europe’ classification. Reading a selection of articles broadly within her area of research with the three REF output criteria—originality,

⁶³ Many thanks to Professor Jane Winters for her reflections on this theme.

⁶⁴ See the interesting reflections by Gerda Wielander and Heather Inwood on the re-launch of the *British Journal of Chinese Studies*, 9: 2 (2019), iv-vi: <https://bjocs.site/index.php/bjocs/article/view/32>.

⁶⁵ See for example the detailed comparative analysis of a Civil Engineering and a History journal in Alice Cochran and Karin Wulf, ‘Editing is at the Heart of Scholarly Publishing’, *Scholarly Kitchen* (24 April 2019): <https://scholarlykitchen.sspnet.org/2019/04/24/editing-is-at-the-heart-of-scholarly-publishing/>.

significance and rigour—in mind demonstrated that many History journals in DOAJ publish excellent research articles, suitable for example for REF submission.

This reading process, however, also revealed a significant number of History journals that few informed UK-based historians would consider appropriate for REF outputs. Several of the English language journals, for example, exhibit low standards of prose, obscuring authors' meaning or lines of argument. Length of articles and referencing are also problematic. In a more systematic survey of OA outlets registered in DOAJ for the sub-field of history of medicine, undertaken for a previous RHS Working Paper, it appeared that relatively few DOAJ-registered journals publish history of medicine articles of the typical length of high-calibre academic History outputs. Short-length History outputs were, in REF2014, associated with lower scores than more substantial research articles and book chapters.⁶⁶

DOAJ as a research tool for prospective Plan S-compliant authors

Having co-opted DOAJ to its cause without advance notice with the publication of Plan S version 1.0 in 2018, cOAlition S in May 2019 announced that it would 'work with' DOAJ and other providers to develop tools to allow researchers to identify Plan S compliant OA journals.⁶⁷

A schematic survey of DOAJ's History journals suggests at least two changes are needed if it is to become a viable finding aid for prospective article authors seeking Plan S compliant journals:

- the classification system must be significantly improved, to include and accurately allocate journals and articles in all sub-fields (for example, of History) and to return fewer false positives in searches for journals. Interdisciplinary journals, for example the Area Studies journals in which articles in so-called 'Rest of the World' are often published, as well as smaller and/or emerging areas of scholarship, may prove especially challenging;

⁶⁶ Margot Finn. 'Wellcome Trust, Medical History/Humanities & Plan S' (9 April 2019), page 18 and Appendix 1: <https://5hm1h4aktue2uejbs1hsqt31-wpengine.netdna-ssl.com/wp-content/uploads/2019/04/RHSWellcomePlanSWorkingPaperApril2019.pdf>. There is no automatic correlation between the quality of History publications and their length, but the History sub-panel report from REF2014 clearly indicated that some shorter outputs tended to be associated with lower scores. The author was a member of the History sub-panel in REF2014 and her assessment in this respect is informed by that experience.

⁶⁷ 'cOAlition S will work with the Directory of Open Access Journals (DOAJ), the Directory of Open Access Repositories (OpenDOAR), SHERPA/RoMEO, Efficiency and Standards for Article Charges (ESAC), and other potential partners to establish mechanisms for identifying and signalling whether journals/publishing platforms, repositories, and transformative arrangements respectively fulfil the cOAlition S requirements as detailed in Part III of this guidance. cOAlition S will support the development of a tool that researchers can use to identify whether venues fulfil the requirements.' Part II, point 2 ('Plan S Compliance'): <https://www.coalition-s.org/principles-and-implementation/>

- DOAJ will need to add considerable new information to its register to allow prospective authors to check for Plan S compliance. The splintering in cOAlition S Funders' individual definitions of Plan S 'alignment', evident for example in UKRI's recent policy statements, suggests that any SHERPA-type finding aid may need to be Funder-specific, rather than generic to cOAlition S Funders as a whole;

Currently, DOAJ's two History classifications encompass only a limited array of research fields, and keyword searches frequently yield results that either significantly underestimate or significantly overestimate available journals. For example, environmental history appears to be under-represented within the History classifications, because its journals are often classified as 'General Works', 'Geography', 'Anthropology' or 'Recreation'. The entire 2019 volume of *Asian Studies* is dedicated to a historical theme, but is listed by DOAJ in the categories of Area Studies, Sinology, Japanology, Korean studies, Indian studies. In contrast, a simple search in DOAJ conducted in March 2019, using 'medical history' as its search term, identified 19 putative medical history journals. Of these journals, 6 (or 32%) proved on examination to have few if any scholarly History research articles; several instead predominantly publish clinical results and/or are intended for medical practitioners or for a general or student audience.⁶⁸

Established years before cOAlition S, DOAJ is an important resource that contains a wealth of information about OA journals. Unsurprisingly however, it does not register all the information required for Plan S compliance. Some entries, for example for the Austrian journal *Medieval Worlds*, specify that the editors adhere to the Committee on Public Ethics (COPE) framework, required for Plan S compliance; others, such as the Iraqi *Journal of Babylon Center for Humanities Studies*, instead reference UN human rights laws. All DOAJ-registered journals provide basic information about their peer review process, as required for Plan S compliance; almost none however supplies the mandated annual statistics on acceptance and rejection rates. The 'Mandatory technical conditions for all publication venues', required by cOAlition S, are not systematically logged on DOAJ.⁶⁹ As presently configured, DOAJ thus does not provide a viable tool for identifying Plan S compliant (or aligned) OA History journals. If 'alignment' diverges significantly among cOAlition S Funders, the volume of work required to convert DOAJ into a reliable tool for prospective authors will be formidable. This will require significant external financial and personnel support, a commitment that cOAlition S are not currently known to be making. From a researcher perspective, an implementation date for Plan S alignment of 1 January 2021 is highly ambitious in this context.

The inclusion of existing OA History journals that are not in the DOAJ would create a dataset that would allow much more comprehensive analysis of OA within H&SS journal publishing

⁶⁸ Finn, 'Wellcome Trust, Medical History/Humanities', pages 17-18.

⁶⁹ <https://www.coalition-s.org/principles-and-implementation/> : Part III, 1.1.

than is at present possible. The availability and systematic scrutiny of such comprehensive data would significantly enhance analysis of the strengths and weaknesses of OA publication and OA journals' impact on the scholarly publication landscape. Although a third (31 of 93) of journals in the 'History (General) and history of Europe' category have been registered with DOAJ since 2014 or earlier, for example, History editors' knowledge of DOAJ in the UK and the Global South (outside the Americas) appears to be limited, even among active OA practitioners. Research undertaken during the 2019 RHS journal survey revealed several OA History journals that are not DOAJ registered. Neither the British Society for the History of Science's OA *Themes* journal nor the OA *Indian Journal of the History of Science*, for example, is registered with DOAJ. The *British Journal of Chinese Studies* and the *European Journal for Korean Studies* are also absent from DOAJ. DOAJ clearly states that 'not all open access journals can or should be in DOAJ'.⁷⁰ Nevertheless scholars working within a Plan S-aligned policy framework will need an infrastructure that can capture a much fuller range of OA journals published in H&SS. If cOAlition S Funders intend to provide a SHERPA-type finding aid for compliant OA journals based on the DOAJ framework—and DOAJ is one of very few resources with the potential to develop into such a resource, given the timeframe constraints of Plan S—DOAJ will require very substantial thought, financial investment and labour.

"Taken together, the DOAJ data on History journals suggest that, unless UKRI implements a significant relaxation of cOAlition S's complex requirements for Route 1 compliance, Plan S may limit—rather than enhance—UK historians' opportunities to publish in OA journals. This potentially perverse outcome reflects the extant OA journal landscape's organic growth over the past decade outside the framework of cOAlition S funding."

Taken together, the DOAJ data on History journals suggest that, unless UKRI implements a significant relaxation of cOAlition S's complex requirements for Route 1 compliance, Plan S may limit—rather than enhance—UK historians' opportunities to publish in OA journals. This potentially perverse outcome reflects the extant OA journal landscape's organic growth over the past decade outside the framework of cOAlition S funding. The prominence of Spanish-language History journals is an obvious case in point. It appears to reflect years of institutional investment by Spanish universities and their academic departments as well as funding from Spanish government ministries and corporate providers such as Banco Santander.⁷¹ DOAJ itself does not—unsurprisingly, given that it evolved independently of Plan S—afford an efficient tool for navigating the complex diet of Plan S requirements. It does, however, provide an important dataset for assessing the contours of the OA scholarly journals landscape in H&SS.

⁷⁰ <https://blog.doaj.org/2019/09/17/myth-busting-all-open-access-journals-can-be-listed-in-doaj/>

⁷¹ Many thanks to Professor Julio de la Merino of the Universidad de Castilla-La Mancha for detailed information on the funding of Spanish OA journals in the field of contemporary history.

PART 6. THE 2019 RHS SURVEY OF HISTORY SUBSCRIPTION JOURNALS

In July-September 2019 the RHS sent a short survey to the editors of c.150 UK and international History journals that publish peer-reviewed original research articles. This report includes data from the 107 completed surveys we received in response. These journals are published by 26 presses and include both learned society and proprietary journals. A list of the journals whose surveys have been included can be found in Appendix 3. The survey text can be accessed from the RHS website.⁷²

Survey methodology

The survey was designed to generate data for a rapid snapshot of History journals and their publishers with respect to Plan S awareness and planning. These data are neither fully systematic nor comprehensive. However, they are more substantive than no data whatsoever, and significantly more robust than pure speculation on the potential impact of Plan S in the UK in absence of subject-specific data. The paucity of actual evidence grounded in editorial practices that is adduced in discussion of Plan S, and the broader absence of an evidence-based scholarly rationale for the wider cOAlition S agenda, are striking and persistent features of current OA debates. In a scientific context, this feature of Plan S is highly anomalous. It is hoped that the RHS survey results may contribute to an evidence-based analysis of Plan S and OA publishing in H&SS subjects.

The RHS survey asked editors to answer a series of questions to determine the current alignment of their journal with Plan S requirements, and any future plans to become Plan S 'compliant'. Options for including free text commentary were available, and many respondents made use of this opportunity to comment on their strategic thinking. Several also volunteered comments and evidence in separate emails or conversations to the author of this report. Email exchanges with several publishers of the surveyed journals also ensued.

Some journal editors replied that they were unable to complete the survey because they lacked time, expertise or information to do so. Many editors sought assistance in completing their survey from their publisher; a minority simply forwarded the survey to their publisher contact to complete it for them. The quantitative data presented in this report include only individual surveys completed by journal editors (or their publisher contacts) for specified journals.

⁷² The text of this survey can be viewed here: <https://royalhistsoc.org/policy/publication-open-access/rhs-working-paper-plan-s-hybrid-history-journals/>. Answers were manually entered into a Google Form by the RHS to enable data analysis.

“Learned societies are separate legal entities from their publishers, and typically have portfolios of activity that are not confined to journal publishing. In the UK, where most societies are registered charities, they also operate within a different regulatory framework than the commercial presses with which many of them publish. Simply conflating publishers’ and journals’ OA interests and strategies is mistaken and unwise.”

An important point to register is that scrutiny of publishers’ default OA policies alone distorts analysis of the potential impact of Plan S-aligned OA policies. Journals owned by learned societies can choose either to opt in or to opt out of their publishers’ OA policies. Within the parameters set by their existing contracts, they can also choose to stay with or to leave their existing publishing partners. Learned societies are separate legal entities from their publishers, and typically have portfolios of activity that are not confined to journal publishing. In the UK, where most societies are registered charities, they also operate within a different regulatory framework than the commercial presses with which many of them publish. Simply conflating publishers’ and journals’ OA interests and strategies is mistaken and unwise.

The overall response rate to the survey was high, given that History journal editors typically undertake their editorial duties in addition to full-time university employment. Tellingly, many editors responded to the survey at weekends or during evening hours. These were also the times at which most of them were contacted by the author.

Characteristics of the journals included in the RHS survey

The resulting sample of journals published by 26 presses is thus neither fully systematic nor exhaustive. However, it includes:

- journals that publish articles on the histories of all regions of the world;
- journals spanning a chronology that stretches from ancient to contemporary History;
- journals with diverse methodological orientations including (for example) area studies, cultural history, diplomatic history, gender history, intellectual history, medical history, military history, religious history, the history of science and social history;
- publications sponsored by UK and international learned societies as well as proprietary journals owned by publishers;
- journals that self-publish as well as journals published by both large and smaller university presses, independent presses and a range of UK and international commercial presses.

Nevertheless, our overall sample size is small. Subtracting the 157 OA journals from the 1,070 History journals identified by Helen Preskett (discussed in Part 5) yields 913 subscription History journals. Our 107 journals represent 11.7% of that total. There are also known ‘skews’ within our survey responses as a whole.

Geographical coverage of survey respondents

History is an inherently international discipline, and determining where a journal is ‘based’ is not an exact science. Many journals have international editors and/or editorial boards, as well as international authors.⁷³ With these caveats, our sample is overwhelmingly concentrated in the Global North. This focus appears to reflect a combination of factors. These include:

- wider global patterns of investment in scholarly subscription journals;
- the exclusive use of English language on the cOAlition S website and the predominant use of English in the RHS survey;
- the absence of Chinese-language journals from the RHS contact list;
- the relatively low response rates from editors in the Global South, compared to editors based in the UK and North America in particular.

Chart 1 summarises our survey’s geographical coverage. Just over half (55.1%) of responding journals are UK-based; one straddles the UK and the Republic of Ireland. US and Canadian journals constitute 20 respondents (18.7% of the sample). Just under three-quarters are based in either the UK or North America. Ten non-UK European journals (9.3%) responded; 18 (16.8%) journals are best described as multi-national.

Anglophone journals dominate our survey: of 103 journals that indicated a language of publication (96%) publish in English. This figure is higher than the typical proportion of English-language articles in the sample of History REF2014 outputs, detailed in **Appendix 2**. It clearly underrepresents journals that publish in languages other than English. It also provides a sharp contrast to the OA History journals registered in DOAJ, in which English appears to be less dominant than Spanish; none of the journals in our survey are Spanish-language journals.

⁷³ If a journal is linked to a learned society or similar organisation, we have determined its location in relation to the Society. For journals without links to a Society or similar organisation, we have determined the journal’s location by considering the Editors and Editorial Board (particularly when published by an international publisher). We have not determined a journal’s location by its publisher’s location.

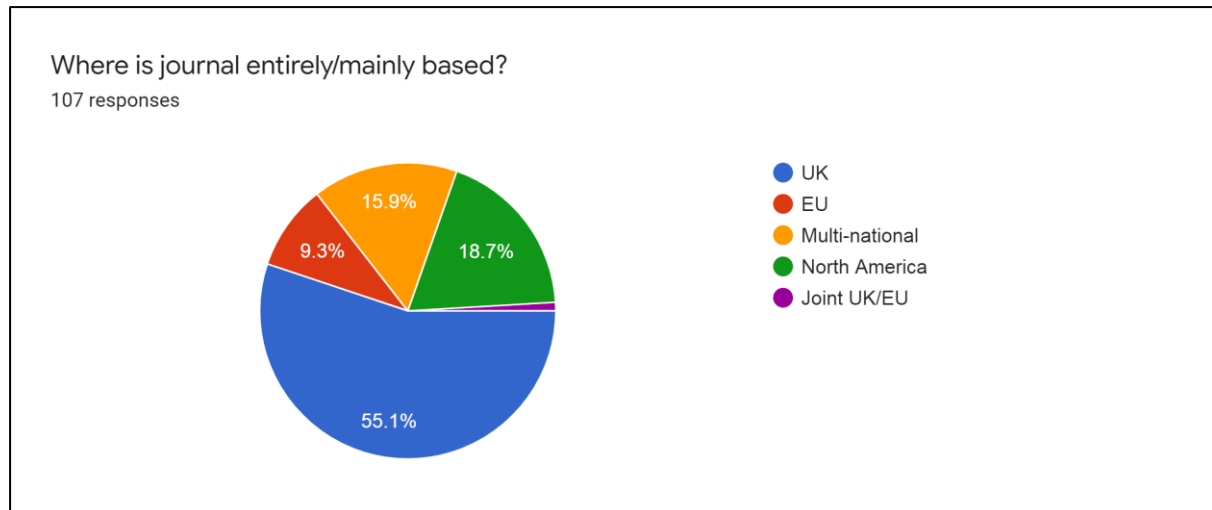


Chart 1: Geographical location of journals in RHS survey

Efforts to engage journals based in continental Europe—for example, by contacting their editors in French, German, Italian or Spanish—yielded only limited results.⁷⁴ This low response rate appears to reflect both the difficulties editors experienced grappling with the complexity and linguistic opacity of Plan S terminology and a pervasive perception that Plan S was not relevant to their journals. A Swedish respondent noted that few Swedish History journals are available online—a foundational impediment to OA—and that Swedish universities use a Finnish list of approved History journals—rather than factors such as OA—to financially incentivise publication in specific journals. The use of such lists contradicts the principles of the San Francisco Declaration on Research Assessment (DORA), an axiomatic component of both Plan S and UKRI policy.⁷⁵ A sardonic comment from a German editor asked whether we could please make Plan S terminology even more complicated. Together, these responses suggested that even within Europe, cultural factors, including cOAlition S's exclusive reliance on English language for communication, impede international engagement with Plan S.

Which presses are included in our sample?

Among our 107 responding journals, 12 (11.2%) are self-published. Self-publishing journals appear to be concentrated within smaller or more specialist sub-fields of History. They may provide important nodes of OA innovation and merit more attention from policy-makers and funders.

⁷⁴ Many thanks in particular to Professor Fabrice Bensimon (Sorbonne), Professor Margaret Hunt (Uppsala University), Professor Jonathan Morris (University of Hertfordshire) and Dr Ulrich Tiedau (UCL) for assisting in this aspect of the survey.

⁷⁵ DORA principles are available from: <https://sfedora.org/>.

Excluding self-publishing journals, 26 individual presses are represented in the sample. **Chart 2** summarises these data. Large university and commercial presses dominate our survey responses. Especially prominent are: Cambridge University Press: 25 journals (23.4%); Oxford University Press, 13 (12.1%); Taylor and Francis, 18 (16.8%); and Wiley, with 6 (5.6%). The representation of individual presses in our results is unlikely to correspond directly to their overall representation in the UK or global universe of History journal articles. Our survey responses clearly under-represent North American and European University Presses, and European publishers such as Brill, Peeters and de Gruyter. Given the conspicuous attention that is directed to Elsevier journals in wider Plan S and OA debates, it is worth noting that only 1 journal in our sample (*Journal of Historical Geography*) is published by Elsevier.



Chart 2: Journal publishers represented in RHS survey

Proprietary versus Society Journals

Journals owned by History societies are possibly overrepresented among our survey respondents (57% of respondents). **Chart 3** summarises the proportion of responding journals that are proprietary or instead associated with learned societies. Given the role that journal subscriptions play in sustaining learned societies and the widespread concern that Plan S will damage these organisations and lead to the closure of their journals, a differential response rate would be unsurprising.

The RHS survey nonetheless provides a useful starting point to reflect on the potential impact of Plan S on both learned society and proprietary journals. It includes many well-known, high-quality journals that publish articles in all fields of History, as well as those that are leading international outlets in their sub-fields. It also registers information about smaller, highly specialised journals. The journals in our survey are well represented among the sample of REF2014 journals in **Appendix 2**.

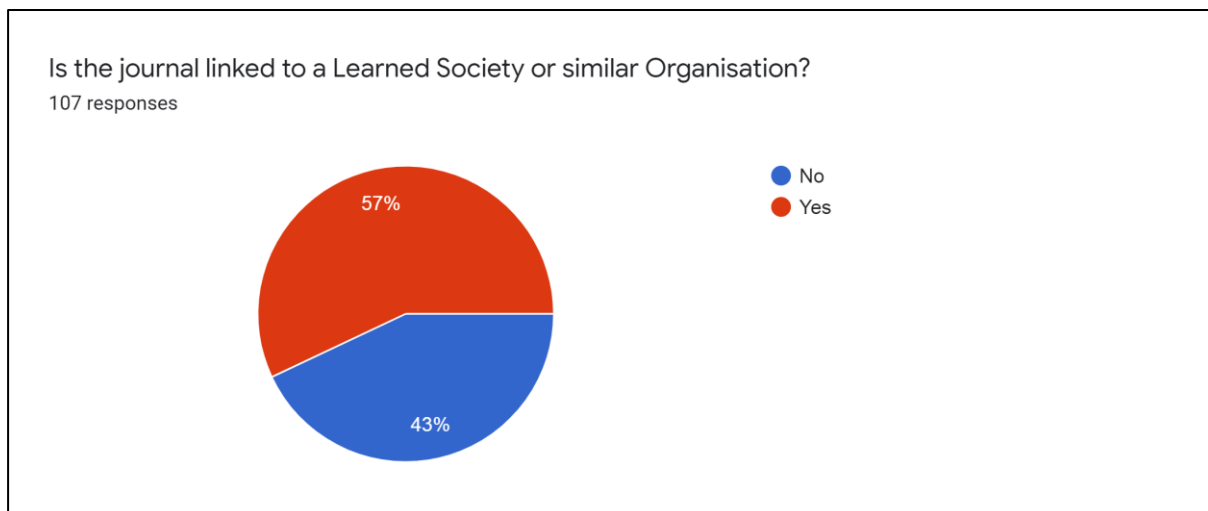


Chart 3: Proprietary versus Society Journals in the survey

Editors' Knowledge of and Engagement with Plan S

Willingness to engage with the RHS survey was relatively high among contacted Anglo-American journals. Our survey responses are from a self-selecting group, and will naturally over-represent editors who are willing and able to engage with responding to the Plan S initiative. This skew reinforces the predominance of UK-based English language journals published by the larger commercial and university presses.

However, knowledge, understanding and engagement with Plan S was highly variable. Several editors indicated that they consider Plan S to be opaque, illegible and/or irrelevant. As one editor commented, 'It is challenging to work out precisely what changes we need to make to comply with Plan S policy'. The relatively small number of respondents who provided clear replies to survey questions relating to Plan S's technical specifications underlines this broader point.

The large number of our responses that came from publisher representatives, or included publisher-provided answers, was a striking feature of the responses. Many journals that are self-published and/or that rely exclusively on voluntary staff struggled to complete the survey at all. Whether they will be willing or able to respond to requirements mandated for Plan S compliance or alignment is doubtful.

"Several editors indicated that they consider Plan S to be opaque, illegible and/or irrelevant. As one editor commented, 'It is challenging to work out precisely what changes we need to make to comply with Plan S policy'. The relatively small number of respondents who provided clear replies to survey questions relating to Plan S's technical specifications underlines this broader point."

Although highly impressionistic, the email exchanges with editors initiated by the RHS survey suggest that, especially within the UK but also within the US and Canada, society journal editors are aware of Plan S and are beginning to consider its potential implications for their journals. Several (including a few North American journals) noted that Plan S was on the agenda for their editorial board to discuss within the next several months. Especially outside the UK, editors of proprietary History journals appear to be less engaged with Plan S, and significantly less familiar with issues such as CC BY licences and OA repositories. As a group, they were more likely than society editors to pass the RHS survey directly to their publishers for completion.

However, although qualitative responses suggest that History society editors as a group are more aware of and engaged with Plan S than the editors of proprietary History journals, both cohorts rely very predominantly on their publisher for information on Plan S and its potential implications for their journal. This finding is especially striking given the high representation of society journals—which have the ability to depart from their publishers’ default OA policies—among our respondents.

Chart 4 summarises editors’ responses to our question about who determines the length of any embargo on authors’ self-deposit of AAMs. Although over 50% of the 69 journals for whom this question was relevant are owned by History societies, less than a quarter either independently decide or mutually agree their embargo policy with their publisher.

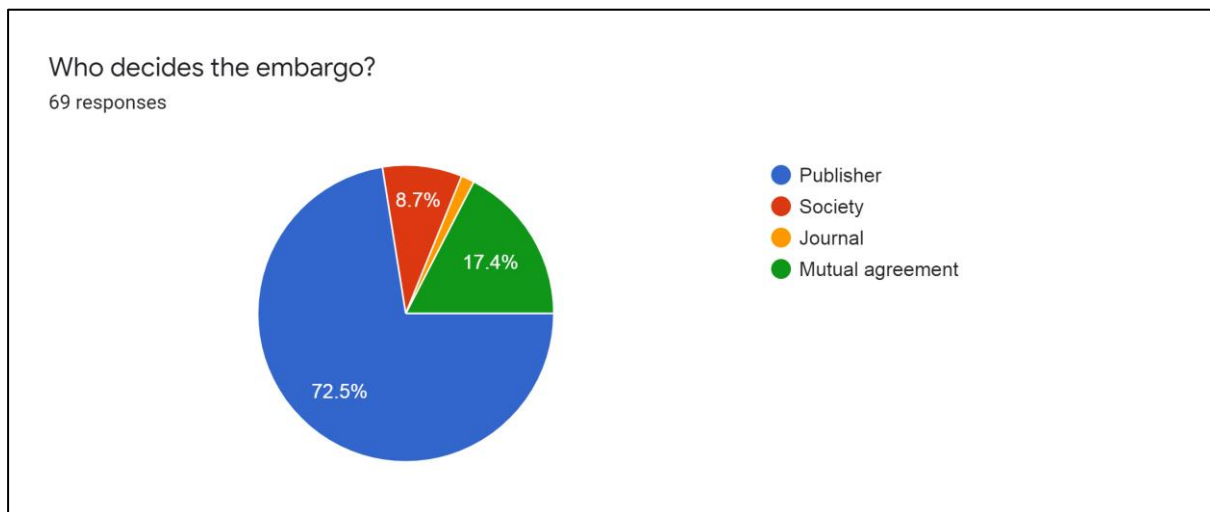


Chart 4: Who decides History Journal AAM/VoR embargos?

PART 7. HISTORY JOURNALS AND ROUTE 2 PLAN S COMPLIANCE

The RHS survey data contain substantial information relevant to discussions of Route 2 (zero embargo self-deposit of AAM) compliance. Given that Route 1 appears highly unlikely in the short term to provide a viable Plan S-compliant pathway to publication for many historians and that Route 3 is shrouded in uncertainty, Route 2 is potentially an attractive option for H&SS journals to consider. Again, however, we emphasise that the RHS does not seek to steer journals or societies toward any specific compliance route within the Plan S framework.

Examination of the survey data reveals strong opposition to a core component of Plan S's vision for full and immediate open access—its specification of a default CC BY license for authors' self-deposited AAM or VoR. This requirement can be mandated or waived at the cOAlition S Funder's discretion. A major theme that pervades editors' responses to zero embargo AAM or VoR deposit with a CC BY licence is concern that this practice will render their journal and/or sponsoring society unviable financially. For non-UK journals, revolutionising their practices to accommodate the minority of their authors who are based in the UK poses additional significant challenges. Correspondence prompted by the survey suggests that small presses (and independently published journals) may prove less able to engage with Plan S mandates than History journals associated with major publishers. Some of the additional Route 2 requirements regarding reporting of peer review processes are unappealing to some journals, but are welcomed as opportunities for best practice by others. For society journals that bridge 'amateur' and academic historians—constituencies that play an important part in enhancing public engagement in History—the Plan S agenda appears to be problematic.

“Examination of the survey data reveals strong opposition to a core component of Plan S's vision for full and immediate open access—its specification of a default CC BY license for authors' self-deposited AAM or VoR.”

Embargo periods and self-deposit of AAM/VoR and RHS survey respondents

The great majority of editors responding to the survey reported that their journal allows self-deposit of the AAM rather than the VoR: 55 (90.2%) of the 61 responses to this question specified AAM but not VoR deposit. For journal editors, AAM deposit in OA repositories is broadly viewed as preferable to VoR deposit in repositories because it is perceived to secure the subscription base, and thus the financial viability of the journal (and, for most society journals, the sponsoring society). For readers/users of History research articles, however, the VoR offers significant advantages over the AAM. The VoR benefits from editorial and

copyediting interventions, authorial corrections of errors and correct pagination (thus being appropriate for citation in other published works). Lacking copy-editing and proofreading, AAMs are liable to higher error rates. For authors writing in a language that is not their first language and for authors with disabilities such as dyslexia and dyspraxia, widespread public dissemination of the AAM is especially problematic. Quality of prose is integral to quality of argument in History, and hostility to dissemination of AAMs is common among History authors.

Although the majority of journals that responded to the RHS survey do not allow zero embargo self-deposit of the AAM or VoR, a substantial minority 39 (38.6%) do. The disproportionately high proportion of Cambridge University Press journals (25 journals, or 23.4% of the total) among our respondents may be distorting this figure upward. Cambridge is unusual among the large publishers in our sample in allowing zero embargo AAM self-deposit. SAGE and Edinburgh University Press, and some US University Press journals (e.g. those published by Chicago) also allow deposit of a zero embargo AAM/VoR. These, however, represent a limited number among our respondents. **Chart 5** summarises our survey data on zero embargo AAM/VoR.

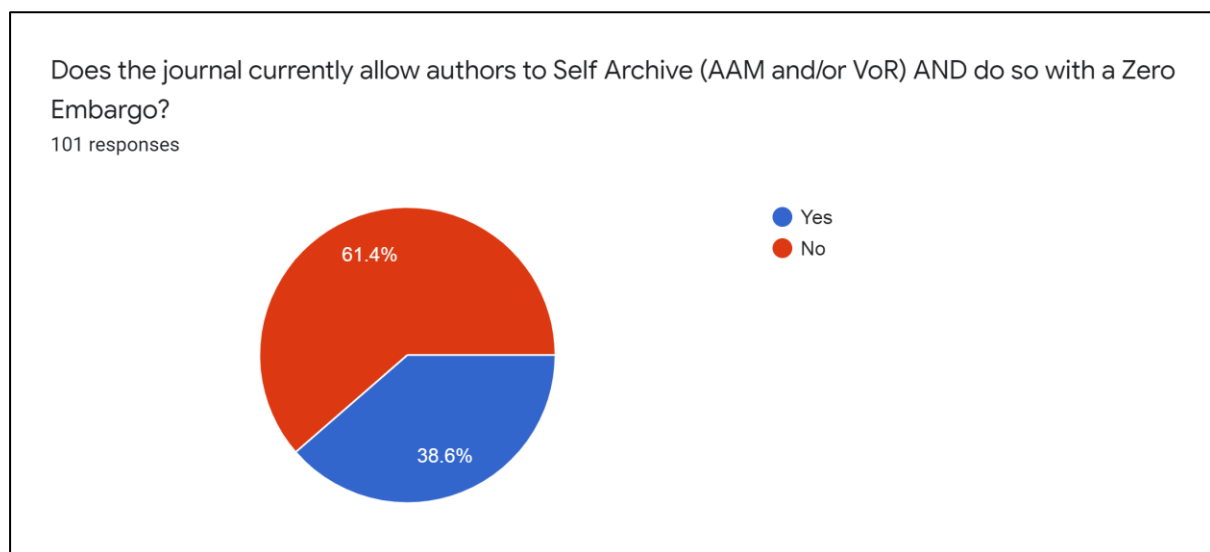


Chart 5: Proportion of survey respondents allowing zero embargo AAM/VoR

Survey respondents representing journals that do not allow zero embargo self-deposit of AAMs or VoRs displayed little enthusiasm for accepting this mandatory requirement for Route 2 Plan S compliance. The majority of these respondents (34 or 57.6% of 59 respondents) have no plans to change their current policy. Only one reported intending to change their current policy. Nearly a third, however (19 or 32.2%), reported that their embargo policy was currently under review. **Chart 6** summarises these responses.

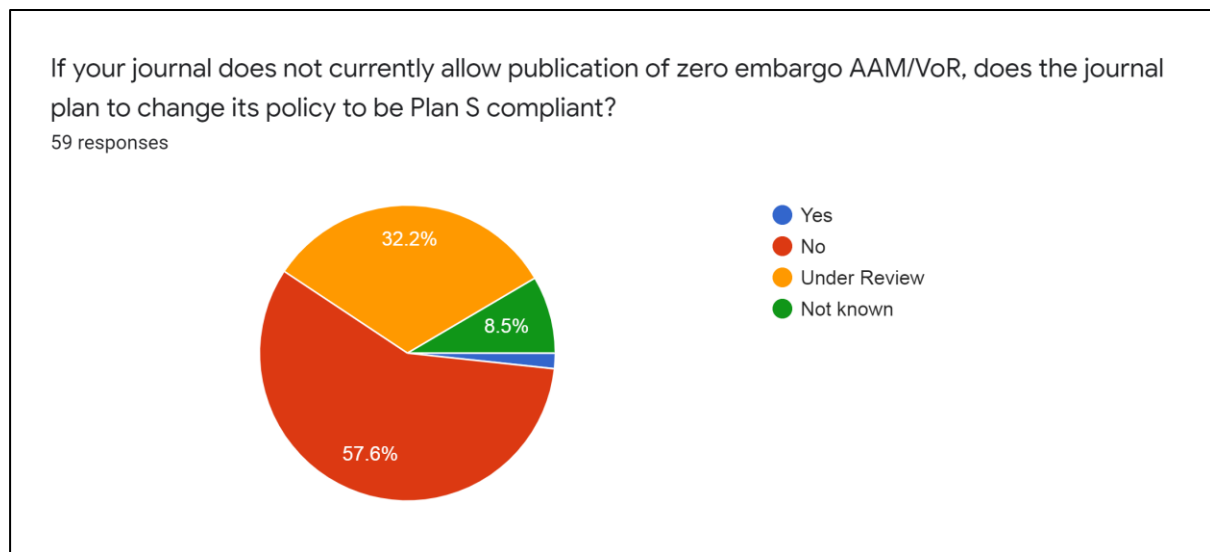


Chart 6: Journal intentions with respect to zero embargo policy

For many responding journals, allowing zero embargo self-deposit of AAMs or VoRs would clearly represent a significant change of policy. Although nearly a quarter (14 or 24.6%) of the 57 journals that responded to this question currently stipulate an embargo of only 12 months, over a quarter (16 or 28.1%) specify an 18 month embargo and over a third (21 or 36.8%) specify 24 months, with a few journals (5 or 9%) mandating even longer embargos.

Chart 7 summarises these responses.

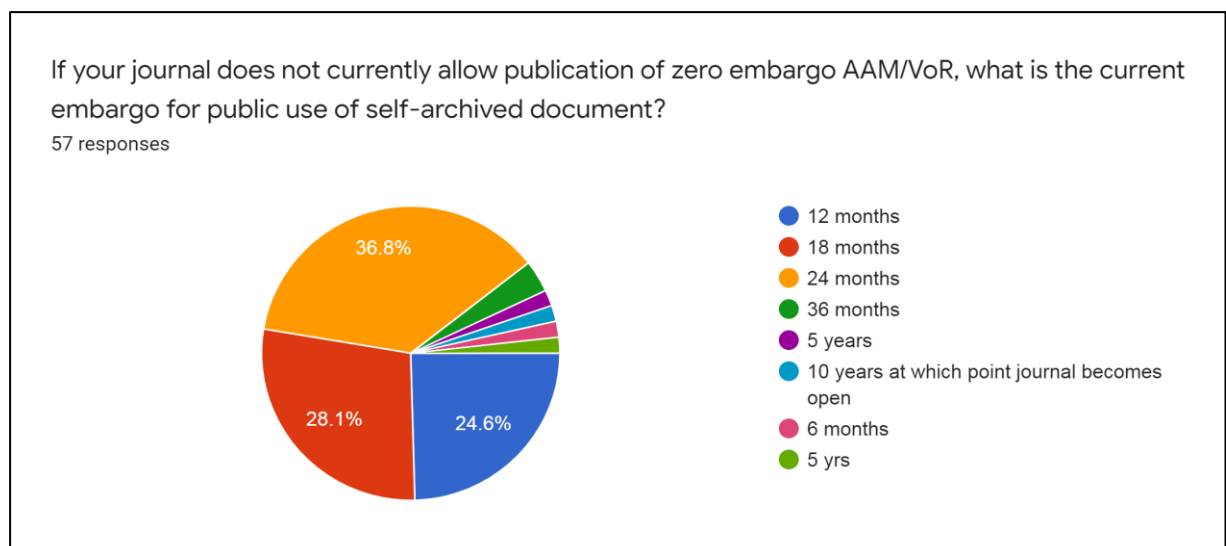


Chart 7: Embargo periods other than zero embargo among survey respondents

CC BY and survey respondents' approach to Route 2 compliance:

Plan S's default CC BY licence represents a major source of editors' opposition to considering adoption of policies that allow self-deposit of a zero embargo the AAM/VoR (Route 2 to Plan S compliance). This opposition extends from journals that already allow zero embargo self-deposit to journals that currently operate with an embargo. Among the 45 journals that reported the type of licence they allow, none allow CC-BY licenses for AAM self-deposits. Support for CC BY-ND (22.2%) and CC BY-NC-ND (35.6%) licences is much more common. **Chart 8** visualises these responses.

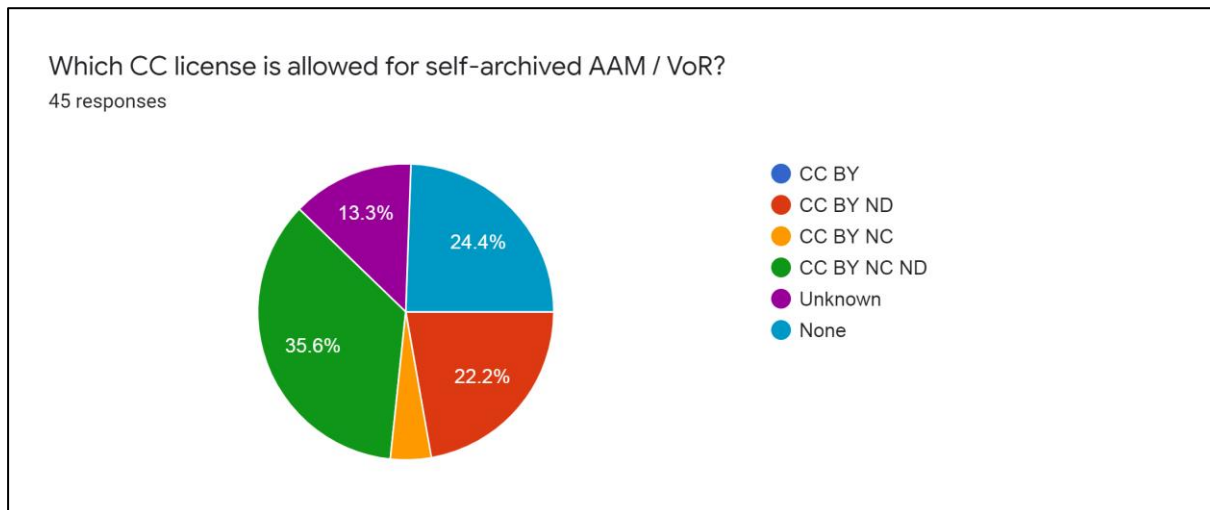


Chart 8: CC BY and its alternatives

Opposition to the use of CC BY without –ND or –NC restrictions is both philosophical and pragmatic. Concerns about distortions allowed by CC BY in the reuse of oral history interviews and other sensitive/polemical content are important for many historians. A pervasive concern is that CC BY will allow predatory publishers to ‘scrape’ OA content from repositories, reconstituting subscription content while undermining subscription journals’ ability to staff and fund their peer review activities. These concerns appear to make CC BY-NC-ND (35.6%) and CC BY-ND (22.2%) much more palatable than CC BY (0%).

UK and International Editors’ and Journals’ Strategic Thinking

Qualitative responses to questions about embargo periods, CC BY and other aspects of Route 2 Plan S compliance registered considerable hostility and a range of rationales for resisting cOAlition S mandates. The variety of existing modes available internationally for sharing individual articles was apparent from responses. One US-based journal editor commented: ‘Following the model of the *American Historical Review*, we will probably be switching to giving authors who request this a toll-free link instead of the article itself. They would then be

able to share this with anyone who asks for it.’ There was significantly less opposition to (and, where they were understood, considerable support for) COPE guidelines. Some obstacles to publishing peer review statistics were however mentioned. Among journals associated with larger UK or US presses, there was little opposition to retention of copyright by authors or their institutions (as opposed to journals), and this appears to be the general direction of travel within most journals.

Most salient among causes for concern with or opposition to Route 2 were:

- a desire to secure the continued operation of their journal/society by securing its financial base through continued library subscriptions;
- the fact that the majority of the journal’s authors are not based in the UK and/or not funded by cOAlition S;
- uncertainty regarding the medium- to long-term impact of shifting from making *some* content available by zero embargo AAM/VoR to *all* content being uniformly available in this manner, especially with a CC BY licence;
- journals’ current use of alternative mechanisms for circulating the AAM or VoR. These included journals that allow: zero embargo uploading onto authors’ personal or institutional websites but without full and free public access; zero embargo dissemination of the html version with a 1-year embargo on the paginated PDF version; and pre-publication posting of the copy-edited version of the AAM.

Anonymised examples of the reasoning provided by authors are given below to illustrate these points:

‘Remaining concerns about Plan S include: clarity of policy over Green OA; imposition of CC-BY licences, which would allow immediate posting to social sharing sites and potential loss of subscriptions for Green OA journals that are otherwise compliant, and thus for the learned societies that depend on such income (for a wide range of charitable activities).’

‘Submissions from publicly-funded work within Europe form only a small part of our submissions: we would be reluctant to lose them, but equally we cannot allow a minority of publications to determine our whole policy when the Society does not believe that if it ‘flipped’ to Project S terms, it could continue to publish...in the long term or fund its other activities. It is hard to see how, when there is no incentive to purchase the...[journal] we would have any income. I might add that some members of the committee are very sceptical as to whether Plan S terms could be enforced for publications which are neither funded by the research councils nor intended to be submitted into a future REF.’

‘The bi-lingual, topic-specific journal I edit...draws articles from authors across the world and is published in Switzerland. Hence, specific OA requirements pertaining to

UK-based authors will be considered in setting OA policy but will probably not be a determining factor. Hence, if strict requirements are introduced around OA in relation to UK funders, this may serve to reduce the possibility for UK-based authors to submit articles to my journal. This would obviously be an issue for the journal but would also be one for UK academics also, as it would result a more limited range of potential publication outlets.'

[Our journal] 'is US-based; about 2/3 of our submissions are from US scholars and 1/5 from the UK. As no doubt you are aware, US publishers are not responding as quickly to Plan S because funders here are not part of the coalition with the exception of the Gates Foundation. Our publisher...has not responded formally to Plan S or brought proposals to editors. I am nonetheless keeping a close eye on developments because of the number of UK researchers who submit to [our journal].... I researched the number of essays we have published that were funded by UKRI grants (we have had none funded by Wellcome and insignificant numbers from other coalition members) as a means of estimating the potential impact. We found that we had published 14 essays that acknowledged the AHRC since its founding in 2005.'

'The journal has no current plans to be Plan S compliant. It periodically reviews its open access policy but any changes have to be negotiated with the [continental European] publisher...which can be complex, as the publisher is small and reliant on the income from the journals it publishes (so is concerned about any changes have the potential to reduce either subscriptions or readership via its online portal).'

'Aside from my deep philosophical concerns about Plan S (it is not designed for the humanities, nor for the funding structures in humanities AND the United States, and here in the U.S., will likely make it more difficult for faculty at smaller institutions and contingent faculty to get published), our funding structures here are simply not set up to support this model. In 2018-19, about 10% of our submissions were from scholars in the UK. We don't want to lose their submissions, but we can't run our journal on the article fees from such a small number of scholars....It's a huge mess.'

'Obviously, there is considerable debate on the implications of open access publications and e-publications in the German historical community, without any clear trend and often limited understanding of the various technical terms in the wider academic community. The situation is complicated because the process is subject to actual and potential legal challenges. An attempt to impose a duty on university employees to deposit an open-access-version at universities in Baden-Württemberg was blocked by the Mannheim administrative court in 2017 and sent to the constitutional court for review; unless I have overlooked something, the constitutional court has yet to rule on the case. One argument in the case concerns whether such rules would need to be imposed on a Land or on a federal level, the other whether the choice of publication format (including between open access and

closed access journals and book, digital and paper versions) is part of the constitutionally protected “Wissenschaftsfreiheit” and thus beyond the regulatory scope of university administrations and funding agencies in principle.’

‘What countries does Plan S refer to? Licences and other agreements such as CTAs are based on a law of certain country. There is no “global” form of legislation.’

One journal’s representatives reported that ‘We remain 100% opposed to Plan S’ and that they were awaiting their UK commercial publisher’s response to Plan S: ‘they know we will move if they say yes to this plan’. One History representative of a US publisher observed: ‘Our fear is that our journals may be put on a “do not submit” list that UK authors will be prohibited from submitting articles to since they’re not OA.’ This fear had not, however, prompted a decision to implement Plan S-aligned policy changes.

History enjoys a broad middle ground of societies and associated journals that integrate independent researchers and university academics, affording an important institutional space for collaboration and public engagement. Responses from two such UK societies provide an interesting perspective on the potential impact of Plan S on this shared terrain of community-based and university research:

‘It is challenging to work out precisely what changes we need to make to comply with Plan S policy...the content of our Journal arises principally from papers given to meetings attended by fellows [i.e. members] of the...Society and guests at no cost; that material has thus already been freely disseminated, although the Journal is subsequently distributed to fellows as part of their subscription to the Society. The majority of papers are given by researchers who are NOT funded by grant-making bodies and thus not covered by Open Access requirements. It has been agreed that since the remainder are such a small proportion of the whole, accepting that the authors concerned must publish on Open Access will not greatly disadvantage our subscribing members and is a price that must be paid to ensure that we can continue to include the work of a wide range of authors. However, it sounds from the questions posed above as if we will need to refine further and then disseminate formal statements as to our policy.’

[Our journal is] ‘...really an amateur journal which has become academic by dint of its extreme age and quality. We get almost no requests for ‘open access’, and if a contributor wants it they come with their money and we direct them to...[a UK university press] who act not strictly as our publisher, but as our deputed authority for all matters electric and to do with licensing. Authors can self-archive and institutionally archive as per the ‘Green’ open access model, but only the final accepted versions and not the versions we have copy-edited and/or typeset. I very much doubt the society is going to change its policies radically, as it remains the legal publisher’.

It is important to note that concern that Plan S-compliant OA models may prove deleterious to the interface of citizen and academic science is not confined to History or H&SS. The Royal Astronomical Society's 2019 response to Plan S, for example, also made this point.⁷⁶

There was considerable support of, and only limited opposition to, the transfer of copyright from journals to authors or their institutions. One editor commented that journals' retention of copyright facilitated the production of edited volumes of re-published essays, given that authors tend to be significantly more mobile than journals. More common were responses that signalled a shift toward authors' retention of copyright, as illustrated in these replies:

"There was considerable support of, and only limited opposition to, the transfer of copyright from journals to authors or their institutions. One editor commented that journals' retention of copyright facilitated the production of edited volumes of re-published essays, given that authors tend to be significantly more mobile than journals."

'Yes we expect to move shortly towards an exclusive license to publish (meaning the author retains the copyright and signs an exclusive license to publish with the journal).'

[Our journal] 'currently requires copyright transfer but we will, with approval from the... [sponsoring society in North America] be moving to an exclusive licence before the end of the year (allowing all authors to retain copyright). That licence will leave in place all of the same rights and responsibilities as the current copyright assignment process, so the answers to the questions above regarding green deposit will still stand. We don't anticipate any problems with compliance on the copyright retention side, though do with green....[Our journal] allows immediate deposit of the AAM, but not under a CC-BY licence. We DO currently anticipate non-compliance with the CC licence requirements of Plan S.'

Adherence to the COPE guidelines specified by Plan S prompted a range of responses from History editors. A majority—but not an overwhelming majority—of the 67 journals who responded to the question (41 or 61.2%) reported that their websites already clearly describe their system of peer review. However, nearly a quarter (22.4% of 67 respondents) indicated that this good practice was not in place, and only 13.4% signalled that their journal was actively reviewing whether to implement this policy. **Chart 9** displays these data.

⁷⁶ Plan S: Implementation and Feedback: RAS response (2019): <https://ras.ac.uk/ras-policy/science-policy/plan-s-implementation-and-feedback-ras-response-2019> (not paginated, penultimate page of response).

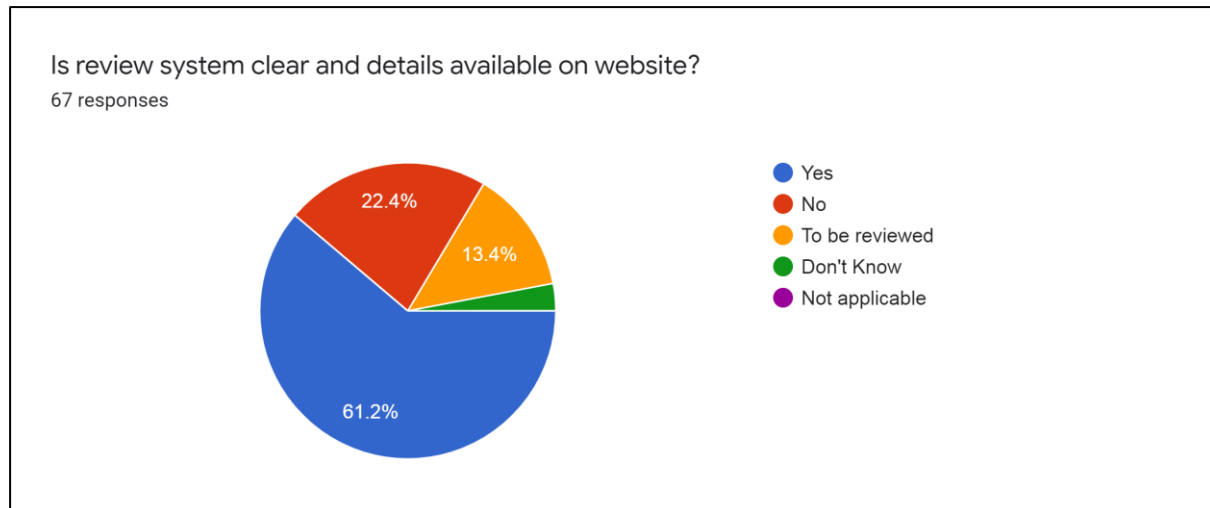


Chart 9: Transparency of journals' peer review processes

Where adherence to COPE guidelines was already in place, approval of these guidelines was common among respondents familiar with them. Examples of broadly positive responses to this aspect of Plan S compliance include:

'We are in compliance with COPE best practices but do not list the details on our platform.'

Our journal, 'as a journal published by CUP, is a member of COPE and is guided by its core policies and practices. There is not a detailed ethical policy statement available on the website, but it's something we will be seeking to put in place before the end of the year. Authors are asked to declare whether they are intending to publish under a Gold OA model, and pay a publication fee, only once their article has been accepted for publication. We don't anticipate any problems with compliance in this area....No decision has been taken yet as to whether we will begin publishing statistical data around acceptance rates and decision times, but we will have that data available to us...and the Press does not disagree, in principle, with its publication.'

'There is not currently a clear description of editorial/decision-making processes, but we also plan to display this in the next year. I think it unlikely at this point that we will begin publishing annual statistics.'

'We do not yet have a clear statement regarding the editorial decision process, but this is something we should probably be looking to introduce regardless of Plan S as part of evolving best practice. No decision has been taken yet as to whether we will begin publishing statistical data around acceptance rates and decision times, though we have that data available through Scholar One. We have no problem doing so in principle.'

However, evidence of support for Plan S's requirement that journals publish their acceptance/rejection rates was less pervasive. Editors drew attention to a wide range of factors in opposing this requirement—including limited staffing to compile these figures, their questionable statistical significance where submission volume is low, and the extent to which high levels of editorial intervention to develop the work of researchers working outside privileged Western universities (resulting in multiple revisions and resubmissions and thus inflated rejection rates) may skew these data.

Only a small minority of surveyed journals reported currently publishing annual statistics on their peer review processes, including acceptance and rejection rates. Of 66 journals who responded to this question, 47 (71.2%) reported that this was not currently their practice. Just under 20% (13) reported planning to review this aspect of their policy. **Chart 10** represents these responses.

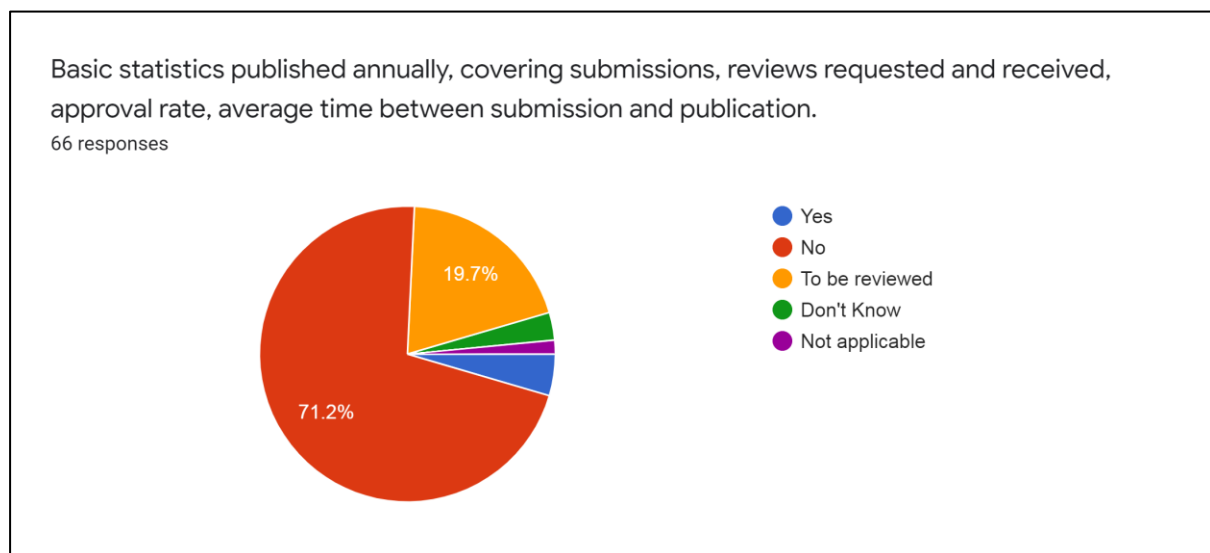


Chart 10: Annual publication of peer review statistics

Examples of journals that reported obstacles or opposition to posting peer review statistics included:

‘We have never published submission and acceptance rates and would regard the data we have as being confidential to the editorial board. Generating the data would be a major task for a small journal. Given that we deal with small numbers of submissions (20-30 a year), the data would be rubbish anyhow.’

[We work] ‘extensively and free of charge with authors, many of whom live outside Western Europe, to bring their articles to a level where they can be accepted for publication in a US journal. Acceptance statistics are meaningless in a context where authors often revise their articles three or four times before they earn final acceptance.’

In sum, although Route 2 (zero embargo AAM self-deposit) appears to be a potential pathway to Plan S OA compliance for some journals, it has yet to be adopted even in significant part by our survey respondents. The ability to self-deposit an AAM with zero embargo is already offered by several journals. However, if CC BY licencing is mandatory, even these journal titles will not be compliant.

Together, the lines of thinking articulated by survey respondents help to explain surveyed editors' scepticism and concern with respect to Plan S. They also help to explain the pervasive 'wait and see' approach to Plan S, which dominated both UK and international survey responses. The many known unknowns associated with Route 3 Plan S compliance further reinforce this wait and see response.

Access to Open Access Repositories

A final concern about Route 2 compliance that deserves rapid attention from both research organisations and cOAlition S Funders is access to compliant OA repositories. Although OA repositories are now standard in UK universities, not all UK research organisations are in this position and not all researchers have continuous and free access to university OA repositories. For H&SS researchers, two issues are especially relevant.

“Although OA repositories are now standard in UK universities, not all UK research organisations are in this position and not all researchers have continuous and free access to university OA repositories.”

First, Plan S specifies very strict requirements for 'compliant' OA repositories, including continuous availability (with an uptime of at least 99.7% outside scheduled downtimes for upgrades and maintenance). These specifications may place unrealistic pressures on universities, especially on smaller institutions (in which H&SS disciplines such as History are more common than are several STEMM subjects).⁷⁷

Second, access to OA repositories is an especially urgent issue for ECR researchers. These researchers often lack a university affiliation (and thus access to an OA repository) for intervals—sometimes extended intervals—during this crucial career stage. Of the UK's two cOAlition S Funders, only the Wellcome Trust, provides its researchers with an OA repository. Providing all researchers (including ECRs) with free and continuous access to an approved OA repository will be necessary if Route 2 to Plan S is to offer a viable OA option across all stages of scholarly careers.

⁷⁷ For example, in REF2014, there were 83 submitted History UoAs, several of which were from very small departments; in contrast there were only 31 submitted UoAs in Clinical Medicine, 37 in Chemistry and 41 in Physics. Data derived from: [https://results.ref.ac.uk/\(S\(j4gndd5m4mlgvtloal5tqn2\)\)/Results/SelectUoa](https://results.ref.ac.uk/(S(j4gndd5m4mlgvtloal5tqn2))/Results/SelectUoa).

PART 8. ‘TRANSFORMATIVE AGREEMENTS’ AND ROUTE 3 PLAN S COMPLIANCE

There is very little visible evidence (that is, visible to journal editors responding to our survey) of progress toward Route 3 ‘transformative agreements’ for History. Current information in the public domain does not inspire confidence that UK researchers will have ample access to high-calibre Plan S-compliant ‘transformative hybrid’ journals by 1 January 2021. To be sure, several UK-based journals, including society journals, are aware that their publishers are exploring this option. Some are also aware of national discussions involving JISC. However, Route 3 is the Plan S pathway least familiar to most academic stakeholders.

The September 2019 Information Power final project report (henceforth IP Report) by Alicia Wise and Lorraine Estelle provides a comprehensive overview of ‘transformative’ routes to OA, with specific reference to learned societies and their journals. This important report is unusual among UKRI- and Wellcome-affiliated Plan S publications in adopting an evidence-based approach. Its data align with some of the evidence in the RHS survey but depart

“There is very little visible evidence of progress toward Route 3 ‘transformative agreements’ for History. Current information in the public domain does not inspire confidence that UK researchers will have ample access to high-calibre Plan S-compliant ‘transformative hybrid’ journals by 1 January 2021.”

very significantly from other RHS findings. The IP Report and its associated toolkit make many important contributions to Plan S strategy and debate. However the report is based on a very small sample given its range across all research areas (from H&SS to STEMM), contains internally inconsistent arguments and dodges central issues relating to funding for sustainable H&SS OA journals. These features of the IP Report may reduce its utility for editors’ and learned societies’ decision-making processes.

The Appeal of Route 3 to Open Access:

Route 3 to Plan S compliance, via ‘transformative agreements’, arguably represents both the most alluring theoretical proposition on offer and the least legible of cOAlition S Funders’ pathways to Plan S compliance.

Route 1 appears to afford insufficient OA journal capacity to accommodate the volume of publication in H&SS disciplines such as History in the UK (as explored above in Part 5), notwithstanding History is a so-called ‘book discipline’ in which monographs and edited collections constitute a significant proportion of all publications. Route 2 (as discussed in part

7) likewise suffers from several limitations. Few historians responding to our survey view zero embargo self-deposited AAMs as an excellent means of achieving full and immediate OA.

Their reasons for concern include:

- worry that this mode of OA disseminates the least satisfactory, most prone to error, version of articles they publish, via the AAM;⁷⁸
- concern that reliance on the AAM may increase discrimination against researchers with disabilities such as dyslexia and dyspraxia, by placing in wider circulation versions of research articles that have not benefitted from copy-editing and proofreading (rendered without charge to authors) by professionals employed by publishers;
- reservations about reliance on AAM circulation for OA compliance (expressed by editors of journals that publish in English) with respect to articles authored by historians whose first language is not English (whose manuscripts often receive substantial copy-editing without charge to the author prior to creation of the VoR);
- concerns that result from the fact that the AAM (unlike the VoR) lacks stable pagination. This characteristic detracts significantly from the AAM's utility within many established H&SS scholarly referencing systems, in which the trail of evidence is supported by precise page references in footnotes or endnotes.

In this context, a model of Plan S compliance based on OA publication of the VoR rather than the AAM is instinctively appealing to many researchers. Iterations of this model also proved very attractive to the library consortia surveyed by Wise and Estelle in the IP Report, scoring especially well with respect to 'fit with mission' and ease of communication and administration.⁷⁹ Given the vital role libraries pay in sustaining academic journals through institutional subscriptions, support from this community is a substantial asset. Yet, no journal surveyed by the RHS reported being likely to achieve Plan S compliance via a 'transformative agreement' to 'flip' to full and immediate OA by the end of 2024. One editor of a journal published by Wiley reported that their press is actively seeking 'Read and Publish' agreements similar to German's Projekt DEAL. Another editor reported that current uncertainties with respect to Brexit are complicating their press's efforts to negotiate transformative agreements. Scepticism that this model is sustainable—in terms of journals' access to finances and skilled editorial personnel—for History journals beyond the fixed-term 'hybrid' phase is widespread.

⁷⁸ Although the focus of this report is on research users, the negative implications in History (and many other Humanities disciplines in particular) of widespread undergraduate and taught postgraduate-level uptake of the AAM, rather than the VoR, is important to register. Much tutorial time and effort is expended enhancing student prose and referencing skills, and the AAM is less fit for this purpose than the VoR. These taught students, of course, are the pool from which postgraduate research students are recruited.

⁷⁹ Wise and Estelle, 'Society Publishers Accelerating', page 17, accessed from: <https://www.informationpower.co.uk/press-release-spaops-report-toolkit/>

What are transformative agreements?

Part II, point 3 of the Plan S ‘Principles and Implementation’ statement defines transformative agreements as ‘strategies to encourage subscription publishers to transition to Open Access’. It notes that its support for any publication fees associated with such agreements will end on 31 December 2024 and refers to unspecified cOAlition S Funder support for flipping hybrid journals through these agreements.⁸⁰ It however provides no meaningful criteria for a transformative agreement, much less for a Plan S compliant agreement.

Participants in OA policy discussions, unhelpfully, often deploy the term ‘transformative agreements’ to describe two distinctive types of OA contracts, the first of which may—in specific contexts—or may not align with Plan S compliance.

“Participants in OA policy discussions, unhelpfully, often deploy the term ‘transformative agreements’ to describe two distinctive types of OA contracts, the first of which may—in specific contexts—or may not align with Plan S compliance.”

First, the term ‘transformative agreements’ is commonly used to describe a variety of contracts—typically between university libraries and individual publishers or between specific nation-states and individual publishers—designed to reduce specified research organisations’ annual journal subscription costs while enhancing OA. These agreements also give authors affiliated with the contracting research organisations access to ‘Gold’ OA publication of their articles in journals published by presses covered by the agreement, without payment of an APC. These models significantly enhance the ability of authors and readers in subscribing research organisations to access journal articles (and, in some cases, books) not only OA but via the VoR. However, many of the existing examples of this type of ‘transformative agreement’ are neither designed to nor capable of producing the permanently and fully ‘flipped’ journals that are the core goal of cOAlition S. Rather, they afford a means for a select population of researchers to publish ‘Gold’ OA research articles without holding a grant from a cOAlition S Funder that pays for APCs. In so doing, they appear to support the ‘hybrid’ OA model specifically rejected by Principle 8 of Plan S.

Journals that permanently transition to publish only fully and immediately OA peer-reviewed research articles represent the **second** type of ‘transformative’ agreement referenced in OA discussions. It is this second type of ‘transformative arrangement’ or ‘transformative agreement’—in which financial support of paywalled publishing venues is withdrawn, and the funds reinvested to support Open Access publishing—that cOAlition S currently defines as Plan S compliant via Route 3.⁸¹

⁸⁰ <https://www.coalition-s.org/principles-and-implementation/>.

⁸¹ <https://www.coalition-s.org/principles-and-implementation/>.

Are So-called ‘Transformative Models’ Plan S-compliant ‘Transformative Agreements’?

The IP Report lists seven types of ‘transformative models’ currently in operation. In these seven models, stakeholders (usually specific libraries or library consortia) are repurposing their subscription spend to increase their researchers’ access to OA content and OA publication, ideally while reducing institutional costs. However, of these seven models, only 3 appear to be designed to produce fully, permanently OA journals. The remaining four models, although attractive in many respects, do not appear to be ‘transformative’ as defined by cOAlition S.

Below the seven examples cited by Information Power are grouped broadly in ascending order of Route 3 transformative-ness:

- 1) **California Digital Library (CDL) pilot:** This pilot is described on page 20 of the IP Report as intended to launch in 2019 ‘with one big publisher, one independent small publisher, one intermediate publisher of some kind, and an OA-only publisher’. However, the IP Report gives no reference to allow identification of this pilot. The CDL website, last updated on 26 August 2019, offers a timeline of CDL projects only through 2018.⁸² This suggests a low degree of transformative-ness for this model at this time.
- 2) **Read-and-Publish (R&P) agreements:** Described on pages 21-22 of the IP Report, these contracts have many appealing features, although they are not designed to reduce library costs. In R&P, library systems or nation states pay a specific publisher a sum equivalent to their annual subscription (or subscription plus the normal cost of their researchers’ APCs) in return for free Gold OA reading and publishing by their researchers, the latter without APC payment. This system does not ‘flip’ journals: it is time-limited and applies only to specific cohorts of authors (those within the R&P contract) rather than to all the researchers globally who publish with the journals in the R&P contract. R&P thus appears to promote hybrid OA, a mode of publication which Principle 8 of Plan S explicitly rejects. Wise and Estelle note (page 22) that these agreements are also ‘price sensitive...and will sometimes cap the number of articles for which they will pay in order to control costs’. Not fully ‘open’, the R&P model thus may also be liable (within individual contracts) to restrictions that limit researchers’ equal access to specific journals.
- 3) **Publish-and-Read (P&R) agreements:** Described on page 21 of the IP Report, this model is now in operation for Wiley Press journals in Germany, where constitutional guarantees to freedom of scholarly expression preclude adoption of Plan S. **Appendix 4** provides a more detailed discussion of this important agreement. More broadly, P&R agreements entail payment by a library system/consortium or nation-state for

⁸² About CDL: <https://cdlib.org/about/> (accessed 15 October 2019).

OA publication by ‘their’ researchers, with access to the publishers’ content for the consortium’s/state’s readers included in the contract. P&R shifts OA costs away from readers onto publishing researchers and their institutions. Like R&P, P&R appears to promote hybrid OA, which Principle 8 of Plan S explicitly rejects.

- 4) **Subscribe to Open:** This model is described on pages 23-24 of the IP Report. Its position on a Plan S ‘transformative-ness’ scale is difficult to determine. This model does make journal content OA. However, it is exemplified in the IP Report only by *Annual Reviews*. *Annual Reviews* publishes synthetic synopses of peer-reviewed journal articles in the sciences, not the original peer-reviewed journal articles subject to Plan S.⁸³ Moreover, in the Subscribe to Open model, OA access is contingent. As the IP Report notes, ‘If participation levels are insufficient to open the content in any given year...for that year the journal will not be Plan S-compliant’. How such a system would operate in the context of either Plan S or the UK REF—with research articles that derive from cOAlition S-funded grants as well as potential REF outputs moving into and out of OA status in any given year depending on the number of subscribing libraries—is unclear. Any competent university REF manager or grant compliance officer would view this proposed model of OA with horror if it were extended from *Annual Reviews* to major journals in which academic staff at their institutions publish peer reviewed original research articles.
- 5) **Libraria:** This model is described in a short paragraph on page 21 of the IP Report. Libraria ‘is a collective of journals and learned societies in anthropology, archaeology, and neighbouring fields that have teamed with the Public Knowledge Project to research open access alternatives to the existing ecology of academic publishing.’⁸⁴ Libraria is piloting a ‘transformative’ model, in concert with ‘Berghahn Books to move 13 Berghahn anthropology titles to open access for 2020’.⁸⁵ As the webpage linking to the description of this pilot leads to a ‘PAGE NOT FOUND’ message,⁸⁶ it has not been possible to evaluate this potentially transformative model further.
- 6) **SCOAP3:** This model is described on pages 22-23 of the IP Report. It operates in high-energy physics, a STEMM sub-discipline in which external grant funding is foundational to research and publication. SCOAP3 is orchestrated by CERN, and is designed to flip high-energy physics journals by re-purposing international library spend and topping-up this funding where needed by liaising ‘with national funders and policy-makers’. This model has the potential to flip specific journals, and thus appears to operate within the spirit of Route 3 of Plan S. Its reliance on internationally-funded infrastructure (CERN) and topping-up by national funders does not however suggest that it is scalable to most H&SS journals. Indeed, the IP Report

⁸³ <https://www.annualreviews.org/about/what-we-do> .

⁸⁴ <http://libraria.cc/> (accessed 15 October 2019).

⁸⁵ <http://libraria.cc/about/our-model> (accessed 15 October 2019).

⁸⁶ <http://libraria.cc/> leading to <http://libraria.cc/library-enlistment-campaign> (accessed 15 October 2019).

notes that ‘The complexity of this approach means that it has been used on a modest number of journals’.

- 7) **Knowledge Unlatched Journal Flipping Programme:** This project is described in a short paragraph on page 20 of the IP Report. In this model, the private company Knowledge Unlatched brokers agreements between libraries and publishers with the goal of publishing books and journals OA (as well, presumably, as generating company profits). Knowledge Unlatched explicitly positions its programme as offering publishers the potential for Plan S compliance.⁸⁷ For this reason, it is located toward the high end of this report’s scale of potential ‘transformative-ness’. However, readers should be aware that considerable controversy surrounds Knowledge Unlatched’s engagement with the OA landscape.⁸⁸

In sum, there are many exciting and innovative developments designed to ‘transform’ OA scholarly publication. But there is also a paucity of evidence that so-called ‘transformative agreements’ operating within the journal lists of individual publishers or within library consortia or even nation states will permanently ‘flip’ existing hybrid subscription journals in H&SS to full and immediate OA as mandated by Plan S. The best journals attract global authors from a wide and international range of institutions and institution-types, rather than functioning in closed national, regional or local systems. By rejecting hybrid as a viable means of fostering OA, Principle 8 of cOAlition S appears, perversely, likely to stifle innovation and drive researchers toward Route 2 Plan S compliant subscription journals.

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The dearth of examples of H&SS journals that operate *at scale and over time* without a subscription base or paywall *and* without significant internal institutional support from research organisations or external grant funding feeds scepticism among History editors and other stakeholders about Plan S Route 3. The IP Report’s helpful survey of ‘Cooperative Infrastructure + Funding Models’ (pages 25-27), for example, rightly commends the Open Library for the Humanities and Project Muse initiatives as examples of OA innovation that focus on H&SS subjects. It fails, however, to reference or explore the funding base that has made these important initiatives both possible and (to date) sustainable. Major awards from grant-making bodies, such as the US-based Andrew Mellon Foundation, as well as vital infusions of funding, such as Research England’s £2.2 Million award to a collaborative

⁸⁷ <http://www.knowledgeunlatched.org/2019/02/ku-plan-s-journal-program/>.

⁸⁸ See for example Marcel Knöchelmann, ‘Knowledge Unlatched, Failed Transparency, and the Commercialisation of Open Access Book Publishing’, LSE Impact Blog: <https://blogs.lse.ac.uk/impactofsocialsciences/2018/10/03/knowledge-unlatched-failed-transparency-and-the-commercialisation-of-open-access-book-publishing/> and Samuel Moore, ‘The Politics of Open Access in Action’ (7 June 2019): <https://www.samuelmoore.org/2019/06/07/the-politics-of-open-access-in-action/>.

team that includes Open Library for the Humanities, underpin high-calibre UK OA innovation.⁸⁹ In the RHS's April 2019 paper on Wellcome Trust funded historians and Plan S, it was notable how few of the 'History' journals identified via the DOAJ had a stable record of publication.⁹⁰

Because so much confusion surrounds the basic definitions and parameters of transformative agreements, their implications for statutory equalities of opportunity are also unknown. UKRI asserts that its policies 'embed equality, diversity and inclusion at all levels and in all that we do, both as an organisation and as a funder.'⁹¹ With respect to UKRI's role as a founding Funder of cOAlition S, however, it is unclear in what way concern for ***Equality, Diversity and Inclusion (EDI)*** is embedded. Researchers with 'protected' characteristics under the 2010 Equality Act are disproportionately represented at the ECR, compared to the senior, level in (for example) History. Whether these researchers will enjoy equal access with more

"With respect to UKRI's role as a founding Funder of cOAlition S, however, it is unclear in what way concern for equality, diversity and inclusion (EDI) is embedded."

established researchers to Plan S compliant transformative agreements is unknown. Age is moreover a protected characteristic under the 2010 Act. It is unknown whether emeritus staff who remain active researchers (as is common in many H&SS subjects, including History) will enjoy equal access to Plan S compliance via 'transformative agreements'.⁹²

The Information Power Report and the RHS survey

The September 2019 IP Report is intended to assist learned society journals to enter into transformative agreements, and thus to 'flip' to full and immediate OA from hybrid publication. Importantly, given that UKRI is one of the bodies that commissioned the IP Report, it specifically references 'Plan S-compliant' policies, rather than 'Plan S-aligned' policies.⁹³ The IP Report's focus on learned societies as publishers is salutary: cOAlition S was slow to recognise the scale and significance of these organisations' role in the publishing landscape. This failure—as was made abundantly clear in H&SS and STEMM responses alike to the February 2019 Plan S consultation—alienated key stakeholders. The IP Report is also

⁸⁹ Open Library of the Humanities launched in 2013, and has had two major awards from the Mellon Foundation, one for \$741,000: see <https://www.openlibhums.org/site/about/> and <http://www.bbk.ac.uk/arts/research/current-research-projects/open-library-of-humanities>. For Research England's recent award of £2.2 Million, see <https://re.ukri.org/news-events-publications/news/re-awards-2-2m-to-project-to-improve-open-access-publishing/>.

⁹⁰ <https://royalhistsoc.org/rhs-working-paper-history-researchers-and-plan-s-journal-compliance-april-2019/>. See esp. pages 17-19 and Appendix I.

⁹¹ <https://www.ukri.org/about-us/equality-diversity-and-inclusion/>.

⁹² For an earlier overview of these issues, see <https://royalhistsoc.org/rhs-working-paper-history-researchers-and-plan-s-journal-compliance-april-2019/>, esp. pages 7-9.

⁹³ For example, on page 7, paragraph 2.

valuable in seeking to establish evidence-based arguments, rather than ideological position statements, in the Plan S context. It offers an especially welcome addition to available information about the strategic thinking of research library consortia and about the availability of cooperative infrastructure for OA experimentation and innovation.

Like this RHS report, the IP Report uses survey data as a key source of information. Wise and Estelle surveyed UK and international learned society publishers in 2019, attracting responses from 105 societies with 8 publishing partners. (The comparable figure for the RHS survey, which was not confined to learned society journals, was 107 responses and 26 publishers). Our overall response rates are thus very similar, but the constituencies surveyed, while overlapping, are distinctive. Only 61 (57%) of RHS respondents were editors of society journals—the specific focus of the Information Power survey. Only 30 (29.1%) of the IP Report’s societies represent H&SS, whereas all journals surveyed by the RHS were in this subject area.⁹⁴

The IP Report provides information for 67 societies that publish with proprietary presses. These publishers differ significantly from RHS respondents’ publishers. Wiley, with 42 learned society journals in the IP report, was strongly dominant (62.7% of the 67 respondents for whom a publisher is named); Oxford University Press (11 societies, or 16.4% of these 67 societies) was the second most common press; and Cambridge University Press (with 7 societies, or 10.4%) was third. Elsevier and SAGE (2 societies each) were followed by Springer Nature, the Institute of Physics and JSTOR (1 each). The IP Report provides information on the geographical location of 102 of their responding societies: 64 (62.8%) are based in the UK, 23 (22.5%) in North America, 9 (8.8%) in continental Europe and 4 (3.9%) in China. Two IP Report societies were international. The IP society survey results are thus slightly more UK-focused than the RHS History journal results (55.1% of the latter were UK-based), slightly more North American (RHS 18.7%) and broadly similar in terms of continental European representation (RHS 9.3%).⁹⁵

Two differences between the IP and RHS respondents are especially salient:

- 29 (28%) of the IP Report survey respondents self-publish their journal whereas only 12 (11.2%) of RHS journals self-publish. However, our responses from self-publishing journals were high relative to the IP Report responses from H&SS societies, which contained ‘virtually no’ self-published journals.⁹⁶
- the publishers that dominate the IP respondents—46 out of (presumably) 67, or 68.7%—are disproportionately the publishers to which UK researchers as a whole pay APCs. As the authors note, ‘More than half the [UK] expenditure on APCs in 2016 went to the 3 major publishing groups, Elsevier, Springer Nature and Wiley, with a

⁹⁴ Wise and Estelle, ‘Society Publishers Accelerating’, pages 11-12.

⁹⁵ Wise and Estelle, ‘Society Publishers Accelerating’, pages 11-12.

⁹⁶ Wise and Estelle, ‘Society Publishers Accelerating’, page 12.

particularly sharp rise for Elsevier since 2014.’⁹⁷ Of the RHS respondents, only six represented Wiley journals, one Elsevier and none Springer Nature. The publishers whose reported profit levels provide much fuel for OA debates are not significant publishers of History. This may also be the case for H&SS disciplines more broadly.

The IP Report respondents were 61.1% STEMM (63 of 103 societies that responded to this question), 29.1% H&SS (30 societies), 6.8% H&SS plus STEMM and 2.9% other.⁹⁸ In their report, Wise and Estelle argue strongly that their evidence displays few differences between HSS and STEMM. ‘We have probed our data carefully for differences between HSS and STEM publishers and found relatively little except for the large number of HSS society publishers who have larger publishing partners’, they assert. They suggest that H&SS researchers’ perception that their subjects function differently, with respect to research article publication, than STEMM disciplines, may simply reflect ‘the tendency to treat the APC funding model and OA generally as if they were the same thing’. From this assumption of fundamental comparability, they reason that H&SS and STEMM can readily be accommodated by the same OA publishing systems. ‘There appears to be no difference in the way the OA business models and transition strategies we have identified can be applied to HSS and STEM publishers’, they observe.⁹⁹

Wise and Estelle do not substantiate their assertion that H&SS and STEMM business models and ‘transition strategies’ for OA are fully equivalent and compatible. Moreover, their own data in later sections of the IP Report, which turn to APCs as the business model ‘most common at present’ within the OA market, do reveal differences that the authors have earlier suggested either do not exist or are imaginary. Thus whereas 41% of the IP Report’s STEMM respondents were enthusiastic about the APC model of OA, only 18% of H&SS respondents were. Among their US-based STEMM respondents, this level of enthusiasm for APCs rose to 50%, whereas ‘not a single’ US-based H&SS respondent registered such enthusiasm. In the ‘Rest of the World’, STEMM enthusiasm for APCs rose to 75%, with H&SS respondents (of whom there were only 3) yet again failing to endorse the APC model.¹⁰⁰ Perhaps, as Wise and Estelle suggest, these H&SS respondents are suffering from needless anxiety with respect to the APC model that currently dominates Gold OA. Or, perhaps they reflect knowledge gleaned from many years of editorial experience as well as research activity (including ECR supervision and mentoring) in H&SS disciplines.

⁹⁷ Wise and Estelle, ‘Society Publishers Accelerating’, pages 11, 5; citation page 5.

⁹⁸ Wise and Estelle, ‘Society Publishers Accelerating’, page 12.

⁹⁹ Wise and Estelle, ‘Society Publishers Accelerating’, pages 13-14.

¹⁰⁰ Wise and Estelle, ‘Society Publishers Accelerating’, pages 33-36, citations pages 35. 36.

Wise and Estelle focus on research organisations' institutional subscriptions for journals that are owned by learned societies. They do not explore the funding streams that lead to the *production* of research articles, instead exploring only the *dissemination* of research articles

“Failure to take cognisance of the full system of knowledge production, from doctoral dissertations to articles and monographs and from PhD students through to research-active emeritus staff, is a much broader characteristic—and flaw—of cOAlition S’s vision of OA.”

that have already been produced by researchers. This approach inevitably masks major difference between H&SS—in which c. 20% of research is externally funded, and self-funding of research costs is pervasive—and STEM. H&SS journal editors and learned societies—staffed by active H&SS researchers—unsurprisingly are alive to these differences, which have a direct, daily impact on scholarly innovation, conditions of labour and career opportunities in their fields of study. Failure to take cognisance of the full system of knowledge production, from doctoral dissertations to articles

and monographs and from PhD students through to research-active emeritus staff, is a much broader characteristic—and flaw—of cOAlition S’s vision of OA.

In the IP Report, this failure is conspicuously evident in the authors’ proposals that learned societies simply wean their journals off subscriptions, embracing instead Plan S-compliant OA funding models predicated (for example) on advertising, crowdfunding, bequests and donations.¹⁰¹ Advertising is not a new avenue for H&SS journals and societies to pursue. Nor, alas, is it one that generates significant revenues in fields such as History. Donations and bequests are of course welcome and actively solicited by learned societies: the RHS OA book series and the Society’s research grants for ECRs both benefit from this revenue stream, which is however neither sufficiently large nor sufficiently regular to cover core costs such as staffing. (The small size and absence of paid staff in many H&SS societies is an obvious barrier to large-scale fundraising efforts). As cOAlition S Ambassador Professor Martin Eve made emphatically clear at a recent (3 October) OA symposium at Cambridge University, crowdsourcing is an exceptionally problematic source of funding for academic journals, especially in H&SS subjects. Failing to provide the constant stream of income required to maintain high scholarly standards of peer review and editing, crowdsourcing is also highly liable to distortion by political forces such as (at this time of writing, as Professor Eve underlined) populism, nationalism and xenophobia.¹⁰² As a model for funding OA journals, it poses a fundamental challenge to free intellectual inquiry in the Humanities and Social Sciences.

¹⁰¹ Wise and Estelle, ‘Society Publishers Accelerating’, page 37-38.

¹⁰² The comments were made at a recorded event at St Catherine’s College, Cambridge on the ‘Open Access Monographs: From Policy to Reality’ symposium (3 October 2019).

Part 9. Conclusions and Recommendations

Conclusions

‘If they can get you asking the wrong questions, they don't have to worry about answers.’

Thomas Pynchon, *Gravity's Rainbow* (1973)

Pynchon's much-quoted adage resonates with H&SS responses to the central lines of OA policy debate that have emerged in the years since the publication of the Finch Report in 2012.¹⁰³ For many research communities in the Humanities and Social Sciences—including many H&SS editors and learned societies actively engaged in promoting OA publishing initiatives—the questions implicitly posed by cOAlition S and explicitly answered with Plan S appear to articulate both a misguided and a largely unexamined catechism.

The Plan S-compliant policies championed by cOAlition S may have the virtue of increasing the volume of full and immediate OA publishing. But they also stifle innovation (by prescribing rigid ‘compliance’ pathways to OA and proscribing support for hybrid publication), fail to engage with systems of knowledge production (as opposed merely to modes for disseminating knowledge), refuse to recognise or value distinctive knowledge communities (including variations in scholarly analysis across disciplines, languages, nation-states and regions), and decline to endorse rights regimes (notably equal opportunities protected by national and international legislation). It is unsurprising in this context that debates about Plan S in the past year have been unduly, and unproductively, acrimonious. If policy development more broadly has failed to yield the best answers to OA publishing provision, perhaps we should begin to pose better questions.

In a world in which resources—of funding, personnel, material goods and energy—were infinite, full and immediate open access to all research publications produced by all researchers globally might—if it were accompanied by fully comprehensive discovery systems—represent an absolute good.¹⁰⁴ As the climate emergency however forcefully reminds us, we live in a world of limited resources. On planet earth, it may be wise for all

¹⁰³ See for example Yehuda Baruch, Abby Ghobadian and Mustafa Özbilgin, ‘Open Access—the Wrong Response to a Complex Question: The Case of the Finch Report’, *British Journal of Management*, 24 (2013), 147-155, esp. the authors’ comments on equalities issues.

¹⁰⁴ The DOAJ's reflections on this topic (in ‘Myth-busting: All Open Access Journals Can Be Listed in DOAJ’) are interesting and important. ‘The Directory of Everything open access would be a wonderful thing but of how much use would it be? ... Of course, there are arguments that seeing all the open access research is better than only seeing a selection of it, but for sites which do this, where are the quality filters?’ See: <https://blog.doaj.org/2019/09/17/myth-busting-all-open-access-journals-can-be-listed-in-doaj/>.

stakeholders to understand OA publication as one desirable (and necessary) commodity within a much wider basket of desirable (and necessary) scholarly goods.

Conceptualising OA as *commodity* reminds us that it has *costs* as well as *benefits*. Conceptualising OA as *a good*, rather than *the only* or *invariably best good* allows us to ask more intelligent, more fit for scholarly purpose and more cost-effective questions about both the goals and the optimal delivery systems for OA scholarly communication. Adopting this approach would have the salutary effect of reminding us that there are many ways to be ‘open’. Peer-reviewed articles in scholarly journals are the best way to package and circulate some types of scientific knowledge for some audiences; YouTube and Twitter have however proven much more effective (and much less expensive) delivery systems for reaching many other audiences. As Parts 5 and 7 of this report demonstrate, both current OA and current subscription journals in History have elaborated a wide variety of mechanism for rendering their publications more open, including diverse means of circulating VoRs of their articles internationally—the ‘Gold’ standard for OA. In a more ecumenical OA catechism, there are many roads that may lead to Rome.

If the goal of OA is to make all scholarship produced everywhere by everyone who receives public or private grant funding immediately capable of global dissemination in some version to all readers, a focus on OA publication of Author Accepted Manuscripts (AAMs)—stripped of their images, lacking copy-editing or corrections and *sans* pagination—may appear to offer a viable model of OA. Mobile phones—which are more widely available, more reliable and less expensive in the Global South than broadband connections—would in this case likely represent the favoured mechanism for accessing OA content.¹⁰⁵ This approach to OA would in theory afford virtually equal open access to virtually all new research publications, extending almost equally, for example, to Princeton professors, secondary school pupils in Wigan and the rural doctors of Western Australia and southern Africa.¹⁰⁶

If the goal of OA instead is to build sustainable scholarly systems which—at scale—are capable of both equitably producing and delivering high-calibre research publications to an expanding universe of users, alternative mechanisms to Plan S would surely be devised. These systems would recognise that no person or community can read everything and that different groups of readers and researchers rightly have different types of needs. Systematic investigation of what different communities of readers’ needs are and how they are best

¹⁰⁵ It matters in discussions of global access to OA that technologies are included in the conversation rather than assumed to be universally available and efficacious. In conversations with digital experts, the download times of files looms large for accessibility in significant swathes of the Global South, for example. Philip Roessler, *The Mobile Phone Revolution and Digital Inequality: Scope, Determinants and Consequences* (2018) found that in sampled African countries, poverty was the most significant constraint on mobile phone ownership, while in sampled countries in Asia gender was a more powerful predictor of digital inequality than socioeconomic status: <https://pathwayscommission.bsg.ox.ac.uk/Philip-Roessler-paper>.

¹⁰⁶ See the useful discussion in Tim Leeuwenburg and Casey Parker, ‘Free Open Access Medical Education Can Help Rural Clinicians Deliver “quality care, out there”’, *Rural and Remote Health* 2015; 15: 3185. Available: www.rrh.org.au/journal/article/3185.

served is one of the most glaring gaps in cOAlition S Funders' approach to OA. To rectify this anomaly, an optimal approach to OA would likely be hybrid—not simply in the sense of including 'hybrid' journals, but in recognising that meeting authors' and readers' constrained actual needs—in sharp contrast to fulfilling their imagined infinite needs—may require multiple or tailored delivery systems as well as a diversity of both incentives and mandates for those who produce and disseminate research outputs. This diversity would allow OA systems to accommodate the full range of discipline-based and interdisciplinary research and researchers. It would also foster rather than stifle innovation.

In 2019, paywall publishing is a powerful—but not the only powerful—means of delivering scholarly knowledge. Commercial markets and subscription models of publishing have a long track record of accomplishment in disseminating new research, especially in the Global North. Subscription publications often display and benefit from high scholarly standards and exhibit impressive longevity. But they suffer from obvious defects in terms of both cost and access. OA mandates from cOAlition S funders are only one, untested force now working to address these structural problems. The achievements of innovators who have produced sustainable Portuguese- and Spanish-language History journals in both Europe and Latin America are models of OA with existing records of accomplishment outside the new Plan S paradigm. They are largely overlooked in current Anglophone policy discussions.

In the 'hybrid' OA universe of 2019, thousands of H&SS subscription journal titles are also made available each year by publishers without charge to research organisations in 'developing' nations via initiatives such as the Electronic Information for Libraries scheme (EIFL) and Research4Life (R4L). This mode of 'open', which gives researchers free access to the VoR (rather than the AAM) of peer-reviewed articles, attracts surprisingly little mention in OA debates.¹⁰⁷ Admittedly, from the perspective of H&SS readers (and of cOAlition S Funders), these types of hybrid OA fail to deliver free and immediate open access to all research content to all persons in all places. From the perspective of H&SS researchers in both the Global North and the Global South, however, current 'hybrid' systems have the significant benefit of operating largely outside the pay-to-publish paradigm.

Given that costs attach to *all* models of OA, an economist—or simply an intelligent stakeholder—might reasonably ask at what points and in what contexts the marginal utilities of different models of 'open' are best matched to the variegated national and global markets of readers that consume research publications. These are questions that cOAlition S and Plan S foreclose. In closing down discussion of who and what OA is for, Plan S impoverishes the landscape of scholarly communication.

¹⁰⁷ See for example: <http://liblicense.crl.edu/licensing-information/developing-nations-initiatives/> and <https://www.research4life.org/about/>. R4L currently contains content from up to 175 publishers a year, with over 9,000 institutions gaining access to up to 100,000 online journals, books and databases.

Recommendations

Recommendations that demarcate between different constituencies of stakeholders often convert groupings with substantial areas of overlap into separate silos. The categories listed below thus artificially distinguish between several convergent communities. This in turn leads to substantial repetition across the recommendations as a whole. Nonetheless, the complexity of the OA landscape (including Plan S) suggests the utility of this format, if only to initiate targeted consideration of the strengths, weaknesses, opportunities and threats of cOAlition S's ambitious programme to revolutionise OA research publication.

For Early Career Researchers (ECRs), their Supervisors and Host Institutions

- In the current open access OA environment, universities and other research organisations that train PhD students and employ ECRs have a moral obligation to ensure that these new entrants into the research community have continuous and free access to an institutional OA repository. Patterns of precarious and interrupted employment are especially common among ECRs. Provision of a minimum of 3-5 years of free OA repository access to completed PhDs and fixed-term contract ECRs by research organisations that train and/or employ them is strongly recommended;¹⁰⁸
- Understanding of copyright and licencing issues is essential for H&SS researchers. A strong grasp of the differences between—and the implications of—CC BY, CC BY-NC, CC BY-ND and CC BY-NC-ND should be a standard acquirement attained by all H&SS PhD researchers and ECR postdoctoral academic staff. Because the latter group often includes staff on teaching-only contracts who are continuing to develop research publication profiles, training programmes should *not* be restricted to postdoctoral research staff;
- Knowledge of the full range of current peer-reviewed publishing modalities—from subscription models to the spectrum of available OA paradigms—should be integrated into research organisations' standard training for both PhD students and postdoctoral ECRs. Understanding of the publishing landscape—including both best practice in peer review and exploration of the new frontiers of OA innovation—is essential for the career progression of these stakeholders and vital to the continued development of new high-calibre systems of scholarly communication.

¹⁰⁸ The School of Advanced Studies, London, has recently instituted this best practice for their PhD students and fixed-term contract ECRs.

For all H&SS Researchers

- Understanding of copyright and licencing issues is essential not only for H&SS researchers as a whole, but for the creation of a broad community of stakeholders capable of responding to OA developments (including UKRI consultations). Research organisations that seek to develop staff research capacity will be wise to encourage the acquisition of basic knowledge of the differences between—and the implications of—CC BY, CC BY-NC, CC BY-ND and CC BY-NC-ND as a preliminary starting point to broader OA literacy. The implications of these different licences vary both within and across disciplines;
- OA is transforming how researchers communicate with each other and with their audiences. Developed wisely, it has the potential to strengthen H&SS research (by decreasing barriers to scholarly communication and by enhancing collaboration) and to widen the readership for H&SS research by policymakers, students, and the broader public. If researchers abdicate responsibility for understanding and debating the basic parameters of OA—what it is for, how it can best be achieved for which audiences, what it should cost, and how it should be paid for—they risk degrading the publishing environment for their own and future generations of researchers. Engaging with the OA landscape is recommended as the best means of shaping it in ways that recognise and allow for the full range of scholarship both nationally and internationally across the full span of individual research careers.

For Learned Societies that Sponsor Peer-reviewed Journals

- Learned societies that sponsor journals need to evaluate OA policy options in light not only of their own publication strategies and their publishers' recommendations, but also by considering their wider portfolios of charitable endeavour and their legal and financial obligations. (In the UK, these obligations rest not with UKRI but with the English and devolved bodies that regulate charitable organisations). For many journals, these assessments will require an understanding of international trends in OA, which include (but are by no means confined to) Plan S;
- Some OA champions (including participants in cOAlition S developments) assert that 'Increasingly, questions are being asked about the extent to which funders and libraries can or should subsidise [learned] society activities via payments to journals, particularly when there are profit margins of more, sometimes much more, than 25%.¹⁰⁹ Profit margins of 25% or more will strike History learned societies as highly anomalous and statistically unlikely—given typical disciplinary norms, modes of operation and choice of publishers. However, learned societies are well placed to demonstrate to research organisations (including universities and university libraries)

¹⁰⁹ Wise and Estelle, 'Society Publishers Accelerating', page 9.

how their activities (including, but not only, publishing journals) contribute positively to the research environment throughout the researcher career cycle. They are especially well placed to comment knowledgeably on the conditions of production for research in their fields, rather than on the conditions of dissemination of research alone—and to remind subscription-paying stakeholders of the connection between these two essential facets of research publication.¹¹⁰ Joined-up conversations within research organisations between stakeholders who pay institutional journal subscriptions and stakeholders such as learned society members who both produce research and supervise/mentor ECR researchers will improve the quality of OA debate and policy-making;

- OA is a dominant direction of travel in UK research. Learned societies that wish to influence emerging OA policies need to submit informed, evidenced-based responses to OA consultations. The research for this RHS paper revealed many distinctive features of both OA and subscription History journals, but these findings are hardly exhaustive. Informed OA decision making requires an evidence base. Learned societies are prime repositories of this evidence, and should be proactive in deploying it.

For Journal Editors (of Learned Society and Proprietary Journals)

- In the current publishing context, understanding of copyright and licencing issues is increasingly essential for journal editors of both learned society and proprietary publications. In a Plan S-aligned or a Plan S-compliant environment, prospective authors' journal choices may be influenced by copyright and licencing issues, in ways that are not at present the case. The acquisition of basic knowledge of the differences between—and the implications of—CC BY, CC BY-NC, CC BY-ND and CC BY-NC-ND will accordingly become an increasingly wise investment for H&SS journal editors in the UK and internationally. The implications of these different licences will vary both within and across disciplines. Informed editors will be best placed to participate in both learned societies' and publishers' decision-making as new OA developments unfold;
- Increasing the transparency of peer review systems is recommended for all journal editors, as a means to disambiguate article submission for authors and to allow assessment of the equity of journals' editorial practices. The COPE guidelines provide

¹¹⁰ To offer just one worked example: the bundled UK cost for 2020 the RHS's *Transactions* and its *Camden* book series is £205 (this is a maximum figure, excluding all discounts). In the financial year 1 July 2018–30 June 2019, RHS awarded (for example) £2,781.56 to support ECR researchers at York University and £3,177.16 to support ECR researchers at Oxford. (Many thanks to Ms Imogen Evans for the RHS data). Some stakeholders might consider this a high rate of institutional return on investment by university libraries, rather than an extortionate publisher profit margin artificially subsidising parasitic learned societies. Sensible discussions of these costs and benefits will entail thinking both about systems that produce and systems that disseminate research. They will also require calculations that extend across different cost centres within any given institution.

an important starting point for discussions along these lines.¹¹¹ Editors are experts who are especially well-placed to comment on subject-specific and author-specific issues that shape best practices of peer review in their own sub-fields and journals—a point that emerged repeatedly in responses to the summer 2019 RHS History journal survey;

- Editors of OA journals that are not DOAJ-registered would benefit from familiarising themselves with the purpose and application criteria for DOAJ.¹¹² For the avoidance of all doubt, RHS makes no recommendation with respect to any journal’s decision to adopt (or reject) either Plan S-aligned or Plan S-compliant policies. However, given the importance of DOAJ for emerging OA systems, editors of extant OA History journals will be best placed to make appropriate policy decisions if they are conversant with the DOAJ framework.

For Research Organisations

- Plan S-aligned or Plan S-compliant policies will place a new onus on research organisations, potentially requiring significant technical enhancement, sustained financial investment and additional staffing for existing OA repositories as well as the creation of new repositories for research organisations outside the university sector. In an ideal world, UKRI itself will assume responsibility for providing a fully compliant OA repository for the researchers it funds. In the real world, research organisations will likely bear the brunt of implementing new regimes of OA repository compliance. Research organisations that train PhD students and/or employ ECRs will have a heightened moral obligation under Plan S-compliant policies to ensure that new entrants into the research community have continuous and free access to an institutional OA repository. Patterns of precarious and interrupted employment are especially common among ECRs. Provision of a minimum of 3-5 years of free OA repository access to completed PhDs and fixed-term contract ECRs by research organisations that train and/or employ them is strongly recommended.¹¹³ Research organisations will also need to consider how best to support the ongoing research publication profiles of emeritus staff with respect to OA repository access;
- Research organisations have both a duty of care and legal obligations with respect to their staff and equal opportunities. In England, Scotland and Wales, these duties are encapsulated in the Equality Act 2010. Research organisations engaged in Athena SWAN Charter and Race Equality Charter award schemes will enhance OA policy developments if they bring evidence adduced through these processes to bear on cOAlition S Funders’ consultations. The absence of any reference to Equality, Diversity

¹¹¹ <https://publicationethics.org/core-practices> .

¹¹² See <https://doaj.org/application/new> .

¹¹³ As noted above, the School of Advanced Studies, London, has recently instituted this best practice for their PhD students and fixed-term contract ECRs.

and Inclusion (EDI) as defined by either European legislation or the UK Equality Act 2010 is a striking feature of Plan S debate. UK research organisations should be proactive in testing and articulating any aspects of proposed policies that may prove deleterious to researchers with ‘protected characteristics’ under the 2010 Act and its Northern Irish analogues;

- Research organisations absorb a significant share of the unfunded costs of both externally ‘funded’ and ‘unfunded’ QR-based research. In the UK, this includes for example payment for the unfunded portion of UKRI research council grants (which typically cover only 80% of full economic costs) and the indirect costs that charitable funders such as the Wellcome Trust exclude from their awards. In responding to OA initiatives such as Plan S, research organisations need to recognise as well that H&SS researchers in particular share the financial load entailed by this structural deficit. They do so in part by self-funding their research outputs, not only by routinely working beyond contracted hours but also by financing direct research costs (for example, for image rights) from their salaries. In this context, the evolution of equitable systems of OA will require serious consideration by research organisations of the real costs to H&SS researchers of different pathways to OA compliance;
- Research organisations rightly have a major voice in consultations undertaken by funders such as cOAlition S. The findings of this report suggest that they can respond effectively on behalf of their research staff and research students only if they take steps to understand and think comprehensively across interlocking production and dissemination processes. This recommendation applies to the production of both research outputs and research careers. It will require research organisations to take account of the similarities and differences that operate across the disciplinary and interdisciplinary domains in which their research staff and students operate. Confining OA policy discussion to the dissemination of research outputs alone will not produce sustainable systems of knowledge production. Confining these discussions to OA systems designed for the Biosciences will not produce forms of OA that promote high-calibre OA at scale for H&SS researchers. Research organisations will no doubt be mindful of the disproportionate representation of researchers with protected characteristics (for example, gender) in H&SS compared to STEM.

For Funders

- UK cOAlition S Funders have specific duties of care and legal obligations with respect to researchers’ rights to equal opportunities. The absence of any reference to Equality, Diversity and Inclusion (EDI) as defined by either European legislation or the UK Equality Act 2010 is a striking feature of both the 10 Principles of Plan S and broader cOAlition S policy statements. Outlining the steps that cOAlition S Funders (such as UKRI) have taken to model and mitigate any potentially negative impacts with respect to researchers with ‘protected characteristics’ under the 2010 Equality

Act (and its Northern Irish analogues) represents an obvious first step towards recognising these Funders' EDI obligations. UKRI for example asserts that it embeds EDI in its practices. More than a year after UKRI announced its founding membership in cOAlition S, however, evidence of this embedding remains conspicuously absent;

- Lack of clarity with respect to UKRI's obligations as a member of cOAlition S emerged from the RHS survey of History journals as a key obstacle to policy-making and business planning for subscription journal editors. Learned society subscription journals in History often have annual meetings to set editorial policy; these meet at different times of year for different societies. Both the normal conduct of business for peer-reviewed journals (most of which is undertaken by editors on top of full-time university employment) and break-clauses in societies' contracts with their publishers restrict the speed with which they can respond to new OA policy mandates. For UK OA journal editors as well, decisions about whether to adopt complex new Plan S requirements are impeded by lack of clarity with respect to UKRI's relationship to cOAlition S and Plan S. One perverse consequence of full Plan S-compliance implementation may be reduced access by researchers to existing fully OA journals. The extent to which QR-funded research is (or is not) in scope for UKRI's new OA policies adds a further level of complexity, which—given dominant funding patterns—is especially important for H&SS. Navigating the mooted cOAlition S mandates within the compressed timespans of Plan S will be exceptionally challenging, if it is possible at all. For international journals, in which UK researchers typically constitute only a minority of all authors, this game may simply not be worth the candle;
- Plan S-aligned or Plan S-compliant policies will clearly be expensive for both researchers and research organisations to implement. In this context, the apparently low levels of investment UKRI appears to have made to date in OA personnel and infrastructure are noteworthy, and indeed well-noted by informed stakeholders. Together, the dearth of new appointments of OA experts to permanent posts within UKRI and the apparent reluctance of UKRI to invest in new shared infrastructure (for example, a pan-UK OA repository) suggest policy devised in haste and undertaken on the cheap. The ability of under-resourced OA policies and policy-makers to foster researchers and research organisations is—like their cost-effectiveness for taxpayers—difficult to discern. If full and immediate OA of the research it funds is a prime goal of UKRI, investing in the staff and structures that will deliver that goal across all areas of funded research will be required;
- The use of DOAJ as a key framework for the development of cOAlition S-approved finding aids for researchers seeking to publish in compliant OA journals (Route 1 of Plan S compliance) appears from the research discussed in Part 5 of this report to pose significant challenges for cOAlition S Funders and researchers alike. Funders are recommended to explore more fully the functionality of DOAJ within the Plan S framework and timescales, to ensure that the systems they develop and endorse in dialogue with DOAJ are fit for purpose across the full range of research fields in which

they allocate funds. Open communication with researchers and research organisations in this context will allow productive collaboration as new systems are devised, tested and brought into use;

- As the 2019 Information Power Report highlighted, the APC model is currently the most common means by which individual scholarly articles attain full and immediate OA. Yet the APC model is known to be less fit for purpose in H&SS subjects than in most STEMM disciplines, owing to the relatively low levels of external grant income in H&SS. UKRI has an equal responsibility to all researchers it funds. Expanding the stakeholders represented at the table of UKRI's OA policy discussions, and both recognising and rectifying any obvious skews in that representation, will tend to enhance both outcomes for and buy-in from H&SS journals, scholarly societies, researchers and research organisations. The observer status accorded by UKRI to the Wellcome Trust—but not (for example) to the Leverhulme Trust or the Wolfson Foundation—on its current OA policy review board has the potential to entrench an existing skew towards models of OA best suited for the Biosciences.¹¹⁴ Lack of representational parity for major H&SS funders that operate outside the cOAlition S framework risks the creation of an echo chamber unable or unwilling to take cognisance of the needs and norms of H&SS research;
- High-calibre research and research publication are inherently international. In History as in other disciplines, this is evident in the publication of UK researchers' work in a global constellation of peer-reviewed journals. But other markers also attest to this basic characteristic of scholarship, including international membership in journals' editorial boards, international membership in learned societies and their governing bodies and the publication of high-calibre articles in journals (including established OA outlets) that publish in languages other than English. Plan S is a global vision, but its terms of reference emerge from this RHS report as surprisingly parochial. Editors working in European languages other than English often struggled with the version of English language in which Plan S is expressed. Many viewed its mandates as poorly suited for (or irrelevant to) the conditions of scholarly production in their 'home' nations. This response may reflect wider differences in H&SS publication practices compared to STEMM. Or, it may be symptomatic of wider cultural differences that mark scholarly traditions across the globe, the preservation of which may enrich—rather than invariably detract from—scholarly excellence. Funders will devise better policies if they are both alive and sensitive to the distinctive international configurations of the research communities to which they award grants.

¹¹⁴ For the current policy committee, see: <https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/>. The Wellcome Trust was also represented on HEFCE's 2014 review of OA: <https://www.ukri.org/files/legacy/documents/aorpanelmembership-pdf/>.

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Appendix 1: Glossary & Abbreviations

AAM (Author Accepted Manuscript): The version of a scholarly article that has been accepted for publication by a journal but has not yet been copy-edited by the journal or its publisher.

APC (Article Processing Charge): A fee charged by some journals to enable content (typically the VoR) to be published with full and immediate OA. Within Plan S, cOAlition S Funders will pay APCs only for hybrid journals that have signed an approved 'transformative agreement'. Under Plan S, this interim agreement to pay APCs expires on 1 January 2025.

CC BY: A Creative Commons licence that stipulates 'Licensees may copy, distribute, display and perform the work and make derivative works and remixes based on it only if they give the author or licensor the credits (attribution) in the manner specified by these.'¹¹⁵

CC BY NC: A Creative Commons licence by which 'Licensees may copy, distribute, display, and perform the work and make derivative works and remixes based on it only for non-commercial purposes.'

CC BY-ND: A Creative Commons licence by which 'Licensees may copy, distribute, display and perform only verbatim copies of the work, not derivative works and remixes based on it.'

cOAlition S: A coalition of predominantly European funding bodies committed to a radical acceleration of full and immediate OA, first for scholarly articles and subsequently for books and portions of books (also known as chapters).

COPE (Committee on Public Ethics): a committee dedicated to enhancing ethical editorial practices. Adoption of COPE guidelines is required for Plan S compliance.

ECR (Early Career Researcher): postgraduate researchers registered for a research degree and recent recipients of the PhD. Different funders define 'Early' differently. It can extent to 10 years beyond the PhD award but more typically entails a shorter time period.

EDI (Equality, Diversity & Inclusion): The rubric under which programmes and policies that protect statutory equal rights fall. In England, Scotland and Wales, this statutory framework is provided by the Equality Act 2010.

Embargo: In the context of this paper, the period between publication of the VoR of an article and publication/release of an AAM deposited in a repository.

¹¹⁵ This definition and those for CC BY-NC and CC BY-ND are taken from page 15 of <https://5hm1h4aktue2uejbs1hsqt31-wpengine.netdna-ssl.com/wp-content/uploads/2018/03/UK-SCL-March-2018.pdf>.

‘flip’, ‘flipping’, ‘flipped’: In the context of this paper, a journal that changes from either ‘fully closed’ status (that is, allowing no content to be published OA) or from ‘hybrid’ status to immediate full OA has ‘flipped’. ‘Flipping’ hybrid subscription journals is a key goal of cOAlition S.

Gold: ‘Gold’ OA in the context of this paper refers to article content in hybrid journals that has been published OA with zero embargo in its VoR format. Typically, ‘Gold’ OA requires payment of an APC. In History, APC charges are at the time of writing typically in the range of £1,500-2,000 per article.

Hybrid: a hybrid journal is a subscription-based journal that offers open access publication as an option for authors of specific articles, typically requiring an APC to be paid in such cases.

Learned Society: For the purposes of this paper, a learned society is a free-standing organisation devoted to the production and scholarly dissemination of research in a specific field of study or scholarly discipline. The term is used broadly in this paper, encompassing national subject associations and local bodies dedicated to specific sub-fields of research. Most UK-based learned societies are registered charities.

OA (open access): OA publication entails access to digital content (for example, scholarly articles) that is freely available to the reader without payment of a subscription or other access fee.

Proprietary journal: A journal owned by a publisher, in contradistinction to a journal owned by a learned society.

QR (Quality Related): QR income is provided through multi-year block grants awarded by the 4 UK funding bodies to universities in England, Northern Ireland, Scotland and Wales. The amount of each block grant is determined by relative success in successive REF exercises. QR typically contributes to, but does not fully fund, research costs such as academic salaries.

RCUK (Research Councils UK): The portion of UKRI composed of 7 individual research councils that annually announce public calls for research grants and disburse funds to support successful candidates. For History researchers, the main RCUK funders are the Arts & Humanities Research Council and the Economic & Social Research Council.

REF (Research Excellence Framework): A periodic assessment of research quality undertaken by Research England on behalf of UKRI and the 3 (Northern Irish, Scottish and Welsh) devolved funding bodies by Research England. REF exercises typically occur every 6-7 years. The current REF, REF2021, accepts submissions in November 2020 and reports its findings in December 2021.

Repository: An online repository, typically funded and maintained by a university or other research organisation (or, in the case of the Wellcome Trust, by a funder) that is designed to

hold and give access to research outputs. Some content in repositories is made available by full and immediate OA. Other content is held for a period or indefinitely under an embargo.

Research England: The council within UKRI that undertakes the REF exercise on behalf of English, Northern Irish, Scottish and Welsh university funding bodies.

RHS (Royal Historical Society): A UK-based international learned society and registered charity which publishes edited scholarly editions of primary sources (*Camden* series), an open access book series (*New Historical Perspectives*) and a hybrid annual journal, *Transactions of the Royal Historical Society*. Its other charitable and scholarly activities are detailed at: <https://royalhistsoc.org/>. Information on the criteria for membership and annual deadlines for applications can be found at: <https://royalhistsoc.org/membership/>

Self-deposit: Deposit by an author (hence, ‘self’) of the AAM or (less often) VoR of a scholarly output in an OA repository

Transformative arrangement/agreement: An agreement to ‘flip’ a journal or bundle of journals to full and immediate OA within a specified time period. Within Plan S, transformative agreements must ‘flip’ their journal(s) by 1 January 2025.

UKRI (UK Research & Innovation): The overarching body responsible for government research strategy and funding for universities (among other research organisations) in the UK.

VoR (Version of Record): The official version of a research output (for example, a scholarly article). For History outputs, crucially, the VoR has been copy-edited, corrected, typeset, proofed by the publisher and author and published in a format that allows future citation. In History, a key characteristic that allows scholarly citation from the VoR is stable pagination.

Zero embargo: Immediate publication. In the Plan S context, zero embargo typically refers to the OA publication/release of the self-archived AAM simultaneously with the publication of the VoR (with the VoR typically remaining behind a paywall, for an interval or indefinitely).

Appendix 2: Journals in 7 sampled REF2014 History UoA Output Submissions:

Appendix 2 records journals with one or more outputs entered by seven selected History Units of Assessment (UoAs) in REF2014. 83 History UoAs entered 6,478 Outputs, of which 2,479 were journal articles, in REF 2014. The selected UoAs represent only 8.4% of all UoAs; their combined 887 Outputs represented 13.7% of all History Outputs.¹¹⁶

The sample includes a range of institutional types, sizes and regional/national locations. Cambridge entered 115.20 Category A staff FTEs (363 Outputs) in the History UoA in REF2014. Dundee entered 16 staff FTEs (56 Outputs). Exeter entered 41.53 FTEs (134 outputs). Manchester Metropolitan entered 14.2 FTEs (51 Outputs). Queen's University Belfast entered 29.65 FTEs (110 Outputs). Sheffield entered 27.45 staff (100 Outputs). Swansea entered 20.0 staff FTEs (73 outputs).

The wide range of journals that contributed to History UoAs' REF submissions is striking. A total of 192 journals published article outputs by the 264.03 staff FTEs submitted by our 7 selected UoAs. 'Clumping' around specific journals within any given UoA was limited. For example, Cambridge, with 115.20 FTE staff, submitted articles published in 91 different journals, a ratio of 1.2 journals per staff FTE. 'Clumping' around specific journals across the seven selected UoAs was present, but again was significantly less conspicuous than dispersal across different journal titles.

Cambridge University

N= 91; Continental European (non-English Language) =11 (12% of journals, but not 12% of all article submissions)

African Affairs

Agricultural History Review

American Historical Review

American Political Science Review

Anglo-Saxon England

Art History

Aufklaerung: interdisziplinäre Jahrbuch zur Erforschung des 18. Jahrhunderts und seiner Wirkungsgeschichte

Australian Journal of Politics and History

Austrian History Yearbook

Barcelona Quaderns d'Història

Bibliothèque de l'École des Chartes

Bulletin of the History of Medicine

Burlington Magazine

¹¹⁶ Data are derived from the Panel D overview report, pages 50-52 of <https://www.ref.ac.uk/2014/panels/paneloverviewreports/>.

Canadian-American Slavic Studies
Cold War History
COLLeGIUM: Studies across Disciplines in the Humanities and Social Sciences
Comparativ: Leipziger Beiträe zur Universalgeschichte und vergleichenden Gesellschaftsforschung
Comparative Studies in Society and History
Comparative Studies of South Asia, Africa and the Middle East
Constellations
Contemporary European History
Contemporary South Asia
Continuity and Change
Cultural and Social History
Diplomatic History
Early Medieval Europe
Economic History Review
Economic Journal
English Historical Review
European History Quarterly
The Fifteenth Century
Francia
French History
Geschichte und Gesellschaft: Zeitschrift fuer Historische Sozialwissenschaft
Grotiana
Historical Journal
Historical Research
History: the Journal of the Historical Association
History and Anthropology
History of European Ideas
History of the Family
Hobbes Studies
Huntington Library Quarterly
Indian Economic and Social History Review
Indonesia and the Malay World
Intellectual History Review
InterDisciplines. Journal of History and Sociology
International Journal of African Historical Studies
IRAN STUD-UK
Isis: international review devoted to the history of science and its cultural influences
Journal of African History
Journal of Asian Studies
Journal of British Studies
Journal of Contemporary History
Journal of Ecclesiastical History
Journal of Eighteenth Century Studies
Journal of Global History
Journal of Imperial and Commonwealth History
Journal of Indian Philosophy

Journal of Legal History
Journal of Modern History
Journal of Policy History
Journal of Southern African Studies
Journal of the Economic and Social History of the Orient
Journal of the Historical Society
Journal of Vietnamese Studies
Journal of the Warburg and Courtauld Institutes
Journalism Studies
The Library: the transactions of the Bibliographical Society
Local Population Studies
Medical History
Midland History
Modern Asian Studies
Modern Intellectual History
Neue Politische Literatur
Parliamentary History
Past and Present
Print Quarterly
Public Culture
Quaderni Storici
Revue Belge de Philologie et d'Histoire
Rural History
Scottish Historical Review
Social History of Medicine
South African Historical Journal
Storica
Studia Rosenthaliana
Studies in the Humanities and the Social Sciences
Transactions of the Royal Historical Society
Visual Culture in Britain
Women's History Review

Dundee

N=25; Continental European (non-English language) =1 (4% of journals)

Agricultural History Review
Annales Historiques de la Revolution Francaise
British Scholar
Contemporary European History
Crime, History & Societies
English Historical Review
Environment and History
European History Quarterly
European Review of History: Revue europeenne d'histoire
Historical Research

History

History of European Ideas

Historical Journal

Historical Studies in Industrial Relations

International Review of Social History

Journal of American Studies

Journal of British Studies

Journal of Scottish Historical Studies

Journal of the History of Ideas

Medical History

Past and Present

The Round Table: The Commonwealth Journal of International Affairs

Rural History

Scottish Historical Review

Slavonic and East European Review

Exeter

N=43; Continental European (non-English language) =1 (2%)

American Historical Review

BioSocieties

British Journal for the History of Science

Bulletin of the History of Medicine

Capitalism Nature Socialism

Comparative Studies in Society and History

Contemporary British History

Cultural and Social History

Diplomatic History

Economic History Review

English Historical Review

Environment and Planning A

European Journal of East Asian Studies

French Historical Studies

Historical Journal

Historical Research

History of the Human Sciences

International Journal of African Historical Studies

Journal of African History

Journal of Eastern African Studies

Journal of Imperial and Commonwealth History

Journal of the Society for Psychical Research

Journal of Medieval History

Journal of Medieval Iberian Studies

Journal of Military History

Journal of Southern African Studies

Labour History Review

Mediaeval Studies
Modern Asian Studies
Oral History
Parliamentary Affairs
Past & Present
Renaissance Studies
Social History
Social History of Medicine
Studia Historica: Historia Medieval
Studies in History and Philosophy of Biological and Biomedical Sciences
Studies in History and Philosophy of Science Part A
Technology and Culture
Transactions of the Royal Historical Society
Twentieth Century British History
Viator
War in History

Manchester Metropolitan University

N=18; Continental European (non-English language) =0

The Court Historian
Economic History Review
English Historical Review
History
History Workshop Journal
Industrial Archaeology Review
International Politics
Irish Historical Studies
Journal of Interdisciplinary History
Journal of Transatlantic Studies
Manchester Region History Review
Modern Asian Studies
Modern Judaism
Patterns of Prejudice
Sport in History
Transfers
War in History
Women's History Review

Queen's University Belfast

N=39; Continental European (non-English language) =5 (13%)

Acta Antiqua Academiae Scientiarum Hungaricae
British Journal for the History of Science
Bulletin of the Institute of Classical Studies

Cambrian Medieval Celtic Studies
Canadian Slavonic Papers
Central European History
Church History
Cold War History
Contemporary British History
Early Music
English Historical Review
Enterprises et Histoire
French Cultural Studies
German History
Historical Journal
Historical Research
Huntington Library Quarterly
International Labor and Working-Class History
Irish Historical Studies
Journal of British Studies
Journal of Historical Research in Marketing
Journal of Imperial & Commonwealth History
Journal of Medieval Latin
Journal of Peasant Studies
Journal of Social History
Journal of the History of Childhood and Youth
Journal of Women's History
Labor: Studies in the Working-Class History of the Americas
Parliamentary History
Peritia: Journal of the Medieval Academy of Ireland
Quaderni storici
The Russian Review
Schweizerische Zeitschrift für Religions- und Kulturgeschichte
Scottish Historical Review
Southern Cultures
Southern Quarterly
Transactions of the Royal Historical Society
Urban History
War in History

Sheffield University

N=33; Continental European (non-English language) =1 (3% of journals)

American Journal of Legal History
American Nineteenth Century History
Archiv für Sozialgeschichte
British Journal for the History of Science
Cold War History
Contemporary European History

Early Medieval Europe
English Historical Review
European Review of History
Gender & History
Historical Journal
Historical Research
Historical Social Research
Indian Economic & Social History Review
Irish Historical Studies
Journal of African History
Journal of British Studies
Journal of Early American History
Journal of Early Christian Studies
Journal of Historical Pragmatics
Journal of Imperial and Commonwealth History
Journal of Social History
Journal of Urban History
Kritika: Explorations in Russian and Eurasian History
Modern Asian Studies
Past & Present
Politics, Religion & Ideology
Politix
Popular Music and Society
Renaissance Studies
Review of English Studies
Slavonic and East European Review
The William and Mary Quarterly

Swansea

N=25; Continental European (non-English language) =3 (12% of journals)

Agricultural History Review
Archives internationales d'histoire des sciences
Austrian History Yearbook
Bibliothèque de l'École des Chartes
British Journal for the History of Science
Contemporary British History
Cultural and Social History
English Historical Review
European History Quarterly
History Compass
International Journal of Asian Studies
International Review of Social History
The Italianist
Journal for the History of Astronomy
Journal of Early Christian Studies

Journal of Global History
Journal of Late Antiquity
Journal of Legal History
Journal of Modern Italian Studies
Modern Asian Studies
Research in the History of Economic Thought and Methodology
Tijdschrift van de Koninklijke Vereniging voor Nederlandse Muziekgeschiedenis
Twentieth Century British History
Urban History
Welsh History Review

Combined Journals List (7 selected History UoAs):

N=192; Continental European (non-English language) =19

Acta Antiqua Academiae Scientiarum Hungaricae
African Affairs
Agricultural History Review
American Historical Review
American Journal of Legal History
American Nineteenth Century History
American Political Science Review
Anglo-Saxon England
Annales Historiques de la Revolution Francaise
Archiv für Sozialgeschichte
Archives internationales d'histoire des sciences
Austrian History Yearbook
Art History
Aufklaerung: interdisziplinaere Jahrbuch zur Erforschung des 18 Jahrhunderts und seiner Wirkungsgeschichte
Australian Journal of Politics and History
Austrian History Yearbook
Barcelona Quaderns d'Història
Bibliothèque de l'École des Chartes
BioSocieties
British Journal for the History of Science
British Scholar
Bulletin of the History of Medicine
Bulletin of the Institute of Classical Studies
Burlington Magazine
Cambrian Medieval Celtic Studies
Canadian-American Slavic Studies
Canadian Slavonic Papers
Capitalism Nature Socialism
Central European History
Church History
Cold War History

COLLeGIUM: Studies across Disciplines in the Humanities and Social Sciences
Comparativ: Leipziger Beitræge zur Universalgeschichte und vergleichenden Gesellschaftsforschung
Comparative Studies in Society and History
Comparative Studies of South Asia, Africa and the Middle East
Constellations
Contemporary British History
Contemporary European History
Contemporary South Asia
Continuity and Change
The Court Historian
Crime, History & Societies
Cultural and Social History
Diplomatic History
Early Medieval Europe
Early Music
Economic History Review
Economic Journal
English Historical Review
Enterprises et Histoire
Environment and History
Environment and Planning A
European History Quarterly
European Journal of East Asian Studies
European Review of History: Revue europeenne d'histoire
The Fifteenth Century
Francia
French Cultural Studies
French Historical Studies
French History
Gender & History
German History
Geschichte und Gesellschaft: Zeitschrift fuer Historische Sozialwissenschaft
Grotiana
Historical Journal
Historical Research
Historical Social Research
Historical Studies in Industrial Relations
History: the Journal of the Historical Association
History and Anthropology
History Compass
History of European Ideas
History of the Family
History of the Human Sciences
History Workshop Journal
Hobbes Studies
Huntington Library Quarterly

Indian Economic and Social History Review
Indonesia and the Malay World
Industrial Archaeology Review
International Review of Social History
Intellectual History Review
InterDisciplines. Journal of History and Sociology
International Journal of African Historical Studies
International Journal of Asian Studies
International Labor and Working-Class History
International Politics
International Review of Social History
IRAN STUD-UK
Irish Historical Studies
Isis: international review devoted to the history of science and its cultural influences
The Italianist
Journal for the History of Astronomy
Journal of African History
Journal of American Studies
Journal of Asian Studies
Journal of British Studies
Journal of Contemporary History
Journal of Ecclesiastical History
Journal of Early American History
Journal of Early Christian Studies
Journal of Eastern African Studies
Journal of Eighteenth Century Studies
Journal of Global History
Journal of Historical Pragmatics
Journal of Historical Research in Marketing
Journal of Imperial and Commonwealth History
Journal of Indian Philosophy
Journal of Interdisciplinary History
Journal of Late Antiquity
Journal of Legal History
Journal of Medieval History
Journal of Medieval Iberian Studies
Journal of Medieval Latin
Journal of Military History
Journal of Modern History
Journal of Modern Italian Studies
Journal of Peasant Studies
Journal of Policy History
Journal of Scottish Historical Studies
Journal of Social History
Journal of Southern African Studies
Journal of the Economic and Social History of the Orient
Journal of the Historical Society

Journal of the History of Childhood and Youth
Journal of the History of Ideas
Journal of the Society for Psychical Research
Journal of Transatlantic Studies
Journal of Urban History
Journal of Vietnamese Studies
Journal of the Warburg and Courtauld Institutes
Journal of Women's History
Journalism Studies
Kritika: Explorations in Russian and Eurasian History
Labor: Studies in the Working-Class History of the Americas
Labour History Review
The Library: the transactions of the Bibliographical Society
Local Population Studies
Manchester Region History Review
Medical History
Mediaeval Studies
Midland History
Modern Asian Studies
Modern Intellectual History
Modern Judaism
Neue Politische Literatur
Oral History
Parliamentary Affairs
Parliamentary History
Past and Present
Patterns of Prejudice
Peritia: Journal of the Medieval Academy of Ireland
Politics, Religion & Ideology
Politix
Popular Music and Society
Print Quarterly
Public Culture
Quaderni Storici
Renaissance Studies
Research in the History of Economic Thought and Methodology
Revue Belge de Philologie et d'Histoire
Review of English Studies
The Round Table: The Commonwealth Journal of International Affairs
Rural History
Russian Review
Schweizerische Zeitschrift für Religions- und Kulturgeschichte
Scottish Historical Review
Slavonic and East European Review
Social History
Social History of Medicine
South African Historical Journal

Southern Cultures
Southern Quarterly
Sport in History
Storica
Studia Historica: Historia Medieval
Studia Rosenthaliana
Studies in History and Philosophy of Biological and Biomedical Sciences
Studies in History and Philosophy of Science Part A
Studies in the Humanities and the Social Sciences
Technology and Culture
Tijdschrift van de Koninklijke Vereniging voor Nederlandse Muziekgeschiedenis
Transactions of the Royal Historical Society
Transfers
Twentieth Century British History
Urban History
Viator
Visual Culture in Britain
War in History
Welsh History Review
The William and Mary Quarterly
Women's History Review

Appendix 3: Journals included in the RHS 2019 Survey

<i>Agricultural History Review</i>	<i>History of Political Thought</i>
<i>American Journal of Legal History</i>	<i>History of Retailing and Consumption</i>
<i>American Nineteenth Century History</i>	<i>History Workshop Journal</i>
<i>Architectural History</i>	<i>Huguenot Society Journal</i>
<i>Britannia</i>	<i>Huntington Library Quarterly</i>
<i>British Catholic History</i>	<i>International Journal for the History of</i>
<i>British Journal for the History of Science</i>	<i>Engineering and Technology</i>
<i>Bulletin of the History of Medicine</i>	<i>International Journal of Middle East</i>
<i>Canadian-American Slavic Studies</i>	<i>Studies</i>
<i>Central European History</i>	<i>Irish Historical Studies</i>
<i>Church History</i>	<i>ITALIA CONTEMPORANEA</i>
<i>Contemporary European History</i>	<i>Journal African History</i>
<i>Continuity and Change</i>	<i>Journal Economic History</i>
<i>Crime, History and Societies/Crime,</i>	<i>Journal for Eighteenth-Century Studies</i>
<i>Histoire et Sociétés</i>	<i>Journal of Asian Studies</i>
<i>Cultural and Social History</i>	<i>Journal of British Studies</i>
<i>Cultural History</i>	<i>Journal of Contemporary History</i>
<i>Deutsches Archiv für Erforschung des</i>	<i>Journal of Design History</i>
<i>Mittelalters</i>	<i>Journal of Early Modern History</i>
<i>Diplomatic History</i>	<i>Journal of Ecclesiastical History</i>
<i>Early American Studies</i>	<i>Journal of Global History</i>
<i>Early Medieval Europe</i>	<i>Journal of Hellenic Studies</i>
<i>Economic History Review</i>	<i>Journal of Historical Geography</i>
<i>English Historical Review</i>	<i>Journal of Imperial and Commonwealth</i>
<i>Environment and History</i>	<i>History</i>
<i>European History Quarterly</i>	<i>Journal of Jewish Studies</i>
<i>Family and Community History</i>	<i>Journal of Latin American Studies</i>
<i>Foundations</i>	<i>Journal of Legal History</i>
<i>French Colonial History</i>	<i>Journal of Medieval History</i>
<i>French Historical Studies</i>	<i>Journal of Medieval Military History</i>
<i>French History</i>	<i>Journal of Modern History</i>
<i>Garden History</i>	<i>Journal of Pacific History</i>
<i>German History</i>	<i>Journal of Roman Studies</i>
<i>Historical Journal</i>	<i>Journal of the Early Republic</i>
<i>Historical Research</i>	<i>Journal of the History of Biology</i>
<i>Historische Zeitschrift</i>	<i>Journal of the History of Ideas</i>
<i>History</i>	<i>Journal of the Society for Army Historical</i>
<i>History & Theory</i>	<i>Research</i>
<i>History of Education</i>	<i>Journal of Victorian Culture</i>

Kritika: Explorations in Russian and Eurasian History
Law and History Review
Local Historian
London Journal
Magic, Ritual, and Witchcraft
Medieval Low Countries
Northern History
Parliamentary History
Past and Present
Reformation & Renaissance Review
Renaissance Quarterly
Rethinking History
Revue d'histoire du XIXe siècle
Revue d'histoire (previously Vingtième Siècle. Revue d'histoire)
Scottish Historical Review
Sixteenth Century Journal
Slavery and Abolition
Social History
Social History of Medicine
Speculum

Studies in Church History
The Innes Review
The Library
The Seventeenth Century
Tijdschrift voor Rechtsgeschiedenis / Journal for Legal History
Transactions of the Cumberland and Westmorland Antiquarian and Archaeological Society
Transactions of the Historical Society of Lancashire and Cheshire
Transactions of the RHS
Twentieth Century British History
Urban History
Vierteljahrsschrift fuer Sozial- und Wirtschaftsgeschichte
War in History
Welsh History Review
William and Mary Quarterly
Women's History Review
Zeithistorische Forschungen/Studies in Contemporary History

Appendix 4: Projekt DEAL

A few time-limited contracts denominated ‘transformative agreements’ have been signed by European and US higher education institutions. It is unknown whether or how they comply with Route 3 of Plan S. In January 2019, Wiley Press announced a ‘transformative’ partnership with Projekt DEAL, which represents c. 700 German academic institutions in Germany.¹¹⁷ German national funding bodies are however not among cOAlition S’s members. Part 1, Article 1, Section 3 of the German Federal Government’s Basic Law specifies that ‘Art and scholarship, research, and teaching shall be free.’¹¹⁸ This ‘Basic Right’ precludes German academics’ adherence to Plan S’s restrictions on academic freedom.¹¹⁹ Wiley reports that Projekt DEAL is ‘in line’ with Plan S.¹²⁰ In the US, Cambridge University Press similarly signed a 3-year ‘transformative agreement’ in April 2019 with the University of California system. This agreement ‘is designed to maintain UC’s access to CUP journals while also supporting open access (OA) publishing for UC authors’ on the system’s 10 campuses.¹²¹ It is not clear in what sense, from the perspective of Plan S, this is ‘transformative’ and will lead to flipped journals.

¹¹⁷ Benedicta Page, ‘Wiley in ‘transformative’ partnership with German academic institutions’, *The Bookseller* (15 January 2019): <https://www.thebookseller.com/news/wiley-transformative-partnership-german-academic-institutions-935016>

¹¹⁸ <https://www.bundesregierung.de/breg-en/chancellor/basic-law-470510>.

¹¹⁹ For the wider content of academic freedom in Germany, see Otto Hüther and Georg Krücken, ‘Germany debates whether academic freedom is an individual or organisational right’, *Times Higher Education* (9 May 2019). <https://www.timeshighereducation.com/opinion/germany-debates-whether-academic-freedom-individual-or-organisational-right>

¹²⁰ FAQ Wiley Contract. <https://www.projekt-deal.de/faq-wiley-contract/>.

¹²¹ Benedicta Page, ‘CUP in OA Partnership with University of California’, *The Bookseller* (11 April 2019), <https://www.thebookseller.com/news/cup-oa-partnership-university-california-988666#>.