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Library Publishing Services: Strategies for Success Research Report Version 1.0

James L. Mullins
Purdue University, jmullins@purdue.edu

Catherine Murray-Rust
Georgia Institute of Technology - Main Campus, catherine.murray-rust@library.gatech.edu

Joyce Ogburn
University of Utah, joyce.ogburn@utah.edu

Raym Crow
Chain Bridge Group, crow@chainbridgegroup.com

October Ivins
Ivins e-Content Solutions, october.ivins@mindspring.com

See next page for additional authors

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Authors
James L. Mullins, Catherine Murray-Rust, Joyce Ogburn, Raym Crow, October Ivins, Allyson Mower, Mark P. Newton, Daureen Nesdill, Julie Speer, and Charles Watkinson

Abstract

Over the past five years, libraries have begun to expand their role in the scholarly publishing value chain by offering a greater range of pre-publication and editorial support services. Given the rapid evolution of these services, there is a clear community need for practical guidance concerning the challenges and opportunities facing library-based publishing programs.

Recognizing that library publishing services represent one part of a complex ecology of scholarly communication, Purdue University Libraries, in collaboration with the Libraries of Georgia Institute of Technology and the University of Utah, secured an IMLS National Leadership Grant under the title "Library Publishing Services: Strategies for Success." The project, conducted between October 2010 and September 2011, seeks to advance the professionalism of library-based publishing by identifying successful library publishing strategies and services, highlighting best practices, and recommending priorities for building capacity.

The project has four components: 1) a survey of librarians designed to provide an overview of current practice for library publishing programs (led by consultant October Ivins); 2) a report presenting best practice case studies of the publishing programs at the partner institutions (written by consultant Raym Crow); 3) a series of workshops held at each participating institution to present and discuss the findings of the survey and case studies; and 4) a review of the existing literature on library publishing services. The results of these research threads are pulled together in this project white paper.

LIBRARY PUBLISHING SERVICES: STRATEGIES FOR SUCCESS

Report on a Research Project Conducted by the Libraries of Purdue University, Georgia Institute of Technology, and University of Utah

Raym Crow, October Ivins, Allyson Mower, Daureen Nesdill, Mark Newton, Julie Speer, and Charles Watkinson
With a Foreword by James L. Mullins, Catherine Murray Rust, and Joyce Ogburn

Version 1.0, November 1, 2011

DRAFT VERSION – FOR COMMENT

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Available for free download and online commenting at: <http://wp.sparc.arl.org/lps>

"Library Publishing Services: Strategies for Success" is published by SPARC on behalf of the libraries of Purdue University, Georgia Institute of Technology, and the University of Utah.

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FOREWORD

Libraries have a deeply ingrained mission to promote the creation and diffusion of knowledge and to preserve it for the long term. They offer exceptional services to scholars and students who employ diverse means of exploration, explication, and expression of their scholarship. Librarians are compelled to take on whatever roles serve these ends, though they may stretch our organizations and create new demands on our resources. The mission of academic libraries has not changed, but the means of fulfilling it has.

It is now apparent to academic library deans and directors that new roles and responsibilities have emerged for libraries. Repositories for the preservation of digitized text and, later, born digital materials naturally fell within the jurisdiction of academic libraries. Concurrent with the development of digital repositories, another issue loomed - open access. The need to offer an alternative to traditional publishing as well as the creation of a publishing model for materials that are usually considered "grey literature," such as technical reports and conference presentations, continues to grow. The need to assess additional publishing mechanisms and channels was exacerbated by the increasing challenges faced by university presses, the traditional outlet for specialized scholarship. Most university presses publish primarily in the humanities and social sciences areas and, with the challenges faced by academic library budgets to meet the increasing cost of science and technology materials, have experienced declining sales. Where a university press exists on campus, the natural affinity between the missions of the press and the libraries has led to closer alliances, and in some cases integration of the university press and the library.

During the spring of 2010, three university libraries began a collaboration to explore the future of new publishing models based within academic libraries. The libraries of Purdue University, Georgia Institute of Technology, and the University of Utah had particular and complementary experience and expertise in three publishing areas: Purdue in open access journals; Georgia Tech in conference proceedings; and Utah in monographic publications. Each institution agreed that additional research was necessary, to include a survey of the state of library publishing in the country as a whole, building on earlier work that focused exclusively on Association of Research Libraries members. The proposal created to research this question was submitted to the Institute for Museum and Library Services (IMLS) as a Collaborative Planning Grant in its National Leadership Grant (NLG) Program. Although the three library deans (Mullins, Murray-Rust, and Ogburn) were the PI and co-PIs respectively, librarians and press staff at the universities and the consultants performed most of the work. The deans wish to acknowledge the effort of all who coordinated this project, and especially (in alphabetical order) Bill Anderson, Raym Crow, Sara Fuchs, October Ivins, Judy Luther, Allyson Mower, Daureen Nesdill, Mark Newton, Julie Speer, and Charles Watkinson. We also thank the many respondents to the survey and the participants in the workshops, all of whom shared their time and expertise.

The results of this study will inform the larger academic library community, especially the members of the Association of Research Libraries, the Oberlin Group, and the University Libraries Group. It has sparked dialogue in multiple forums, within the workshops and in the larger community through the publication of this report. We hope that the recommendations will also catalyze the further development and professionalization of library publishing services, and will advance the community's further articulation of the important role in the scholarly communication ecosystem that these operations hold.

James L. Mullins, Dean of Libraries, Purdue University
Catherine Murray-Rust, Dean of Libraries, Georgia Institute of Technology
Joyce Ogburn, Dean of the J. Willard Marriott Library and University Librarian, University of Utah

INTRODUCTION

Over the past five years, libraries have begun to expand their role in the scholarly publishing value chain by offering a greater range of pre-publication and editorial support services. Given the rapid evolution of these services, there is a clear community need for practical guidance concerning the challenges and opportunities facing library-based publishing programs.

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THE LIBRARY SURVEY

To gain a broader perspective on current library publishing practice, the project surveyed library directors at institutions of various types and sizes, including ARLs, Oberlin Group, and University Library Group institutions. This survey, described fully in **Appendix 1**, aimed to identify the types of library publishing services currently being offered and to obtain a fuller understanding of the strategic and operating issues relevant to such programs. While there were 144 respondents, only those representing institutions with operational publishing service programs were offered a full set of survey questions. As a result, the survey analysis reflects full responses received from approximately 43 libraries.

The survey, which was conducted in October and November of 2010, was designed to allow a longitudinal comparison with a previous survey of ARL members on library publishing services (Hahn, 2008, http://www.arl.org/bm~doc/research-library-publishing-services.pdf).

Key findings of the survey include:

- Approximately half (55%) of respondents indicated having, or being interested in, offering library publishing services. Interest in such services varied by institution size, with over three-quarters of ARLs being interested, compared to 30% of Oberlin Group institutions. Most libraries with existing programs anticipated increasing the program's scale or scope in the next year.

- About three-quarters of the programs publish between one and six journals, the majority of which are only distributed electronically and are less than three-years old. About half of the programs publish conference proceedings, technical reports, or monographs; most often electronically, but with some

print-on-demand distribution. Publishing services offered include copyright advice, digitization services, and peer review management.

- The vast majority of library publishing programs (almost 90%) were launched in order to contribute to change in the scholarly publishing system, supplemented by a variety of other mission-related motivations. The prevalence of mission-driven rationale aligns with the funding sources reported for library publishing programs, including library budget reallocations (97%), temporary funding from the institution (67%), and grant support (57%). However, many respondents expect a greater percentage of future publishing program funding to come from service fees, product revenue, charge-backs, royalties, and other program-generated income.

- Almost two-thirds of the programs collaborate with one or more other campus units—including departmental faculty, a university press, and campus computing—and two-thirds collaborate with individuals or organizations outside of the institution. Over half of the respondents expect collaborations to increase in the next year.

- About half of responding institutions centralize management of their publishing activities within one library unit. The number of staff allocated to publishing activities is modest—averaging 2.4 FTE for ARLs and 0.9 FTE for Oberlin Group institutions—with older programs typically being larger. Staff dedicated exclusively to publishing service programs are relatively rare, with responsibility for such services typically fragmented across multiple staff members.

- The perceived relevance of publishing services to the library's mission, and the integration of such services into the library's budget, also helps explain the relative lack of emphasis on sustainability planning revealed by the survey. Few institutions (15%) have a documented sustainability plan for their publishing services, and only a fifth have evaluated the value or effectiveness of their publishing services.

- The most prevalent journal publishing platforms reported were Open Journal Systems (57%), DSpace (36%), and Berkeley Electronic Press's Digital Commons (25%).

- According to respondents, the three resources most needed for planning or operating a library-based publishing service are guides to business issues, information on publishing platforms, and examples of policy and process documents. (In May 2011, SPARC released the *Open-access Journal Publishing Resource Index*, http://www.arl.org/sparc/partnering/planning/index.shtml, which addresses some of the needs identified by the survey.)

THE CASE STUDIES

Overview

The project commissioned an analysis of publishing initiatives at each of the three participating institutions to assess the extent to which those initiatives comply with best practices for sustainability planning. These case studies, reported in **Appendix 2**, provide object lessons that can help inform and guide future planning and implementation of similar library-based publishing programs. The selected initiatives represent the kinds of publishing projects of increasing interest to academic libraries of all sizes:

The Purdue e-Pubs Journal Publishing Services

The Purdue e-Pubs Journal Publishing Services—a collaboration of the Purdue University Libraries and the Purdue University Press—were launched in 2006 to publish Open Access journals. The initiative now publishes ten Open Access journals, six of which are affiliated with departments or schools at Purdue, two of which are student journals, one journal with an internal faculty editor (but not departmental affiliation), and one legacy journal with an external editor. The e-Pubs program draws resources from both the Library and the Press and aligns with the mission of each unit as well. Both the Library and the Press wish to respond to faculty demand for new publishing venues, especially in interdisciplinary fields. In addition, the Library seeks to provide faculty with non-commercial, Open Access publishing venues, and the Press seeks to align itself more closely with the research, teaching, and outreach focuses of the University.

Georgia Tech Library Conference Proceedings Support Service

The GT Library Conference Proceedings Support Service provides web hosting and archiving for symposia and conferences hosted at Georgia Tech. Key client segments include organizers of conferences and symposia at Georgia Tech, as well as clients of the Georgia Tech Global Learning Center. The service focuses on Open Access content, although some conferences have restricted access to their proceedings. Since 2006, the initiative has hosted and/or archived proceedings from almost 20 conferences or workshops. Due to resource constraints, the initiative has had to limit the scope of the services that it provides.

Although initial outreach efforts for the program generated appreciable interest, the Library hesitated to market the services more aggressively out of concern that such efforts would generate more demand than the program could satisfy. This concern was amplified by the extent of *ad hoc* support and customization some clients required. For its first five years, the initiative has operated informally, funded as part of the Library's standing budget. Now, the Library must decide whether to continue rationing a basic level of service to a small group of campus clients, or to fund expansion of the service's scope and/or broaden its client base by supplementing library funding with a fee-based model.

Utah Scholarly Monographs

As at Purdue, the University of Utah Press has become more tightly integrated into the Library's strategy and operations. Given this integration, the Library and Press are actively exploring various publishing services they might offer to the Utah community. In this context, the Library is seeking to be more systematic and deliberate about mining its special collections and about the role that the Press plays vis-à-vis Library publishing services overall.

The types of publishing services and publishing opportunities under consideration include:

- Library hosting of online content to complement the Press's scholarly monographs;

- Library support for online content to supplement the research and publications of Utah faculty, regardless of where (or whether) a print edition is published; and

- Mining the Library's special collections to identify content that might be: published in book form by the Press; distributed free online by the Library, possibly with editorial advice from the Press; and/or made available in digital and/or print-on-demand formats.

Sustainability Model Components

To provide a framework for assessing the sustainability plans for the three initiatives, the case study report outlines best practices that apply to developing sustainability models for campus-based publishing programs. The key elements of a sustainability model include:

- *Audience or client segments*—the various audiences, constituencies, or markets that derive value from the proposed service.

  To develop an effective sustainability model, an initiative needs to identify the distinct client segments—each with its specific characteristics and value requirements—that it seeks to serve. Each of these segments needs to be evaluated in terms of the value perceived, demand for the service, and the communications and marketing channels that will be used to reach it. For library publishing programs, the beneficiary of the value being created is not always the principal source of funding. Therefore, both direct beneficiaries and their funding proxies need to be identified.

- *Value proposition*—the content and/or services that serve the needs of each client segment.

  A publishing program's value proposition represents that part of its offering for which a specific client segment is willing to pay. This payment is not confined to financial transactions. In the context of peer-reviewed journals and monographs, for example, it may comprise an author's choosing to publish via the initiative and a researcher's attention in reading the initiative's publication(s). A sustainability model may include one or more value propositions for each of its target client segments, including both direct beneficiaries and their proxies.

- *Core activities and resources*—the set of activities that an initiative undertakes to provide a service or produce a publication, and to support the income model itself, as well as the resources and partnerships required for the activities.

  As far as possible, a program's core activities, and the cost of the resources to support them, need to be aligned with the value proposition and income stream for each client segment. This alignment helps ensure that the program focuses on the most critical activities and allocates resources efficiently across the initiative's activities.

- *Distribution channels*—the channels through which the initiative reaches its audiences or clients and delivers its value.

  A publishing initiative requires distribution channels through which it can reach its audiences and deliver its value. Distribution channels typically entail communication and marketing, as the value that an initiative delivers must be communicated clearly and explicitly to the client segment(s) expected to pay for it. This is true for grants and other subsidies, as well as for earned revenue models.

- *Income streams*—the mechanisms by which an initiative actually generates income—including, potentially, both earned revenue and subsidies—from the clients to which it delivers value.

Depending on the type of service or publication offered, income streams can include in-kind or cash subsidies, service or publication fees, voluntary use fees, grants and donations, advertising, sponsorships, secondary licensing fees, endowment interest, and other sources. An initiative may require multiple income streams to sustain itself, and generating income from multiple sources can add stability to an initiative's revenue base.

The financial potential and stability of any funding model, whether based on earned revenue or subsidies, are functions of how well the above elements are integrated. The value delivered must be recognized by the client segments that benefit from it, and the resources (whether in-kind or financial) generated by the funding models must be allocated to those activities critical to generating the initiative's value. Further, because all of the above components are interrelated, a strong sustainability model should be integral to an initiative's conception and design. Regardless of whether the model involves subsidies, market-based income, or both, planning for sustainability from the outset typically yields a funding model with greater stability and longevity than one introduced after the initiative has been launched.

THE WORKSHOPS

Overview

Three consultative workshops, held in May 2011 at Georgia Tech, the University of Utah, and Purdue University, expanded the perspective and enriched the information gathered by the project survey and reported in the case studies. As described in **Appendix 3**, workshop participants represented North American (i.e., US and Canadian) libraries of all sizes and library publishing programs of various types and stages of development. Workshop participants were chosen based on their practical experience implementing publishing programs, or because of their interest in establishing such a program.

Each workshop featured sessions covering five issues central to building library publishing programs: technology infrastructure, policies and processes, skills and training, program planning and sustainability models, and organization and collaboration. The workshops were structured to highlight challenges confronting library publishing programs, identify community priorities, and develop recommendations for resources and collective action to improve results and accelerate progress.

Workshop presentations from library publishing programs indicated demand for both traditional journal and monographic support, as well as for new, alternative modes of scholarly communication. The former includes peer reviewed journals, monographs, and conference proceedings, and the latter includes non-linear monograph narrative structures, subject- or theme-specific web resources,

Not surprisingly, the presentations and discussions reflected a tension between author and editor demands for traditional publishing services—including copyediting, workflow management, and indexing—and typical library skill sets and library desire to avoid reproducing the infrastructure and costs of conventional publishing operations. Indeed, many institutions are experiencing demand to support both traditional and innovative publishing models simultaneously, expanding the types of expertise required and straining resources further.

Workshop participants also discussed other key differences between traditional publishing models and library-based publishing programs, including 1) a philosophical preference for maximizing access to information, particularly via open access dissemination; and 2) a willingness to engage with the entire

scholarly communication process and lifecycle, working with faculty on a variety of projects and experimenting with new models, as well as assuming responsibility for dissemination and preservation.

Technology Infrastructure

The principal publishing platforms indicated in the survey and represented in the workshops—the Public Knowledge Project's Open Journal Systems (OJS) and Open Conference Systems (OCS) and Berkeley Electronic Press's Digital Commons—reflect different technology management approaches. OJS's open source software is typically implemented, hosted, and maintained locally as a premise-based solution, while Digital Commons provides a centrally hosted and maintained proprietary service. The type of solution a given library chooses typically depends on the institution's size, technical capacity, and resource management strategy.

A number of participants indicated an interest in a collective solution—for example, a shared hosting platform for the OJS/OCS software—that would deliver cost benefits and service flexibility, while allowing their libraries to focus their staff resources on content acquisition, presentation, and preservation.

Policies & Processes

As the scale and scope of library publishing services increase, the need for internal and external policies becomes more pronounced. Internal policies include a program's strategic objectives, the budget within which it operates, the principal audience(s) served, editorial parameters, and the types of services offered.

External policies—for example, formal agreements that articulate the responsibilities of both a library and its publishing partners—help ensure the editorial quality and performance of library-hosted publications. These policies are often captured in service level agreements or memoranda of understanding. As the workshop discussions revealed (and the case studies documented), clearly articulated internal objectives and external policies are necessary to manage a publishing program rationally.

Workshop discussions considered the types of policies developed by various programs, and confirmed the benefits of a centralized exchange for sharing policies and process documents, such as that provided by the SPARC Campus-based Publishing Resource.

Skills & Training

Library publishing programs—many of which offer skeletal production systems and minimal editorial support—have discovered that authors and editors continue to demand publishing services that the library had assumed to be irrelevant in an era of digital dissemination. The skills that these publishing services require do not always align well with traditional library staff expertise, requiring libraries to either hire staff with publishing experience or to seek training for existing staff.

Workshop participants discussed the lack of publishing training in library schools, and identified XML production workflows and project management to be areas where the need for training is particularly acute. The workshops identified specialized publishing tracks within MLS and LIS programs as one possible response to the need for greater professional training, as well as virtual information sharing events to provide training on tools, processes, and best practices.

Participants from institutions of all sizes reported the challenges and benefits of undergraduate and graduate student labor. Although nominally less costly, student labor becomes more expensive when the inefficiency of constant turnover, increased management requirements, and duplicative training are factored in. However, participants reported on the value of student involvement with publications on an institution's curriculum and information literacy initiatives.

Sustainability Planning

In the workshop sessions on sustainability planning, much of the discussion centered on the relevance of such planning, and of best practices drawn from product and market management, for mission-driven publishing programs. Although some librarians remain apprehensive of best practices derived from business experience, most participants recognized (at least, in theory) the value and benefits delivered by careful sustainability planning from the outset of a program.

The need for deliberate sustainability planning has been muted somewhat, especially for smaller and newer publishing programs, by the consciously experimental nature of many library publishing programs. However, the workshop discussions indicated that as such programs grow and mature—and as the extent of the resources required to sustain them increase—libraries have begun to seek new sources of funding to supplement the library budget subsidy. Further, the need to justify a growing allocation of library resources has increased the importance of demonstrating the value library publishing programs deliver, especially to their host institutions. Demonstrating this value requires a variety of qualitative indicators and quantitative metrics. Some of the former, can be adapted from existing library program evaluation practices, while the latter remain to be more fully developed and refined.

The relevance of fee-based service models proved of particular interest to workshop participants from programs where current resource constraints require the rationing of services, as well as to programs seeking to extend their service offerings beyond their core campus constituencies (for example, to provide publishing services to society-sponsored journals not affiliated with the institution). In these situations, product and market management best practices—adapted to the library environment—provide a framework to guide libraries in evaluating, designing, and implementing fee-based services.

Collaboration & Organization

One of the most important results of the workshops was the networking and community building they stimulated. The workshop discussions covered library publishing collaborations with university presses and with other campus and extramural partners. Although only a small percentage of North American institutions have presses, library-press initiatives have been the most visible collaborations to-date. These partnerships are instructive as they combine the skills and missions of libraries and presses, while confronting the cultural, editorial, and economic differences between the two types of organizations.

The potential for collaboration between library publishing programs across institutions also attracted discussion. Such collaboration might entail the sharing of a single hosted publishing platform, pooled policy and process best practices, and cost sharing of outsourced publishing services, such as copyediting.

BIBLIOGRAPHY

New and existing library publishing programs require guidance from specialized resources to ensure that they continue to grow and improve. To this end, the bibliography provided in **Appendix 4** provides 50 core resources organized by the following subjects:

- Technological infrastructure;
- Policies and processes;
- Skills and training;
- Business and sustainability models; and
- Organization and collaboration.

This resource complements further bibliography available on the SPARC Campus-based Publishing Resource Center.

RECOMMENDATIONS

Based on the needs identified by the survey and the case studies, and discussed during the workshops, the project has identified a set of recommendations. Described more fully in **Appendix 3**, these recommendations include:

Develop Best Practices for Library Publishing

- Develop meaningful impact metrics for library publishing services—
  to demonstrate the effectiveness and value of library-based publishing programs and inform resource allocations.

- Establish editorial quality and performance criteria—
  to increase the value and longevity of the publications that library programs support.

- Promote sustainability best practices—
  to improve the long-term strength and stability of library publishing programs.

- Develop return-on-investment justifications for funding library publishing programs—
  to support increased library budget allocations in support of such programs.

Collaborate to Create Community-based Resources

- Create a shared repository of policies, tools, and templates — to improve and accelerate adherence to best practices and encourage community sharing and participation.

- Develop centrally hosted software solutions for publishing platforms — to facilitate cost sharing and support robust system functionality and capacity.

- Share service models and revenue approaches—to increase library publishing program funding options and facilitate the efficient implementation of successful programs.

- Promote collaborations and partnerships—to leverage resources within campuses, across institutions, and between university presses, scholarly societies, and other partners.

Formalize Skills & Training

- Create formal and informal training venues—to provide training and community-building resources, including virtual online conferences and seminars.

- Articulate the particular value delivered by library publishing programs—to define the role played by library publishing and position such programs with authors/editors, university administrators, funders, and others.

- Establish dedicated library publishing positions—to provide program champions and improve program continuity and success.

This document, along with other data resulting from the project, has been made available online via SPARC's Campus-based Publishing Resource Center (http://www.arl.org/sparc/partnering/). This resource will also serve as a locus for building on the community momentum developed by the project workshops, and will provide a venue for implementing many of the recommendations outlined above.

APPENDIX 1: SURVEY REPORT

The Library Publishing Services: Strategies for Success project has drawn from several existing recent reports in setting its agenda and schedule of activities to examine the current state of library publishing practice. The Association of Research Libraries (ARL)"Research Library Publishing Services: New Options for University Publishing" (Hahn, 2008, http://www.arl.org/bm~doc/research-library-publishing-services.pdf) report investigating publishing services in research libraries was referenced heavily for the new directions indicated in the present project as well as for the development of a follow-up survey. The ARL survey polled its membership exclusively, while the present study expands the focus to include the Oberlin Group and the University Libraries Group (ULG) to evaluate how libraries at smaller research universities and colleges are addressing publishing services. The overall aim of the project was to obtain a sense of the types of library publishing services being offered, issues surrounding these services, and the opportunities for further development. It succeeded in substantially deepening our understanding of Library Publishing Services in ARL libraries and adding the first findings from smaller research libraries. In particular, the survey was designed to explore the actual services currently offered as opposed to those in the planning stages. One result is that respondents whose services are not yet operational were not offered a full set of survey questions. This analysis focuses on complete responses received from about 43 libraries, depending on the specific question.

It is also important to remind readers that the survey results were conducted in a landscape that has continued to change rapidly since 2007 when the ARL survey was conducted. For one thing, the Synergies project funded by the Canadian government has provided funding for five ARL libraries to serve as regional hubs for publishing services initiatives. Two of the five hub libraries and five other Canadian ARL members responded to the survey which perhaps provides a disproportionate representation of their well-developed services. On the other hand, a substantial service like that of the California Digital Library is not included since the invitation was sent only to its ARL member libraries. Nevertheless, the knowledge gained will allow future investment in this new area of library activity to be based on sound evidence. A second use of the survey responses was to help select speakers and attendees for the three workshops. A listing of respondents appears at the end of this report.

Analysis

The study included a survey consisting of eight sections:

- About Your Institution and Library
- Organization and Collaboration
- Technological Infrastructure
- Type of Publications
- Services and Staffing
- Data Management
- Sustainability
- Future Plans and Growth

The resulting 72 questions were developed during a series of conference calls by the grant's key staff consisting of six people from Purdue University, University of Utah and Georgia Institute of Technology and a consultant. Purdue staff led the effort, creating the survey and managing its administration using SurveyMonkey. A PDF of the survey is attached to this report.

The survey was tested by individuals representing the three targeted library groups. The survey was designed to solicit and record a single response per institution. An invitation email was composed and sent to members of the three library groups on October 28, 2010 with follow up reminders in November. The survey was officially closed November 30, 2010.

Respondents were provided with the definition of library-based publishing as described in the original ARL survey (Hahn, 2008) to ensure a common understanding of the concept. The definition reads as follows: "Library-based publishing is defined as 'the organized production and dissemination of scholarly works in any format as a service provided by the library.' An institutional repository might be part of a library publishing program if it is involved in some way in the production process (e.g., peer reviewing). Repositories that only house works for dissemination (e.g., collections of post-prints) are not considered part of library publishing. Simply digitizing or otherwise reformatting works would not be considered publishing." This facilitates collecting data that could be analyzed longitudinally, in comparison with ARL's findings.

The results of the survey were analyzed using SurveyMonkey. A total of 144 people started the survey and 139 (95%) completed the survey. Three of the incomplete responses were partial duplicate responses received from three ARL institutions. Since these respondents stopped answering the survey at an early question the impact on the question by question analysis is negligible. The response rate, based on the total membership of the three organizations was 65% (a list of institutions who responded appears at the end of this report, ordered alphabetically within membership groups, with duplicates indicated). An analysis of the number of responses per question indicates two questions where the number of responses decreased dramatically (see Figure 1)

Figure 1: Number of responses to each question
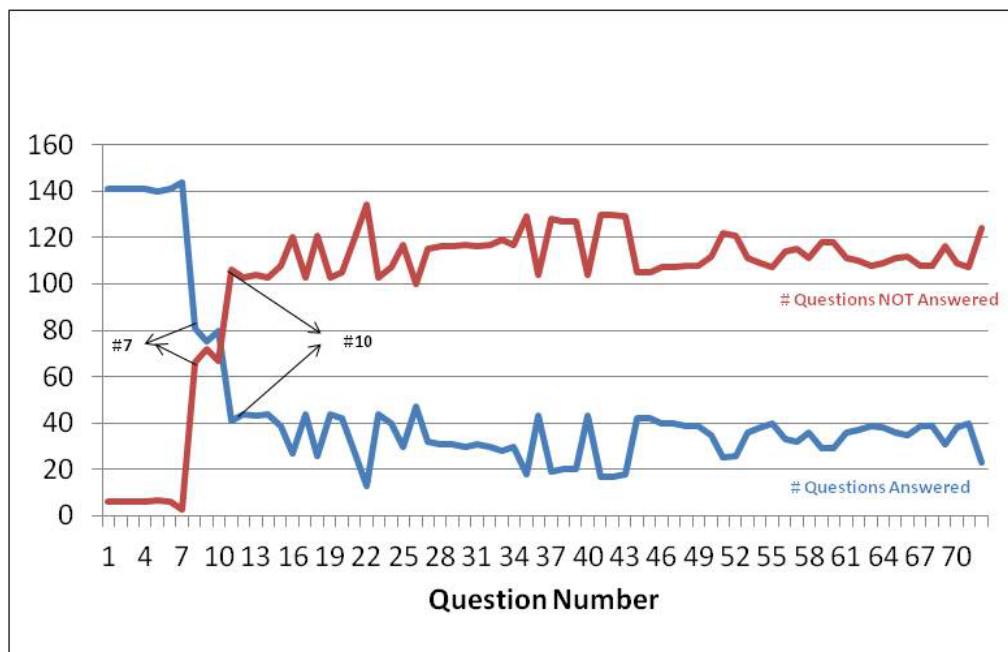
Question 7. Is your library currently considering or providing publishing services? The number of responses for Question 7 was 144. Those with negative responses then exited the survey and therefore did not answer any additional questions.

Question 10. Which category best describes the status of the library's publishing services? Categories included The number of responses for Question 10 was 80 and dropped to 41 for Question 11. The average number of people responding to questions 11-72 was 34 with a range of 13 to 47 responses. Question 10 is a granular version of Question 7 and may have discouraged some people in the early stages of thinking about library publishing services from answering some or all of the remaining questions. Comments made by respondents indicated that some people were not sure that their programs matched the definition provided or were just beginning to start a program. As a result of the variation in the number of responses and the comments it was decided to base the analysis of the respondents on the pool of respondents from Question 7. In contrast, the analysis of individual questions was based on the total number of respondents to each question. SurveyMonkey tools "Filter" and "Crosstab Responses" were used to analyze responses. Results are presented with the individual identities of the respondents anonymized.

Table 1: Profile of the Respondents to the Survey (based on Question 7)	
The total number of members of the ARL, Oberlin and ULG (126, 80, 22 respectively)	223
Total number of respondents to the survey	144 (65%)
Total number of respondents having or are interested in library publishing services	78 (54%)
ARL respondents indicating having or are interested in library publishing services (membership responding = 73)	57 (78%)
Oberlin Group respondents indicating having or are interested in library publishing services (membership responding = 54)	16 (30%)
ULG respondents indicating having or are interested in library publishing services (membership responding = 11)	5 (46%)

Table 1 shows that 78 of the respondents had or were considering library publishing services. It also indicates the number and percentage of institutions that already had or were considering library publishing services by library group. Larger libraries are more active in this area than smaller ones. Institutions of the Oberlin Group (mostly liberal arts colleges) showed the least amount of activity. In addition, the survey revealed that institutions interested in library publishing services are evenly divided between public (44%) and private institutions (45%). However, when only the 44 institutions with established programs are considered, two-thirds are public institutions. Most libraries with established library publishing services have had these in place from 2-5 years and one library as long as 12 years.

Table 2: A Comparison of the ARL Survey with the 2010 Survey		
	2007 Survey	**2010 Survey**
ARL Membership	120	126
# ARL respondents to survey	80 (67%)	73(58%)
# having or considering library publishing services	51 (64%)	57(78%)
# not having or considering library publishing services	29 (36%)	16 (21%)

From a comparison of the ARL survey data (Hahn, 2008) with the data from the present survey (Table 2) it appears that interest of ARL member institutions in library publishing services has increased since the first survey was taken. This conclusion is further supported by the more granular view of the data provided in Table 3.

Table 3: Status of ARL Publishing Services in 2007 and 2010		
	2007 Survey	**2010 Survey**
Offering services	34 (43%)	57(78%)
Discussing/developing	17 (21%)	22 (29%)
Services Experimental	not asked	10 (13%)
Operational and ongoing	29 (36%)	27 (36%)
Experimental + Operational	29 (36%)	37 (49%)
# not having or considering library publishing services	29 (36%)	16 (21%)

About Your Institution

A perceived need by the library to change the established scholarly publishing system was the overwhelming reason selected for establishing library publishing services (88%). "Faculty requests" was also chosen as a major reason and responses from a separate question indicated that increasing the visibility of the institution's area(s) of distinction was important. "The strategic interests of university or college administration" and "student requests for assistance" were selected to a lesser degree. Survey respondents listed promoting the library's special collections as an additional factor influencing libraries to publish. This demonstrates little change from the ARL survey, and the same sentiments were revealed in survey responses addressing sustainability. It can also be noted that some ARL members are research libraries not affiliated with a teaching institution, for instance, national and public libraries. Since a primary motivation is responding to faculty and student needs, it would seem that these type of libraries would have other motivations for establishing a library publishing service, e.g. discipline-based publishing and community publishing. Further investigation is required to fully understand the interest in library publishing services by these institutions.

The survey asked which of six additional resources would be useful for planning or operating library publishing services. The selections in order of preference were:

- Guides to business issues
- Publishing platform information
- Shared repository of policy and procedural documents
- Guides to technical issues
- Workshops and other training opportunities
- Annotated bibliography of pertinent publications

About 15% (11 of 75) of the respondents made additional suggestions which have been categorized and ranked by preference:

- Five found the question difficult to answer in its construction, or because their program was too new, or the resources were not pertinent to the types of services they offered,
- Three suggested various types of discussion or forum opportunities, such as regional groups, meetings with larger groups -including editors and publishers- about needs, or to gain a better understanding of tenure and promotion factors and data life cycles.
- One each suggested hiring staff with publishing experience, setting up a central web resource to share case studies and facilitate networking, and sharing information about print-on-demand machines and vendors.

Sustainability

Few libraries have or can describe "your library's financial objective for a publishing program." As Table 4 illustrates, only 5 of 37 respondents said that recovering either direct or indirect costs is done. Twelve selected "operate at an acceptable loss" and were asked to define an acceptable loss. Half noted the service was not expected to recover costs and was in support of either the service mission, visibility on campus, open access or a combination of these goals. One of these six went beyond the statement of mission to note that "the ability to meet mission/publishing objectives in a way that ensures stability and growth will have to be built into the existing infrastructure." A seventh respondent noted plans to charge a set-up fee to recover some costs. Three reported that they are determining costs and intend to create a plan later, and two noted that plans currently vary by project.

Table 4: The Library's Financial Objective for its Publishing Program	
Answer Options	**Response**
Recover direct costs	5 (14%)
Recover direct and indirect(overhead) costs	5 (14%)
Generate an operating surplus	0 (0%)
Operate at an acceptable loss	12 (32%)
None of these	15 (41%)
Please describe an acceptable loss	18 (49%)

Currently the sources of support for library publishing services are reallocation of the library's operating budget, project-specific grant support and temporary funds from campus administration (see Table 5). Respondents expect support from the library's budget to decrease a bit in ten years' time and to receive more support from grants, library endowment funds and revenue from the sale of products. To a lesser extent respondents expect funds will come from service fees, charge-back to campus units and royalties. These results mirror the ARL survey. Relatively few respondents chose funding sources other than the library operating budget.

Table 5: Current and Projected Funding Sources			
Funding Source	**2010**	**2020**	**# of Respondents per Answer**
Library operating budget reallocation	97%	71 %	35
Project grant support	57%	95%	28
Library endowment funds	33%	95%	21
Sale of products revenue	25%	95%	20
Service fee revenue	39%	94%	18
Charge back to campus units	22%	94%	18
Temporary supplement from administration	67%	60%	15
Royalties	18%	91%	11

Survey respondents were asked how much was spent on direct costs for library publishing services, stated as "may include software licenses, outside contractors, digitization, and dedicated hardware". Responses revealed that in terms of direct, non-staffing costs, less than $25,000 was spent on library publishing services in FY 2010 (59%) by any one library. Eight reported larger expenditures, with three spending $25K-$50K and two each spending $50K-$100K or $100K-$200K. About 23% of respondents indicated that they did not know how much was being spent. In addition, most libraries do not have a written business or sustainability plan for their library publishing services (85%). This may be a reflection of the maturity of the program and/or how the work is presently organized.

Organization and Collaboration

The organization of library publishing services in libraries can be centralized in one unit or department devoted to publishing (56%) or distributed across library units (44%). Centralized units tend to be the referred to as the offices of "scholarly communication," "digital scholarship" or "publishing." When the work is distributed it can include digital technologies or IT staff, metadata departments, the scholarly resources departments and public services librarians for outreach and training. Slightly more than one third (36%) of respondents do not collaborate with campus units other than a university press. The remaining two-thirds collaborate with subject departments, campus IT and college-level offices (Figure 2). Survey respondents revealed that a substantial amount of partnering is with research centers and institutes. The support provided by these partners was in the form of staff, although campus IT also provided equipment. The most common role that members of the campus community played when collaborating with the library was as editor of the published materials. The role of author was second at 69% followed by that of faculty advisor of student journals.

Figure 2: "Is the library partnering with other units on campus in support of library publishing services? Check all that apply"
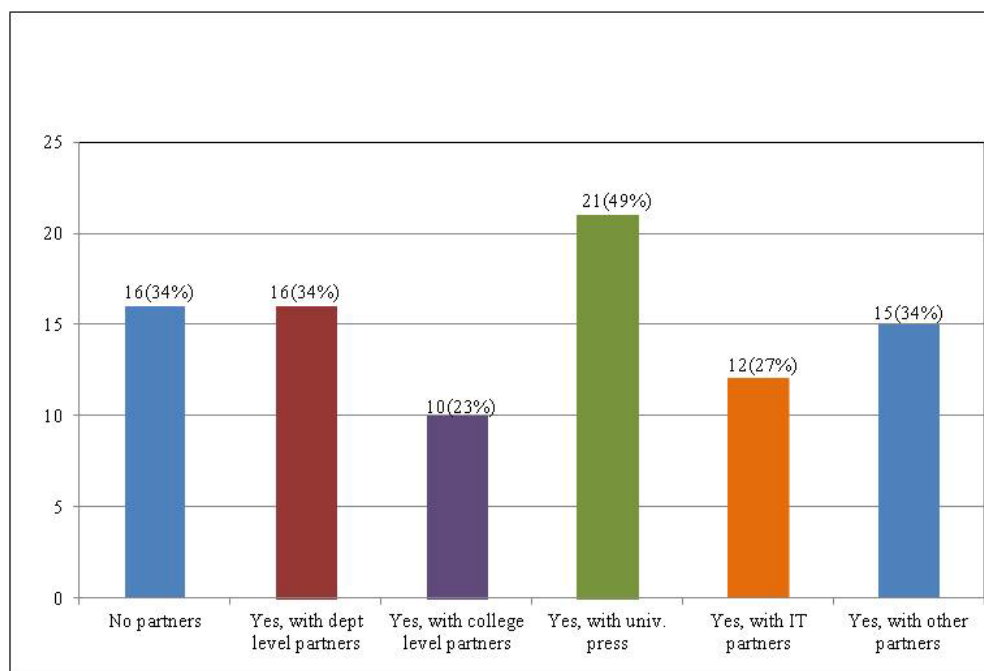

The survey asked how outreach to the campus community is conducted. Multiple responses were possible and the most common one," during routine and ongoing outreach by library liaisons to department" was cited by half of the 44 respondents. The remaining five responses were selected by 16 to 18 of respondents (Figure 3).

The additional comments to this question provided by a third of the respondents were grouped into several categories based on the similarity of their comments. The first group, with limited outreach is still developing services, or feels that they are at full capacity for current staffing resources and plan to add staff before promoting the service. The second group targets faculty who win awards, through outreach to the faculty senate, and so forth. A third group is pursuing a strategic approach, negotiating agreements with colleges for sharing funding or other support before offering services more widely. A fourth group works only in conjunction with their university press and does not offer faculty or student support.

The partnership with university presses was investigated further in the survey. Of the 43 institutions having a press, 21respondents indicated a relationship with the library. Of the 37 ARL respondents, 35 stated that their institution had its own or was part of a system with a university press. Half of these libraries reported no affiliation between the university press and the library (17). Interestingly, an identical number (4 + 13) either reported a formal affiliation (4) or commented to describe an informal relationship or provided additional information (14). Two of four responding Oberlin libraries reported either an integral or an informal relationship with their university press, and one ULG reported an informal relationship.

Where partnerships exist, various types of works are jointly published, including digitized versions of out-of-print press monographs; books based on material from library archives; online supplemental material for print books; print-on-demand versions of press monographs; and digitized backfiles of press journals. Digitization of out-of-print university press publications was also the most common form of partnership discovered by the 2007 survey of ARL libraries (Hahn, 2008).

Figure 3: How do you conduct outreach to the campus community around library publishing services? Check all that apply
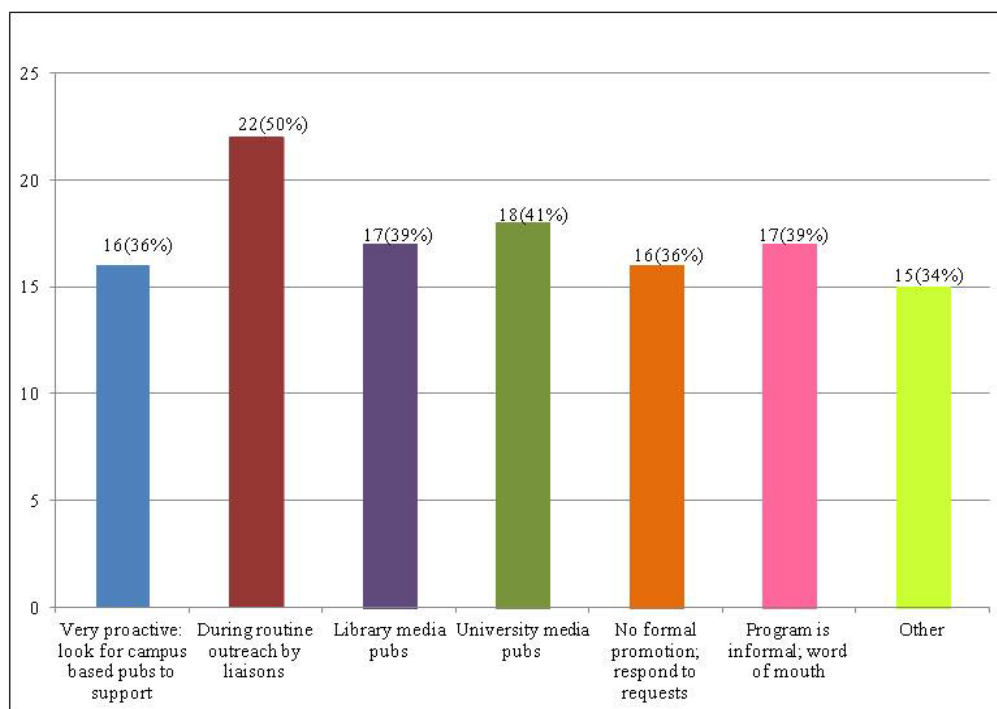
About two-thirds of the respondents reported collaborations with individuals or groups outside of the campus community. Two-thirds of these were with societies or scholarly associations and 11% were with religious or social community groups. In addition, 40% described other collaborators, ranging from multiple campus software hosting, to working with university presses at other institutions, state agencies, and groups with university affiliations so long as the content was scholarly. Invited to explain more about their collaborations of all types, 13 respondents described a rich range of projects and plans at various stages of implementation that are primarily campus based.

Technological Infrastructure

The software most often used for providing publishing services is Open Journal System, (56.8%) followed by DSpace (36%), In the present study about 25% of libraries were found to be contracting with the Berkeley Electronic Press for the use of Digital Commons to support publishing services. By contracting, a library shifts the required support for the necessary software and hardware to an external entity. This frees library personnel to work on other tasks. In contrast, seven survey respondents listed their locally developed software and a similar number reported using multiple software options. Questions were included in the survey to ask which three features of the software were the most important and which three features were most in need of improvement.

Since so many different packages and combinations are in use, the responses were difficult to categorize. Overall the three features indicated as being the most important were ease of use (18 of 110), workflow management (14 of 110) and open source (10 of 110). The 58 overall responses for the three features indicated as being in most need of improvement had even more variation. The two most important were increased flexibility/customization (9), and ecommerce/subscription support (5). Linking to data/supplemental material and the ability to publish monographs and multiple journals tied with four requests each.

Types of Publications

The types of publications produced by libraries include journals, monographs and conference proceedings. Three quarters of the respondents indicated they published journals and are publishing between one and six journals. Half of the respondents indicated that they were publishing monographs and/or conference proceedings. A total of 211 journals are being published by the 32 libraries responding to the survey question, most are electronic only (158). Journals were most commonly sponsored by departments or individual faculty, followed by societies, campus centers and interdisciplinary programs. Faculty members were the most frequent collaborators, followed by graduate and then undergraduate students. The majority of titles had been published by the library for 1-3 years, followed by less than one year, and 3-5 years. The fewest number of journals had been published by the library for more than five years. The most frequent business model was for the journal support to be incorporated into library operations or grants. Fewer than half as many charge subscription fees, and even fewer have faculty member or department charge backs or collect author-side fees.

Libraries reported that to a certain extent their journals were being formally indexed by an abstracting and indexing service. EBSCO Publishing was the abstracting and indexing service most often used followed by ProQuest and PubMed. HW Wilson and Scopus were also used. Other abstracting and indexing services mentioned include OCLC, Directory of Open Access Journals (DOAJ), Philosopher's Index, Project Muse, Westlaw, OAIster, Google Scholar, and GeoRef. The inclusion of aggregators such as Project Muse and general search engines such as Google indicate a certain amount of confusion about what constitutes a true abstracting and indexing service; exacerbated by the blurred lines between indexing and full-text licensing that companies such as H.W. Wilson and EBSCO are creating.

Twenty-two or just over half of the respondents reported publishing books or technical reports. Nineteen institutions provided information about 207 monographs and/or technical reports published within the last five years. About 60% were original publications. Another 20% were identified as editions of previously published print volumes that went out of print and another 10% are titles where rights reverted to the author. The format was generally electronic (>50%) with some also offered for print-on-demand.

Seventeen institutions published 67 conference programs and proceedings within the last five years. Twelve respondents published on the library institutional repository platform, three used a locally hosted conference management system, two used a locally created Web site or system, and one used a cloud conference management system. Libraries also provide services (Table 6) other than publishing to conference organizers.

Table 6: Services Provided to Conference Organizers
Repository for the program, papers and slides
Repository for video and audio
Metadata enhancement/authority control
Creation of the electronic conference program
Long-term Website hosting
Software training
Design services
Troubleshooting

Respondents were asked to list up to three "areas of distinction" at their institutions, and then whether their publishing services addressed these areas. The major disciplines listed were predominantly in the STEM areas, with some social sciences and humanities topics included. The "areas of distinction" are represented in only 43% of the publishing programs reported. Respondents commented that major areas are already well served by commercial publishers while others noted that the services are offered in support of faculty who ask for assistance.

Services and Staffing

Services surrounding publishing for production and post production are also being offered by libraries (Table 7), with more libraries offering production than post production support. Survey results indicated that fees are sometimes charged for digitization services, but otherwise fees were generally not charged.

Table 7: Services Related to Publishing Provided by Libraries	
Pre and Production Services	**Post Production Services**
Digital repository (e.g. postprints) (90%)	Metadata (78%)
Author copyright advisory (90 %)	Cataloging (77%)
Digitization services (85%)	Digital preservation (56%)
Other Author advisory (67%)	ISSN, ISBN registration (49%)
Management of research datasets (50%)	Open URL support (43%)
Peer review management (47%)	DOI registry (25%)
Contract review (42%)	Notification of A&I sources (22%)
Copyediting/typesetting (24%)	
Business model development (16%)	
Budget preparation (13%)	

The survey investigated the skills needed for employees working in library publishing services. Among those listed, copyright knowledge was considered the most crucial area of expertise followed by computer programming and negotiation skills. Respondents commented that the list provided did not cover all the skills they would have suggested and listed project management, knowledge of the publishing industry, and marketing. Other comments suggested "collaboration and working with users and staff" in multiple areas, which is related to negotiation skills.

Table 8: Staff Involved in Publishing Services			
	ARL	**Oberlin**	**ULG**
Libraries responding	32	3	3
Total individual staff members	199	13	8
Total FTE	77.2	2.75	2.45
Average individuals/library	6.23	4.33	2.67
Average FTE/library	2.41	0.92	0.82

On initial examination, publishing projects appeared to be characterized by a large number of staff having part of their time devoted to library publishing services with relatively few dedicated staff (Table 8). Further examination of the data reveals that the number of FTE is related to the age of the program. For example the ARL programs with 5 to 16 FTE have been established an average of 8.3 years. Those with 2-4 FTE are an average of 4.8 years old, and those with 1.5 or fewer FTE were started an average of 3.7 years ago. For the three Oberlin Group institutions reporting staffing levels, two programs are older than five years and the other is one year old. For the three ULGs reporting, two programs are two years old and one is four years old.

The question asked for the titles of up to five staff members, the percentage of time devoted to publishing, and the type of position. Of positions that allocate more than 75% of time, eight were librarians and three were support staff. Two were "other", apparently publishing professional without MLS degrees. Of the first two positions listed by respondents, two allocated 51-75% of their time to library publishing services duties, 10 allocated 25-50%, and 14 allocated less than 25% of their time to library publishing services duties. The titles of positions provide additional insight. "Publishing" is used in only five positions, ranging from Electronic Publications Associate to Digital Publishing Librarian and Head, Digital Publishing Services. Both "digital" and "scholarly communications" or "scholarly resources" are used in a number of titles. Only a few titles occur more than once, these are Digital Services Librarian and Scholarly Communications Librarian.

Respondents were asked about the training support offered to staff. Conference and workshops were most frequently cited, followed by software training and collaborations. Twenty-percent stated "none", or no pertinent training is available or that they had created their own training.

Data Management

Management of research data is becoming a new area of service for libraries, and in both the broad and forward-looking view of library-based publishing, services related to the underlying and supplemental data are expected to figure significantly. The results of the survey indicate that libraries have not implemented campus wide programs, but are considering it. Most are in discussions (28%) and/or conducting research into the needs of the campus (31%). A few respondents (18%) have implemented a program working with a small group of researchers. Specific services related to data management being provided by libraries include archiving services, managing research data, metadata, dissemination, and providing consultations. The management of data was generally dispersed among many staff (76%) instead of a few staff members (24%).

Survey respondents indicated that the library should be capable of managing data/supplements for any subject area and working in conjunction with the campus IT. This is in spite of the survey revealing that at present campus IT (88%) and to a lesser extent the high-performance computing units (55%) were addressing the management of research data.

The survey question about potential collaborators was also asking if a particular discipline affected with whom the library chose as collaborators. There were no differences among the disciplines when the collaborators were campus IT, commercial publishers, other libraries, or the institutional research office. Museums and university presses were more often selected as collaborators if the discipline was humanities or social science. A few respondents commented that the data should be retained in repositories that were national, discipline-based or the responsibility of the funding agency. Others thought that data repositories should be a collaborative effort among institutions. A later question asked with whom the library was currently partnering and with whom do they anticipate partnering with. Again the responses indicated that current partners were other libraries and campus IT. Libraries are anticipating working with disciplinary societies, university presses, library consortia, and campus IT. Libraries are not considering working with commercial publishers, museums or technology transfer offices.

Technological problems encountered by libraries with data management include storage space (62%) and the lack of software applications necessary to utilize the data. One of the major technological problems identified in the survey was format incompatibility, including issues regarding non-electronic data. Half of the respondents indicated they were planning on linking publications with data. About 22% were already linking and 6% were using DOIs.

Future Plans

Most libraries anticipate expanding provisions of library publishing services during the next year (76%). They defined "expanding provision of library publishing services" as creating more publications (84%) and reaching a wider audience (71%). Investing in additional technology (45%) and adding more staff (29%) are also considerations. Collaborations are expected to increase (57%) or stay about the same (40%) in the next year. No library expects less collaboration with established partners.

To date, most libraries have not evaluated their publishing services (80%). Measures of success that could be incorporated include the number of hits and downloads, the submission rate by faculty, the number of journals, monographs and/or conference proceedings being hosted, a measure of the impact factor, the level of sales, and a determination of the cost per use. Perhaps representing others, one respondent noted the need to re-evaluate their strategies and priorities in order to support an evaluation of their services.

Half of the respondents made final comments. These addressed the challenges of making time and resources available, the varying degrees of interest by faculty and campus administration, and appreciation for the survey and any assistance with training and planning that would be forthcoming. A few revisited the survey definition used, finding it prevented including some of their more fruitful efforts. Comments reinforced the idea that support from campus administration is perhaps the single most significant area that can allow library publishing services to flourish.

The Affinity Group
At the May 18 – 20 Library Publishing Workshop in West Lafayette, attendee and Butler University Dean of Libraries Lewis Miller proposed extending the original LPS project survey to the member libraries of the Affinity Group, to which Butler University Libraries belongs. The Affinity Group represents 33 libraries at private, masters-granting institutions across North America (referring in this report to the USA and Canada). According to their charter, "The mission of the Affinity Group of Academic Libraries is; to share data 'points of comparison' among a group of peer schools; to provide a forum for directors to engage in in-depth group and one-on-one discussions of issues and challenges faced by the members; to share information on trends and 'best practices' with fellow directors and; to be open to new opportunities for cooperating in ways that may be beneficial to all participants." Over a subsequent conference call, members of the grant staff consulted with Dean Miller and the Affinity Group and determined that the library publishing services survey would provide Affinity with useful feedback about member activity. The survey was thus reopened to Affinity Group members for the month of June 2011, and the survey was left open during the 'reminder' period for the first two weeks of July.

The results of the survey of the Affinity group were analyzed using the same procedures as with the original survey. A total of 13 people started the survey and 13 (100 %) completed the survey. The response rate, based on the total membership of the Affinity group was 39%. An analysis of the number of responses per question (see below) again indicates two questions where the number of responses decreased dramatically:

Question 7. Is your library currently considering or providing publishing services? The number of responses for Question 7 was 13 and dropped to seven for Question 8. Those with negative responses exited the survey so did not answer questions 8-72.

Question 10. Which category best describes the status of the library's publishing services? The number of responses for Question 10 was seven and dropped to two for Question 11. The average number of responses for questions 11-71 was less than one. The final question, requesting additional comments, revealed that four of the institutions have or are in the process of developing a library publishing services, but not one of these programs has been in operation for any great length of time. This lack of long-term experience may explain why the response to individual survey questions was so low.

The response to Question 7 was split, about half of the respondents indicated that their library was considering or providing publishing services. Question 10 revealed that two of the seven respondents had library publishing services is under discussion and 4 respondents indicated that services were currently being developed. The responses to the survey questions largely paralleled what was observed in the original survey.

The respondents indicated that their publishing services were centralized. In a later question a respondent listed the titles of the positions working in library publishing services as an associate dean, dean of the library, the director of the Law Library, digital projects librarian, and metadata librarian; an indication that library publishing services was actually dispersed across library units. It may also indicate that the institution was small and the library itself was considered the central unit.

Collaborations were with college level partners, IT and a committee on undergraduate research. Partners provided direct financial support, in addition to staff and equipment support. Having college level partners being the most significant area that can allow library publishing services to succeed was a comment made by many in the original survey. In the section of the survey on sustainability it was revealed that the library's operating budget provided $10,000 to $25,000 for direct non-staffing costs. Respondents expect that in 10 years funding will come from library endowments and the revenue from the sale of products and services. Expansion is anticipated with an increase in staff, creating additional publications and reaching a wider audience. Since the programs are so new no business plans have been developed and no evaluations of the services have been conducted.

In addition to Digital Commons the respondents indicated they used Content Pro. Technology features deemed important were a peer-review module, a customizable interface design, and usage statistics. The problems identified were lack of flexibility for peer review and templates and increased support for element sets beyond Dublin Core

Respondents indicated that they published journals and conference proceedings, but no monographs. Since library publishing services was fairly new at these institutions not many journals were published and they were basically departmental publications distributed to faculty. Conference papers and proceedings were published on the institutional repository platform. Other services offered were copyright advice, digitization services, and peer review management. Post production services offered were metadata, registration of ISSN/ISBN, open URL support, and digital preservation. No fees were charged for pre- or post-production services which may be a reflection of support from college level partners.

Works Cited

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Lorimer, R., & Maxwell J. (2007). Canadian Social Science and Humanities Online Journal Publishing, the Synergies Project, and the Creation and Representation of Knowledge. Publishing Research Quarterly. 22(4), 175-193.

Institutions Responding to the Survey by Type

Association of Research Libraries

University of Arizona
Auburn University
Boston College
University of British Columbia
University of Calgary
University of California, Santa Barbara
Canada Institute for Scientific and Technical Information (NRC-CISTI)
Case Western Reserve University
Center for Research Libraries
University of Cincinnati
University of Colorado at Boulder
Colorado State University
Columbia University
University of Connecticut
Cornell University
Dartmouth College
Duke University
University of Florida
Florida State University
Georgetown University
Georgia Institute of Technology
University of Illinois at Chicago
University of Illinois at Urbana-Champaign
Indiana University
Johns Hopkins University
University of Kansas
Kent State University
University of Kentucky
University of Louisville
University of Maryland
University of Massachusetts Amherst
McGill University
University of Miami
University of Michigan
Michigan State University
University of Minnesota
University of Missouri - Columbia
National Agricultural Library
National Library of Medicine
University of Nebraska - Lincoln
University of New Mexico
New York University

University of North Carolina at Chapel Hill *
North Carolina State University
Northwestern University
University of Notre Dame
Ohio University
Ohio State University
University of Ottawa
Penn State University
University of Pennsylvania *
University of Pittsburgh
Princeton University
Purdue University
Queen's University
Rice University
University of Rochester
Rutgers University
University of Saskatchewan
University of Southern California
Stony Brook University
SUNY Buffalo
Syracuse University
Temple University
Texas A&M University
Texas Tech University
University of Toronto *
University of Utah
Vanderbilt University
University of Washington
Washington State University
Washington University in St. Louis
University of Wisconsin-Madison

Oberlin Group

Agnes Scott College
Albion College
Alma College
Amherst College
Atlanta University Center
Augustana College
Austin College
Barnard College
Bates College
Beloit College
Berea College

Bowdoin College
Bryn Mawr College
Bucknell University
Carleton College
Coe College
Colby College
College of the Holy Cross
Connecticut College
DePauw University
Dickinson College
Earlham College
Franklin & Marshall College
Grinnell College
Gustavus Adolphus College
Hamilton College
Haverford College
Kalamazoo College
Kenyon College
Knox College
Lafayette College
Lawrence University
Macalester College
Manhattan College
Middlebury College
Mills College
Mount Holyoke College
Oberlin College
Occidental College
Ohio Wesleyan University
Randolph-Macon College
Reed College
Rhodes College
Rollins College
Skidmore College
St. John's University
St. Olaf College
University of the South
Trinity University
Vassar College
Wabash College
Wesleyan University
Wheaton College
Whitman College

University Libraries Group

Baylor University
Carnegie Mellon University
University of Denver
Northeastern University
University of Richmond
Saint Louis University
Southern Methodist University
University of Tulsa
Villanova University
Wake Forest University
Yeshiva University

Affinity Group

Ashland University
Butler University
Creighton University
Fairfield University
Ithaca College
Loyola Marymount University
Loyola University Maryland
Mercer University
Providence College
Roger Williams University
Sacred Heart University
Saint Joseph's University
Valparaiso University

* Two responses received from these institutions. The responses were, however, incomplete so the effect on the analysis is minimal.

APPENDIX 2: CASE STUDY ANALYSIS

1. Background

1.1 Goal of Project

The "Library Publishing Services: Strategies for Success" project—a collaboration of the libraries of Purdue University, the Georgia Institute of Technology, and the University of Utah—seeks to advance the professionalism of library-based publishing by highlighting best practices and identifying priorities for building capacity.

To this end, the Project commissioned an analysis of publishing initiatives at each of the three participating institutions to assess the extent to which those initiatives comply with best practices for sustainability planning. The Project intends those case studies, presented in this document, to provide object lessons—both positive and negative—to help inform and guide future planning and implementation of similar projects.

The Project selected the initiatives to be studied to represent the kinds of publishing projects typical at state-funded research institutions, but that are also of increasing interest to academic libraries of all sizes. The three case studies focus on the following initiatives:

- The Purdue e-Pubs Journal Publishing Services open access journals program from the Libraries and Press of Purdue University (http://www.purdue.edu/epubs/);

- The SMARTech conference proceedings initiative at Georgia Tech (http://smartech.gatech.edu); and

- Collaborative mining of library special collections by the Libraries and Press of the University of Utah.

The initiatives above are in various stages of development. The Purdue e-Pubs Journal Publishing Services were launched in 2006, are fully operational, and are looking to expand. Georgia Tech initiated its conference proceedings project in 2006 and adds an average of four to five online proceedings a year. The University of Utah special collections mining initiative is in the exploratory and planning stages. As a result, the projects allow us to focus on sustainability issues at three critical project lifecycle stages: ongoing operation, program expansion, and planning.

1.2 Analytical Approach

Although the projects addressed here do not represent the full range of library publishing project types or serve as best-practice exemplars, they do afford a candid look inside three typical library-based publishing initiatives. As such, the value these case studies provides lies in the opportunity they provide to offer constructive and corrective insight on sustainability planning best practices. The lessons these case studies teach should serve the needs of academic librarians responsible for scholarly publishing activities, library deans responsible for strategic decisions about the allocation of library resources to pursue publishing activities, and university press directors—especially those at smaller presses—seeking to align their presses more closely with the research and teaching emphases of their host institutions (two of the projects, Purdue and Utah, involve the participation of the university's press which, in both cases, reports through the library).

For a fuller presentation of library-based publishing initiatives, see the survey conducted as part of the current project, Karla Hahn *Research Library Publishing Services*, 2008, (http://www.arl.org/bm~doc/research-library-publishing-services.pdf), and Raym Crow, *Campus-based publishing partnerships: A guide to critical issues*, 2009, (http://www.arl.org/sparc/bm~doc/pub_partnerships_v1.pdf).

To provide a basis for analyzing the three separate projects, as well as a context for thematic analyses across the cases, we have described the components critical to any sustainability model and provided an overview of sustainability planning best practices (Section 2). This information provides a framework for evaluating each project's compliance with selected aspects of sustainability planning best practices (Sections 4 – 6).

Information on each of the projects comes from several sources:

- Internal planning documents, including strategic planning and budget documents, public announcements, and staff plans;

- Structured interviews with project participants, including the library director at each institution, as well as interviews with project clients (including faculty, university administrators, students, authors, and librarians – a full list of project participants can be found below); and

- Other data and evidence, including usage data (including web use logs, client uptake, etc.).

Where possible, the case studies will help guide publishing services staff at each institution in identifying next steps and performing necessary analyses. However, time and scope constraints preclude proposing specific solutions to the problems framed. For example, a case study might describe the issues relevant to setting a fee schedule for services or for framing market research requirements, but will not propose the fee schedule itself or outline a specific market research plan.

2. Sustainability Model Framework

2.1 Program Mission

An initial step for any campus-based publishing initiative—indeed, for any ongoing enterprise—is to articulate its mission; that is, why the program exists and what it does—and for whom—to fulfill that purpose.

Mission statements typically comprise two components: a purpose statement and an action statement:

- The purpose statement articulates *why the program exists* and what it seeks to achieve.
- The action statement identifies *what the program does or will do*; that is, the primary programs and services that it will use to achieve its purpose, and for whom.

The purpose statement is important to establish parameters for defining an initiative's future activities, and to determine the extent to which the initiative's purpose is already being addressed by other organizations (including potential collaborators and competitors) applying a different set of activities to achieve the same purpose.

Although a mission statement may be aspirational, it needs to be sufficiently specific to allow the project to make meaningful decisions relating to its operating strategy. Ambiguity at this stage will invariably surface later and complicate or confound business model design and operating decisions. A clearly articulated mission is especially important in the context of a campus-based publishing initiative where some or all of a program's funding may come from mission-driven institutional or library subsidies.

2.2 Sustainability Model Components

A sustainability or business model describes the strategic and economic logic that sustains an initiative and allows it to fulfill its mission. As we are discussing nonprofit publishing programs, this document refers to business models as "sustainability" or "funding" models. However, the key components of the model, and the relationships between them, are the same. The model comprises the audiences or constituencies served by the initiative, the unique value that the initiative delivers to each of those audiences, the activities and resources required to create and deliver that value, and the mechanisms by which the initiative translates the value it delivers into funding to sustain the activities. (See Exhibit 1.)

As such, a strong sustainability model should be integral to an initiative's conception and design. Regardless of whether the model involves market-based income, subsidies, or both, planning for sustainability from the outset will typically yield a funding model with greater stability and longevity than one introduced after the initiative has been launched.

Describing the critical components of a sustainability model will provide a framework for identifying best practices for sustainability planning for a campus-based publishing program. The key elements of a sustainability model include:

- *Audience or client segments*—the various audiences, constituencies, or markets that derive value from the proposed service.

- *Value proposition*—the collection of content and services that serves the needs of each client segment.

- *Core activities and resources*—the set of activities that an initiative undertakes to provide a service or produce a publication, and to support the income model itself, as well as the resources and partnerships required for the activities. Together, these activities and resources constitute the initiative's cost structure.

- *Distribution channels*—the channels through which the initiative reaches its audiences or clients and delivers its value.

- *Income streams*—the mechanisms by which an initiative actually generates income—including, potentially, both earned revenue and subsidies—from the clients to which it delivers value.

The financial potential and stability of any funding model, whether based on earned revenue or subsidies, are functions of how well the above elements are integrated. The value delivered must be recognized by the client segments that benefit from it, and the resources (whether in-kind or financial) generated by the funding models must be allocated to those activities critical to generating the initiative's value.

Exhibit 1: Sustainability Model Logic (from Crow, 2009)
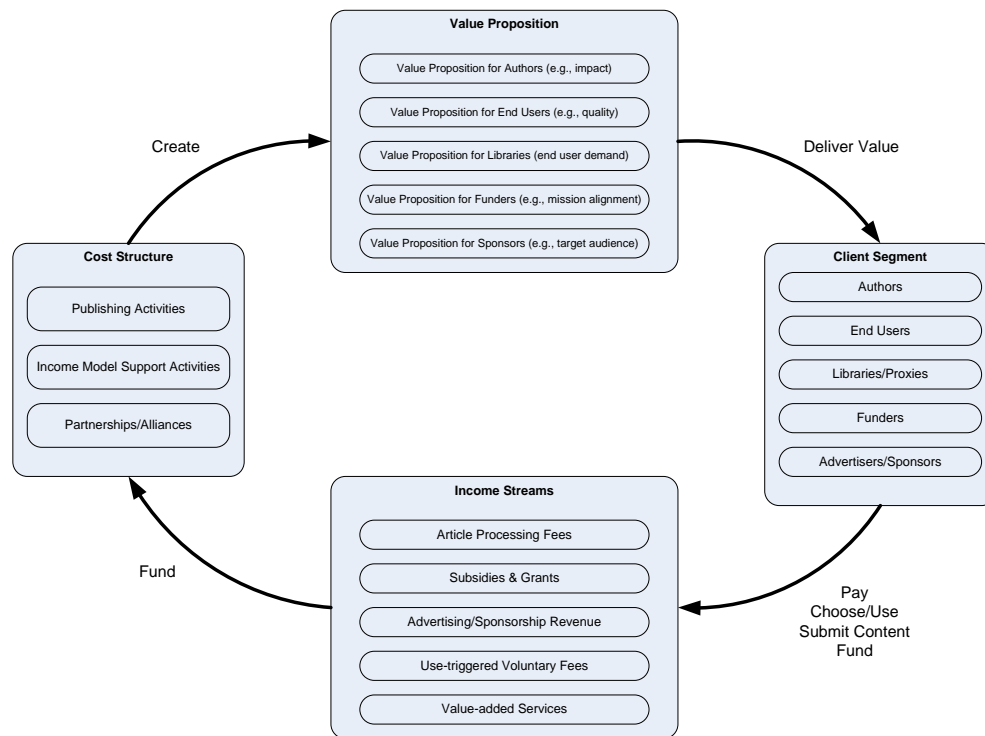
2.3 Sustainability Planning Best Practices

To provide a framework for assessing the sustainability plans for the three initiatives addressed by the "Library Publishing Services: Strategies for Success" project, we have outlined below best practices that apply to developing sustainability models for campus-based publishing programs.

2.3.1 Audience or Client Segments

To develop an effective sustainability model, the initiative needs to identify the distinct client segments, each with its specific characteristics and value requirements, that it seeks to serve. For example, for monographs and peer-reviewed journals, client segments typically include authors, readers, and libraries, as well as advertisers or sponsors for journals. Each of these segments needs to be evaluated in terms of the value perceived, its ability to pay, and the communications and marketing channels that will be used to reach it.

For university-sponsored publishing programs—whether launched to respond specifically to local demand, to address systemic economic issues, or to advance a philosophical position regarding scholarly communication—much of the value may be delivered to users outside of the sponsoring institution. It is important to recognize that the library and/or other sponsoring units within the university are themselves clients in terms of the sustainability model. In this respect, a financial or in-kind subsidy for the program reflects the program's perceived value and represents the "price" the sponsoring institution is willing to pay for the program to contribute to fulfilling its mission.

Recommended approaches and best practices for evaluating an initiative's potential audience include:

▪ Articulate the initiative's mission, including the audience(s) it seeks to serve.

▪ Describe the strategic objective that the library publishing program seeks to achieve (for example, provide alternative publishing channels for journals, monographs, conference proceedings, etc.; provide a platform for new scholarly publication types; etc.).

▪ Identify and focus on strategic audiences, markets, and constituencies; not all client segments are strategic.

▪ Determine the size of each targeted market segment; for example, the universe of potential authors for a journal or monograph program, the number of potential readers of a publication or users of a publishing service.

▪ Classify client segments (both market/fee-based clients and funders providing financial and in-kind subsidies) by dominant value proposition, delivery channel, income mechanism, etc.

2.3.2 *Value Proposition*

A publishing initiative's value proposition represents that part of its offering for which a specific client segment is willing to pay. This payment is not confined to financial transactions. In the context of peer-reviewed journals and monographs, for example, it also comprises an author's choosing to publish via the initiative and a researcher's attention in reading the initiative's publication(s). A sustainability model may include one or more value propositions for each of its target client segments.

Depending on the sustainability model, a campus-based publishing program may address a two- or three-sided market in which readers pay with their attention, funders (whether donors, user proxies, or advertisers/sponsors) pay for access to the target audience's attention, and authors pay (with their content and, sometimes, with article fees) for the audience reach, research impact, and professional prestige that the publishing channel delivers. Thus, the sustainability model may translate the authors' content and the readers' attention into revenue to support the publication.

Recommended approaches and best practices for evaluating an initiative's value proposition(s) include:

▪ Confirm the mission value of the service to the library and other sponsoring units within the institution. As the library and other institutional sponsors face competing demands for resources, it is important to ensure that the program delivers sufficient value in terms of mission fulfillment to justify whatever level of ongoing subsidy may be required.

▪ Identify the value that the proposed service or publication delivers to each of its target client segments; that is, the extent to which a publication, program, or service addresses an unmet or underserved need of one or more client segments.

▪ Assess the extent to which the value proposition is unique. The relative strength of a value proposition—for example, its power to capture researcher attention, attract content submissions, and/or generate income—depends on the extent to which it is unique. This will require an analysis of competing services or publications that might substitute for the one(s) being proposed.

- Confirm that the value proposition aligns well with the needs and value perception of each strategic client segment. This may require primary market research to validate assumptions about client demand and valuation of the service.

2.3.3 Core Activities & Resources

As far as possible, an initiative's core activities, and the cost of the resources to support them, need to be aligned with the value proposition and income stream for each client segment. This alignment helps ensure that the initiative focuses on the most critical activities and allocates resources efficiently across the initiative's activities.

Critical resources may come from internal or external partners, and campus-based publishing collaborations allow multiple units within an institution to combine their core competencies. For example, libraries often have expertise in information discovery and access, digitization, archiving and preservation, and faculty relationships. For their part, university presses often have expertise in content acquisition, peer-review administration, editorial management, marketing, and sales channel management. Additionally, an initiative may seek partners from outside the institution to extend its capabilities without significant internal investment or capacity building.

Recommended approaches and best practices for defining an initiative's core activities, resources, and partnerships include:

- Determine the critical activities required to create the value delivered to each client segment, including whether the initiative's activity model is primarily infrastructure, product, or customer relationship based.

- Quantify the resources required to sustain the initiative's critical activities. These resources include staff time and physical assets, such as technical infrastructure, as well as intangible assets, such as those required to build a publication program's reputation and prestige.

- Track the fully loaded costs of operating the service to ensure that the value delivered is commensurate with the cost incurred.

- Identify the resources required to support the initiative's income models. These can include the costs incurred operating a sponsorship or membership program, maintaining a fee-based service, or collecting metrics data to demonstrate a service's value to local funders. It is important to ensure that the cost of supporting a given income model is commensurate with the revenue generated.

- Identify the key partners necessary to deliver the service or publication cost effectively. As partnering can involve more effort than unilateral action, it is important to explicitly articulate the benefit to each partner of participating in the initiative.

- Secure partnerships with formal service level agreements or memoranda of understanding that stipulate the obligations of all parties in the collaboration.

2.3.4 Distribution Channels

A publishing initiative requires distribution channels through which it can reach its audiences and deliver its value. These channels will vary by type depending on the initiative's value proposition and clients. For example, Open Access publishing programs require channels to reach and attract authors (such as outreach programs and partnerships with societies, academic departments, or others) and readers (such as indexing and other efforts to increase content visibility and discoverability), while subscription- or membership-based services may need channels to deliver content or services (such as subscription agents, journal aggregators, society memberships, etc.)

Distribution channels typically entail communication and marketing, as the value that an initiative delivers must be communicated clearly and explicitly to the client segment(s) expected to pay for it. This is true for grants and other subsidies, as well as for earned revenue models, and it is especially true of funding models that shift responsibility to beneficiaries (such as authors) who may have been shielded from direct payment in the past.

Recommended approaches and best practices for evaluating distribution channels include:

- Identify and quantify the costs associated with the channel required to reach each client segment, including marketing outreach costs, any commissions to sales agents and aggregators, and other fixed and variable distribution costs.

- Determine whether the choice of revenue model affects the distribution channel (for example, an initiative that relies on online advertising will require a distribution channel capable of supporting it).

2.3.5 Income Streams

Depending on the type of service or publication offered, income streams can include in-kind or cash subsidies, service or publication fees, voluntary use fees, grants and donations, advertising, sponsorships, secondary licensing fees, endowment interest, and other sources. An initiative may require multiple income streams to sustain itself, and generating income from multiple sources can add stability to an initiative's revenue base.

The manner in which a given initiative combines various income components will reflect its organizational, philosophical, cultural, technical, and disciplinary context. There may be no logical limit to the combinations and permutations of income models possible, although in practice some models complement one another better than others.

Many publishing initiatives, especially those using an Open Access distribution model, will represent multi-sided markets. In a multi-sided market, one market or client segment partially or fully subsidizes another. For example, sponsors, advertisers, and philanthropic funders may subsidize free access to a publication for authors and researchers. To support such a model, the initiative needs to respond to the needs of sponsors (for example, by delivering the attention of a specific set of readers), as well as to those of the authors and readers themselves.

In the context of campus-based publishing initiatives, which will often have an Open Access component, it is useful to distinguish between two basic types of income models:

- demand-side models, funded primarily by consumers of a service or by proxies that pay on their behalf; or

- supply-side models, funded primarily by producers of the service or by proxies who pay on their behalf.

In many cases, supply- and demand-side income models can be combined to maximize the income sources available to support an initiative.

Each type of model has its own advantages and limitations when applied in support of Open-Access distribution. Demand-side Open-Access models are susceptible to free ridership—where beneficiaries of an Open-Access initiative do not shoulder a share of the cost of providing it—and demand-side models need to be designed and implemented to overcome this tendency. For example, a membership program targeting institutions that benefit from a service may need to offer exclusive benefits to paying members to encourage participation and discourage free riding.

A supply-side model that relies exclusively on subsidies risks insulating the initiative from constructive market forces, such as responsiveness to user demand and other value signals. Initiatives can take steps to mitigate this risk, for example, by empanelling advisory boards that include members of the communities being served, to act as proxies for market demand.

Recommended approaches and best practices for selecting appropriate income streams include:

- Determine whether the initiative's mission constrains certain types of income models. For example, if the mission explicitly targets Open Access distribution, then the initiative will need to identify a supply-side or demand-side model capable of sustaining it.

- Identify an explicit financial objective—for example, full cost recovery, direct cost recovery, specific subsidy, etc.—as a basis for quantifying the financial hurdle that the income models need to clear.

- Identify one or more income-generating mechanisms appropriate to each audience or client segment.

    - For Open Access models:

        - Establish explicit performance metrics for demonstrating local and social value to justify institutional subsidies.

    - For fee-based models:

        - Determine fixed and variable costs and direct and indirect costs for providing each service.

        - Segment audiences and, if appropriate, prioritize them relative to their importance to the project's mission. For example, determine whether some secondary client segments will be assessed fees or should receive content for free.

- Assess the initiative's business management resources, risk tolerance, tax status, and institutional or corporate affiliation to determine its capacity to support the income models identified. For example, a fee-based model will require the availability of adequate accounting processes and resources.

- Seek legal advice to determine the potential effect of potential income models on the tax status of the initiative (and/or its effect on the initiative's host institution).

Again, the strength of a sustainability model will depend on the extent to which all the sustainability components are integrated as a coherent whole.

3. Purdue e-Pubs Journal Publishing Services

3.1 Context

Purdue University Press is a small press, of four full-time staff, that publishes about 30 books a year. The Press started reporting through the Library in the 1990s, and the Press was more tightly integrated into the Library in 2008 – 2009. Indeed, the dean of libraries and the director of the press consider the Press to be wholly integrated into the Library, rather than collaborating with the Press. The Library's strategic planning incorporates the Press, and the Press's director participates in the Library's management group and enjoys a peer-to-peer working relationship with the Library's associate deans and other directors.

Even before the move under the Library, Purdue University covered some of the Press's indirect expenses, including staff and facility costs. In 2008 – 2009, the dean of libraries presented the provost with an option to either cover the debt being carried by the Press or to shut it down, as the Press could not continue to operate and pay off the debt it had incurred at the same time. The provost allocated funds to cover the debt and, at the request of the dean of libraries, allocated an additional $50,000 for venture capital for the Press. Therefore, the Press is currently operating with no debt and has an adequate reserve for project development. Further, the Library has stopped charging the Press back for IT, business administration, legal and copyright support, digitization services, and facilities services. From the Library's perspective, the Press only needs to cover its direct expenses in order to perform within financial expectations.

As the Press has become more integrated into the Library, the allocation of Library staff and digitization activities in support of the Press has become a more pressing issue. Library managers must juggle Library and Press needs against the need to complete projects funded through grants that allow for purchase of new equipment or that cover staff wages. This raises the question of how investments in Press activities are evaluated relative to traditional Library programs.

Although the Press publishes five legacy subscription journals, managing subscriptions is not a core strength for either the Press itself or the company to which it outsources warehousing, distribution, and customer service functions. As a result, the Press intends to focus on Open Access journals, along with scholarly monographs, rather than subscription journals. For both monographs and journals, the Press is increasing its focus on subject areas central to the University's research and teaching programs.

3.2 Project-specific Planning Issues

The Purdue e-Pubs Journal Publishing Services—a collaboration of the Purdue University Libraries and the Purdue University Press—were launched in 2006 to publish Open Access journals. The initiative now publishes ten Open Access journals, six of which are affiliated with departments or schools at Purdue (IJPBL, JTO, FOSR, GBL, JPEER, and JATE), two of which are student journals (JCA and JPUR), one

journal with an internal faculty editor (but not departmental affiliation) (JPS), and one legacy journal with an external editor (CLC Web).

The e-Pubs Open Access journal publishing program draws resources from both the Library and the Press and aligns with the mission of each unit as well. Both the Library and the Press wish to respond to faculty demand for new publishing venues, especially in interdisciplinary fields. In addition, the Library seeks to provide faculty with non-commercial, Open Access publishing venues (a mission that generates social value beyond the institution, as well as within it), and the Press seeks to align itself more closely with the research, teaching, and outreach focuses of the University.

Besides providing publishing services for university schools and departments, the Press also wishes to explore the potential of offering Open Access journal publishing services to relevant society-published journals (e.g., technology or agriculture journals that align with Purdue's land grant mission) to provide those journals with an alternative to commercial publishers or insolvency.

Purdue has identified several issues that it needs to address moving forward, including:

1) Whether to extend the program to other Purdue-based journals;

2) Whether to continue publishing undergraduate and graduate student journals through the program;

3) Whether to extend the program to society journals outside Purdue;

4) How to discontinue journals that are not working out; and

5) Whether to charge back for some of the costs of supporting the journals in order to increase Open Access journal publishing services without diverting resources from the Press's scholarly monograph program.

Another question posed by the e-Pubs program—viz., whether the journals should be branded as Purdue University Press journals—raises more subtle issues relating to how the program defines its target audience and how its value proposition relates to that for the Press's journals. Given the time constraints of this study, we have focused on the issues that can be more easily generalized for other campus-based publishing projects.

In operation for more than five years, the e-Pubs service must address the five issues above to ensure that the service remains sustainable and that future decisions about the service's scope and direction are strategically and economically sound. To that end, we have used the sustainability model and best practices framework to assess these issues below.

3.3 Best Practice Overview

3.3.1 Mission Clarity & Client Definition

Answers to the first three questions above must ultimately have a basis in the program's stated mission and its definition of the program's target audiences and clients. As noted in Section 2.1, a program's mission should provide a clue as to which audiences or clients the program intends to serve. If it does not, then the initiative needs to remedy the deficiency in its mission statement as a prerequisite for refining its target audiences.

Although not a mission statement *per se*, the Purdue University Libraries' web site defines Purdue e-Pubs as:

> the scholarly publications component of Purdue e-Scholar. Purdue e-Scholar is both a repository and a service to collect, organize, store, and share the scholarly output of Purdue University. e-Pubs is the component of the repository for *journal articles, technical reports, working papers, conference papers, workshop materials, dissertations,* and similar works of a scholarly nature *produced at or associated with Purdue University.*

> e-Pubs furthers the engagement mission of the University by providing a platform from which the global community can benefit from *the scholarly output of Purdue University.*

The above statement (Modified slightly from the description provided at http://www.lib.purdue.edu/escholar/epubs/about.html. Emphasis added) does make clear that the e-Pubs program is intended to disseminate the formal and informal scholarly research output of Purdue University. Thus, in addressing the three audience questions posed by the Purdue e-Pubs initiative, the issue of whether to extend the program to other Purdue-based journals and to student journals is one of strategic focus and resources; that is, defining the clients and value propositions in order to identify potential income models capable of providing the resources necessary to extend the program's activities.

The immediate answer to the third question—whether to extend the program to journals published by societies outside of Purdue University—would be negative. Unless e-Pubs broadens its mission to include scholarly publications from outside the Purdue community, such publications would fall beyond the program's remit. The increasing use of Purdue e-Pubs as a publishing platform by the Press may require such a broadening in the statement of purpose. However, also given the program's apparent resource issues in dealing with Purdue-based publications, such an expansion of scope of Purdue e-Pubs would seem premature, unless more staffing is dedicated to supporting it.

3.3.2 Success Criteria

To answer the fourth question—how to discontinue journals that are "not working out"—presupposes that the program has clearly defined criteria for what constitutes a successful journal (see Section 2). These success criteria may be financial (for example, determining that certain types of journal must generate fees sufficient to cover the direct costs of publishing them), mission-oriented (for example, serve targeted constituencies and/or subject areas), qualitative (for example, a journal must generate a specified level of author submissions or readership/usage), or a combination thereof.

Mission-related issues have been discussed above and determining whether to apply financial performance standards will depend, in part, on the results of a cost analysis for the Open Access journals program, as described below.

In terms of qualitative metrics, Purdue's e-Pubs Open Access journal program faces the challenge of keeping barriers to entry low for new journals, while ensuring adequate commitment on the part of founding journal editors. Although the Press has service level agreements with the academic units sponsoring the most recent journals, the current agreements focus on the services to be provided by the Press and the department's financial support for the journal, and have few provisions addressing the specific obligations of the journal editors.

Without publishing agreements that establish and enforce performance expectations on the journals, the Press risks a portfolio of underperforming or subpar journals. Establishing editorial standards will be at least as important as any financial criteria that the Press may develop. It may also make sense for the Press to make the provision of some or all of its free or subsidized services contingent, at least in part, on a journal's editorial performance.

3.3.3 Financial Performance

The fifth issue—whether to charge back for some of the costs of the Open Access publishing program—raises the issue of mission maximization. Commercial entities typically seek to maximize profit to the extent possible within market constraints. Although campus-based publishing initiatives (and other nonprofit enterprises) do not seek to maximize profit, they do (or should) seek to maximize the extent to which they fulfill their mission. Depending on the publishing program, this may entail partially offsetting program costs via fees, rationing service provision, and/or cross-subsidizing some program activities with surpluses generated by others.

Up this point, neither the Press nor the Library has attempted to capture the costs of the e-Pubs program. This has been motivated, in part, by a desire to avoid stifling innovation by excessive focus on costs and chargebacks. However, as the Press seeks to determine whether to expand the program, it becomes necessary to measure the costs of the program and to establish financial performance metrics for evaluating the program going forward.

Determining the cost per journal is relatively straightforward. Under the terms of its publishing platform license with its vendor, Purdue does not pay an additional fee for journals edited by a Purdue faculty member or sponsored by a Purdue department (although it would pay a fee for any journals sponsored by societies or other organizations outside the University). While the Press does not currently pay a platform fee for its in-house journals, monitoring potential platform replacement costs will provide the Press with fuller information when evaluating the fully loaded costs of the journals.

The Press does incur direct costs for copyediting, typesetting, marketing, and project management. Currently, some of this work is handled by in-house Press staff and some is outsourced to an external vendor. In order to determine the Press's opportunity costs, it makes sense for the Press to determine the costs using both internal and external resources. This will allow the Press to determine the costs it needs to cover for each journal, while allowing it to determine whether the program might be scalable to a larger group of journals.

As an example, Exhibit 3-1 provides a financial (surplus and loss) statement for the biannual *Interdisciplinary Journal of Problem-based Learning*. This financial statement shows the estimated costs for the journal relative to any offsetting income, whether received as a payment from a sponsoring department or from external sources, such as royalties and advertising.

The statement is constructed to allow the Press/Library and the sponsoring academic unit to evaluate the value delivered by the investment each makes in a journal, and allows the Library and Press to demonstrate the overall value of the program to the University administration.

The statement also shows, "below the line," the Press's operating surplus or deficit taking into account the replacement costs of the journal publishing platform. As the statement indicates, the Press generates a reasonable surplus on its participation in the journal.

Exhibit 3-1: The Interdisciplinary Journal of Problem-based Learning, Financial Statement

Income		Amount
Aggregator licenses, rights sales & advertising	$	500
Academic unit sponsorship	$	3,500
Total Income	$	4,000
Expense		
Press Costs		
Copyediting	$	880
Typesetting	$	1,560
Marketing	$	500
Project management	$	250
Subtotal Press Costs	$	3,190
Sponsoring Department Costs		
Editorial office (graduate assistant (0.25 FTE))†	$	8,000
Total Direct Expense	$	11,190
Press Surplus/(Deficit)*	$	810
Overall Surplus/(Deficit)	$	(7,190)

* Press Surplus/(Deficit) if platform costs incurred:		
Notional Platform Costs	$	2,500
Press Surplus/(Deficit)	$	(1,690)

† While the College of Education has allocated a 0.25 FTE graduate assistant to the journal for several years, recent budget cuts have reduced this to a few hours per week. This demonstrates that departmental funding for journals competes with many other priorities and can be precarious.

From the sponsoring department's perspective, financial performance is not the primary indicator of the journal's value, and cost-per-use provides one metric available to evaluate the journal's performance. Exhibit 3-2 shows IJPBL's cost-per-use based on unique users and downloads for a single year.

Exhibit 3-2: IJPBL Cost per Use

The Interdisciplinary Journal of Problem-based Learning

Departmental Costs	Use Data	2010 Costs
Cost per Unique Visitor	12,570	$ 0.64
Cost per Download	33,162	$ 0.24

The importance of the cost-per-use metrics will depend on the perspective and objectives of each sponsoring department. Although this metric, in isolation, will seldom provide a sufficient justification for a departmental subsidy, it does provide one useful value indicator. Further, monitored over time, it can provide a useful metric of cost effectiveness.

Setting Fees

The Press does not have a consistent fee structure for its e-Pubs Open Access journal support. While six of the journals generate a small surplus that, to some extent, cross-subsidizes the remaining four that do not, this is not the result of deliberate planning. However, if a more systematized approach is adopted, such a product mix could form the basis for a sustainable Open Access journals program.

Currently, the Press provides various levels of support to each of the ten Open Access journals it supports, reflecting the specific circumstances under which the journal was signed. The service level for each journal is documented in a memorandum of understanding between the Press and (in most cases) the dean of the editor's school or chair of the editor's department. Moving forward, the Press intends to standardize its SLAs with journal sponsors and editors.

Establishing several pre-defined service levels would allow the Press to offer a free basic level of service, as well as fee-based support for journals that require additional support. In addition, setting service levels and performance expectations for the journal editors should help reduce the number of underperforming journals, in terms of timeliness, etc. If the Press decides to adopt a formal price schedule, which would require University review and approval, the fees will need to represent a material amount of revenue to justify the effort.

4. Georgia Tech Library Conference Proceedings Support Service

4.1 Context

The Georgia Tech (GT) repository-based publishing services, launched in 2006, aim to increase the Library's support of its faculty and graduate students and to reinforce the institution's strategic focus by increasing the visibility and discoverability of GT faculty and graduate students and their research.

The Library considers publishing services focused on the needs of the GT community to be central to its mission, and is committed to expanding the programs. At the same time, state-funded Georgia Tech—in common with other academic libraries—is operating under challenging financial circumstances, having suffered serious cutbacks over the past four years. The Library endured budget cuts in 2008 and 2009 and experienced an overall budget decline of over 16% for 2008 – 2011. As almost half of the Library's budget goes for materials, which continue to increase in price, the effects of the budget cuts have been even more pronounced.

The Library lost several staff positions as a result of the budget cuts, and adding full-time staff positions is especially difficult, although the Library can hire students and contract employees when justified. Moreover, moving money and positions around within the Library can be difficult. This operating context makes expanding the Library's publishing services especially difficult.

The publishing services program started as an informal pilot project to explore the demand at GT for primarily repository-based publishing services. Since 2006, the GT suite of repository-based publishing services—including the SMARTech repository, conference services, Open Access journal support, and conference and lecture videography services—have grown organically despite budget and resource constraints.

The library publishing services support a GT institutional strategy that calls for increasing the exposure of GT and the research it generates. The repository has increased the discoverability and visibility of GT faculty research. SMARTech usage stats are very high, and the repository is generally considered to be important by the administration and faculty.

4.2 Project-specific Planning Issues

The GT Library Conference Proceedings Support Service (LCS) was launched in 2006 as a web hosting and archive service for symposia and conferences hosted at Georgia Tech. Key client segments include organizers of conferences and symposia at GT, as well as clients of the Georgia Tech Global Learning Center managed by Georgia Tech's Distance Learning and Professional Education (DLPE) department. The service focuses on Open Access content, although some conferences have restricted access to their proceedings. Since 2006, the initiative has hosted and/or archived proceedings from almost 20 conferences or workshops.

The Library Conference Service is based on the Open Conference Systems (OCS) platform and the digital archive component utilizes SMARTech, GT's institutional repository. Services offered by LCS include set up and support for a temporary conference web site to manage submissions and facilitate peer review, proceedings templates and design services, individual and group training on OCS, archiving of conference content (text, audio, and video), and access management for restricted-access content. The service supports various types of proceedings publications, including abstracts, PowerPoint presentations, full papers, and multimedia presentations.

Given the resource constraints described above, LCS has limited the scope of the services that it provides. LCS does not customize the OCS platform to accommodate workflow variations and other changes, and the Library does not currently provide video and audio capture of conference proceedings, beyond recordings of keynote presentations. These limitations sometimes lessen the service's value to potential campus clients.

While clients appear to be very satisfied with the level of LCS staff support provided, they are not completely satisfied with the ease-of-use of the OCS interface, which is considered overly complex for the occasional user. This suggests that more training and support services might be required if the Library intends to extend the service to a broader audience.

Initial outreach efforts for the program generated appreciable interest. However, the Library hesitated to market the services more aggressively out of concern that such efforts would generate more demand than the program could satisfy. This concern was amplified by the extent of *ad hoc* support and customization some clients and potential clients required.

For its first five years, LCS has operated informally, funded as part of the Library's standing budget. Now, the Library must decide whether to continue rationing a basic level of service to a small group of campus clients, or to fund expansion of the service's scope and/or broaden its client base by supplementing library funding with a fee-based model.

Therefore, the GT publishing services program has identified several issues that it needs to address:

1) Whether to extend its hosting and support services, or simply to maintain the current level of service; and

2) How to establish fees and specify service levels, if deemed necessary to expand the service.

The following section identifies relevant best practices and discusses their applicability to the LCS planning efforts.

4.3 Best Practice Overview

Given resource constraints, any future program expansion needs to be planned carefully. As described in Section 2, the strength and stability of a publishing program's sustainability model depend on the extent to which the service is perceived as valuable by the client base it intends to serve. In the case of LCS, these audiences include GT departments and individual faculty members, as well as the Library and University administration.

Recommended approaches and best practices for evaluating an initiative's value proposition(s) include:

▪ Confirming mission alignment;

▪ Validating assumptions about client demand and valuation of the service;

▪ Assessing the extent to which the program's value proposition is unique via an analysis of competing services;

▪ Determining the critical activities required, and the staff time and other resources necessary, to create the value essential for the program's target clients;

▪ Determining whether the initiative's mission constrains the choice of income model;

▪ Identifying an explicit financial objective as a basis for quantifying the financial hurdle that the income model needs to clear; and

▪ Establishing a fee schedule that addresses the financial objective.

4.3.1. Mission Alignment

As noted above, the Conference Services program aligns with the Library's mission and strategy by increasing the discoverability and visibility of GT faculty and graduate student research. Because of this strategic alignment, the Library's dean supports the program's staffing and is amenable to the program charging fees, if appropriate, to increase the volume and scope of services it provides.

4.3.2 Determining Demand

The LCS program currently handles four to six conferences per year. While there is a general sense that demand for conference proceeding support is high for the liberal arts college, as well as the engineering and technical departments, the Library does not have a sufficient understanding of how large the potential GT audience is for the service.

Prior to investing additional staff resources in the LCS, the program should undertake some basic market research to explore and verify demand for existing and potential service offerings. This will require a survey of GT departments and/or the mining of existing data that may be available at the institution (e.g., from the Office of Research). This information will inform whether sufficient demand exists to expand the program's scale (that is, in terms of the number of conferences supported per year), as well as provide an indication of demand for specific services and functionality (such as long-term conference web site support, web site customization and additional design services, and additional OCS support and training).

4.3.3 Competitive Analysis

A service's value proposition must be assessed in the context of competing or substitutable services, whether or not the Library charges for the conference services it provides. In the case of GT Conference Services, GT faculty have several options.

The GT Distance Learning and Professional Education (DLPE) department currently handles about 15 conferences per year, all of them with a GT affiliation. The DLPE is both a partner for the Library and an alternative source for conference services. Conference support provided by DLPE includes attendee registration, revenue processing, and logistics support, as well as space rental, if needed. DLPE charges for its conference management services, as well as for space for conferences held in its facilities. Overall, however, DLPE focuses on professional education and online programs; conference management services represents only 2% of DLPE's revenue, and it has no plans to grow the conference services business.

Despite some overlap in services, the relationship between the two organizations tends to be symbiotic. Although DLPE refers clients to the LCS, DLPE has the potential to be a greater source of referrals than has been the case in the past. By educating the new DLPE contact about the Library's conference services, the Library should be able to ensure better coordination and referrals.

In addition to DLPE, there are other substitute services available on campus. For example, for conferences that do not require all of the capabilities that LCS or DLPE provide, the College of Computing provides (unadvertised) wiki-based services that offer a basic level of collaborative conference support. These services are also provided for free. LCS may be able to coordinate with the College of Computing program to increase awareness of the Library's services and provide a mutual referral channel.

Before expanding its services, LCS needs to better understand the overall campus demand for conference services and its position in filling that demand relative to DLPE, the College of Computing, and any other substitute services.

4.3.4 Defining Activities & Resource Requirements

Based on its past operating experience, coupled with the new demand information provided by its campus market research, LCS will need to estimate the resources required to broaden the program's scale and to provide any potential new services offerings, including customized services. This will entail 1) estimating the internal staff resources required to manage an expanded scale and scope for the services, and 2) determining the extent to which the services might be outsourced to contractors or provided via student labor. This information will afford LCS a better understanding of its fixed costs, as well as an estimate of volume-driven direct costs.

The Library's entire publishing services program currently has two librarians and three staff. (This will increase to three librarians and three staff, once a new digital initiatives librarian has been hired.) Creating a resource and cost baseline for all of the program's activities—including the Open Access journals, videography services, ETD services, and support of the SMARTech repository itself, as well as conference services—is a prerequisite to allocating resources across services and (if relevant) to establishing fees.

For conference support services, four of the program members spend 5% or less of their time on the conference services, and one spends about 20% of her time. (For the most part, the staff resources required for the LCS program, as currently defined, are not volume driven.) However, whether this time allocation is appropriate depends on the time required for the program's other services and the relative value of those services to the Library's constituencies.

To allocate resources between the three Library publishing programs—conferences, Open Access journals, and videography services—the Library should also monitor SMARTech usage by content type. The relative use of conference proceedings, Open Access journal content, and video content will provide one data point for gauging user-side demand for the content. This usage should be balanced with faculty and graduate student demand on the input-side. That is, with author/faculty demand for conference and Open Access journal publishing channels.

Before it can evaluate the relative value that might be delivered by an expanded suite of conference support services, the program team needs to identify types of conference support activities that it can provide and the approximate level of effort required for each. For example, the program does not currently provide custom conference support workflows, web site design, and ongoing support and maintenance for conference sites (for example, to demonstrate satisfaction of event requirements for funders), nor does it integrate the service's OCS platform with GT's event registration platform. As will be discussed below, rather than simply turning such clients away, estimating the staff effort required may allow LCS to develop a fee schedule capable of covering the costs of providing additional services.

To the extent that the Library is able to use outside contractors and/or student labor to provide any additional features, the program should be able to scale the services with relatively few constraints. To do this, however, would require that the service options are designed to allow such an approach. The same approach can be used for extending the videography services. Currently, the Library does not provide video services for programs lasting longer than three hours, even if the lecture being recorded would otherwise support a GT conference and/or qualify for inclusion in the SMARTech archive. By determining the direct costs of providing the service (e.g., student labor, server space requirements, etc.), the Library can evaluate whether it should establish a fee for offering extended services.

4.3.5 Establishing Fees & Service Levels

The LCS program's ability to fulfill its mission is constrained by the resources it has available. Although the program's resources are inadequate to allow it to reach all of the clients within its mission scope, and insufficient to allow it to provide all of the services that its clients demand, it has several options. LCS can either try to attract additional subsidies from the Library or the host institution and/or it can impose fees for its services.

As the GT Library's budget situation does not make additional library funding a viable option, imposing fees for some services may be the only way to expand the program's capacity.

Service fees can have several effects: 1) they can serve to ration the service, even if the fee does not recover the full cost—or anywhere near the full cost—of the services being provided, and 2) they can provide additional income that will allow LCS to increase the scope of its services or the size of its client base; and/or 3) they provide a mechanism whereby clients with a greater ability to pay subsidize other clients that would otherwise be unable to afford the service.

We have already determined that the Library considers service fees to be a culturally appropriate way to expand the LCS program capacity and thus expand the Library's mission capacity. Once the Library has determined that such fees are culturally appropriate, it must address the practicality of pricing the LCS services and the economic issues behind the pricing. Issues that influence the practicality of establishing a fee schedule include 1) the issue of materiality and 2) the budget policies of the host institution.

In most cases, it will only make sense to implement fees if they are expected to generate a significant amount of income. What constitutes "significant" will vary from program to program and, in some cases, will be dictated by an institution's accounting policies.

Charging fees for the LCS program, or any library program, can be complicated by an institution's budgeting. In GT's case, most fees charged by the Library go to the Library's general fund, rather than to the program generating the fees. As a result, charging for Library-based services has no direct benefit to a specific program. However, there are provisions within the institution for enterprise services, which would allow LCS to retain the fees that it generates. This would allow LCS to use fees as one mechanism to fund the expansion of its services. As the services would be provided to the GT community, the Library does not expect that it would have to charge the institution's external overhead rate, helping to keep the fees reasonable.

One way to allow the LCS program to serve a broader audience would be to develop a fee schedule that encourages clients to consider whether they really require a service customization and to capture revenue from those clients willing to pay for customization. This will allow the program to continue offering a basic service free to GT clients, and cover the labor costs that would be incurred from customization efforts.

Prior to setting fees, the Library has to determine its financial objective; that is, whether the fees are intended to cover only direct costs or to cover the fully loaded costs—including, for example, allocated staff time—of providing a service. Assuming that the labor required to support the program's increased scope can be outsourced to contractors or supplied by student workers, LCS could institute fees designed to recover the incremental direct costs of providing the new services. The fees can be structured in several ways: the program can provide a fee schedule that itemizes the fees associated with various types of services or customization (e.g., keeping the service online for a specified period of time). Alternatively, if LCS's client research indicates that certain packages of services will be in demand, it can offer service levels; for example, the basic service for free and enhanced service packages with specified levels of customization and/or additional support for a fee. Additional aspects of setting fees for library-based publishing services are addressed in Section 5.3.

5. Utah Scholarly Monographs
5.1 Context

As at Purdue University, the J. Willard Marriott Library and the Press at the University of Utah have moved beyond collaboration towards a deeper integration of their activities since the Press started reporting through the Library in 2005. The Press director is on the Library's leadership team and the Press's strategic planning has been wholly integrated into that of the Library, as part of the publishing services strategy. Despite this close integration, the Library does not interfere in the traditional monograph publishing operations of the Press.

Financially, the Library's budget covers the salaries of the Press's full-time staff, and the Press pays for an additional 2.0 - 2.5 FTEs of part-time staff and contractors out of its sales revenue. In addition to covering salaries, the Library provides office space and facilities support, IT, infrastructure, supplies, legal services, and assistance with developmental fundraising.

The Press is relatively small, with seven FTEs publishing 25 to 30 monographs per year. The Press's list reflects teaching and research interests in the social sciences and humanities at the University, with major series in New World Archaeology and Mormon history. The Press's budget represents a relatively small part of the overall Library budget—approximately $300K (excluding revenue) out of $19 million.

The Senior Vice-President for Academic Affairs does not review the Press separately, but leaves management of the Press's budget to the discretion of the Library's dean. At the same time, the Press's budget is administered discretely, and the Press runs two sets of financial statements: one fully loaded P&L that accounts for all expenses, and another financial statement that only includes the direct expenses the Press incurs.

The Library shields the Press from budget exigencies, effectively protecting the Press from budget cuts that it might experience were it a separately operating unit at the University. Further, the Library subsidizes experimental publishing programs and absorbs the financial risk the Press would incur were it to operate separately.

To-date, neither the Press nor the Library have scrutinized the effective budget impact of their joint projects. When the Press lends support for Library programs and projects—for example, in coordinating an anthropology lecture series at the Library, the Library covers any direct expenses the Press incurs. Although the Press does not currently track and charge the Library back for the staff time and indirect costs required to support such Library programs, so far those expenses have been relatively small. Further, the direct and opportunity costs to the Press of such collaboration has been more than offset by the infrastructure support and financial operating cushion the Library affords the Press.

5.2 Project-specific Planning Issues

The Library's Special Collections has had its own publishing program, the Tanner Trust Publications, dating back to the 1970s. Funded by the O.C. Tanner Company, the program has published 17 titles on Utah, the Mormons, and the West. As the Press has become more tightly integrated into the Library's strategy and operations, the organizations are actively exploring various publishing services they might offer to the Utah community. In this context, the Library is seeking to be more systematic and deliberate about mining its special collections and the role that the Press plays vis-à-vis Library publishing services overall.

The types of publishing services and publishing opportunities under consideration include:

- Library hosting of online content to complement Press scholarly monographs;

- Library support for online content to supplement the research and publications of Utah faculty, regardless of where (or whether) a print edition is published; and

- Mining the Library's special collections to identify content that might be:

    - published in book form by the Press;

    - distributed free online by the Library, possibly with editorial advice from the Press; and/or

    - made available in digital and/or print-on-demand formats.

- Using the Library's Espresso Book Machine to produce on-demand products for Utah students and faculty, the general public, and the Press.

The sustainability planning issues relevant to the Library's special collections publishing program epitomize those relevant to the other Library publishing programs as well. Therefore, we will focus here on issues relevant to how the Library assesses publishing opportunities that exploit the University of Utah's special collections. For convenience, we refer here to this initiative as the Special Collections Publishing (SCP) program.

The Library has convened two working committees to assess its options for publishing services. Although these committees are charged with discrete responsibilities, there is considerable overlap both in terms of the remits and memberships of the committees. Besides the Press, the committees most relevant to the SCP program are the Business Ventures and Partnership Committee (formed in 2007) and the Publishing Services Group (formed in 2009).

The remits of the Press, PSG, and BVPC go far beyond the mining of special collections. The Publishing Services Group (PSG) is intended to support campus publishing services, including support for faculty interested in pursuing new and alternative forms of scholarly communication and publishing. For its part, the Business Ventures and Partnership Committee (BVPC) was convened to explore all aspects of the potential commercial exploitation of the Library's collections and services. The BVPC is charged with exploring a wide range of revenue generating projects within the Library that involve increasing the visibility of Utah's scholarly content, large-scale digitization, journal publishing, and patron services (e.g., photocopying, digitization, book sales, etc.). However, in the context of Utah's special collections, the two committees, which include staff of the Press, are focused on determining which special collections content should be made freely available and which content should be commercially exploited.

Examples of these special collections include:

- The William H. Behle Papers—the papers and autobiography of a famous ornithologist;

- The Jack Sears Papers—unique drawing and printing blocks;

- The Ruth Harwood Papers—poetry, correspondence, miscellaneous writings, and artwork; and

- The Everett Ruess Papers—poetry, correspondence, essays, and woodblocks.

For the purposes of the analysis that follows, we have assumed two types of fee-based SCP products:

- Opportunistically, the Library will respond to patron-initiated requests for content. The Library will fulfill such requests by providing the content, for a fee, in digital format and/or via print-on-demand delivery.

- In addition to this passive program, the Library will actively market (either independently or in collaboration with the Press) titles based on content selected by an SCP editorial process.

Together, the Library committees and the Press seek to increase the visibility of, and access to, special collections controlled by the Library by applying both subsidy-based and revenue-supported business models. The following section focuses on best practices related to pricing the products of the Library's SCP program.

5.3 Best Practice Overview

The Special Collections Publishing program is in the exploration and initial planning stages. From a best practices perspective, at this stage it needs to:

- Define the types of projects and services that it anticipates considering—such as free online collections, press-published books (in both print and electronic formats), digital and print-on-demand reprints—and identify explicit financial objectives for each;

- Establish a project review process that facilitates the systematic and effective review and prioritization of potential projects; and

- Set pricing for the program's fee-based offerings.

Our assumption here is that the free online collections will continue to be funded out of the Library's standing budget and that the Press will adhere to established financial objectives for any projects it elects to publish. As a result, we will focus here on critical issues pertaining to pricing books and services that might result from the library's SCP program.

In Section 4, we discussed the issues of cultural appropriateness and practicality as they relate to setting prices for library-based publishing services. Here, we will review the economic issues of price setting that the Library will need to address. These issues include:

- How to determine a price, including value-based and cost-based approaches; and

- Whether prices should vary by client type or service offering.

5.3.1 Price & Demand

As noted in Section 4, setting prices for books and services produced by a library-based publishing program requires balancing the Library's mission of increasing access to its collections with the opportunity to expand that mission capacity by funding additional publications.

In establishing a price, the Library needs to consider the relationship between price and demand. In most cases, charging a fee (or raising an existing price) will decrease quantity demand for a title. The pricing issues discussed here apply to both goods and services. However, for convenience, we will simply refer to books.

The extent to which customers will respond to price increases and decreases is governed by what economists term "price elasticity of demand." Stated simply, goods for which increases or decreases in price have a strong effect on the volume of sales (that is, the number of customers) are considered elastic. Goods for which changes in price have relatively little effect on quantity demand are considered inelastic. Therefore, knowing the shape of this demand curve is critical to setting the right price.

The objective for profit-maximizing commercial firms is to calculate the revenue generated by a higher price relative to the revenue forgone from lost customers. For SCP, there are mission-driven reasons for trying to increase the reach of the content, even if this approach does not maximize revenue. The Library's dual objectives of reaching a wide audience while generating revenue to increase capacity will often dictate a lower price point than simple revenue maximization would suggest.

In any event, without knowing the slope of the demand curve, it can be difficult to determine the correct price to optimally balance reach/access and revenue generation. The SCP program can, and should, experiment with various price points to determine the demand elasticity of the books it mines from its collections. However, even at the outset, there are signals as to the potential shape of the demand curve. These include product substitution and the ability and willingness to pay of SCP's customer base.

Generally speaking, the greater the number of potential substitutes, and the extent to which they are similar to SCP titles, the stronger will be customers' response to price and the more elastic their demand for the titles. Given the unique nature of Utah's special collections, and assuming that the Library will be the sole source for the books it sells through its program, substitutability may not prove a major constraint in establishing prices. However, as many organizations—both commercial and nonprofit— tend to overestimate the extent to which their goods or services are unique, the SCP program should carefully analyze potential competitive substitutes for the titles that it intends to offer.

Another issue that will affect the demand elasticity for SCP titles is the demographics of the program's audience. Presumably, SCP's target customer base comprises researchers, students, and a lay audience, and each of these market segments will have its own sensitivity to price. Typically, customers with higher incomes will be less price sensitive than those with less income. As we will discuss below, establishing differential prices that account for the price sensitivity of various customer segments can help the Library balance its dual goals of reach and revenue.

In addition to its customers' ability to pay, the SCP program will also need to take into account each customer segment's *willingness* to pay. This is typically a function of how essential the content is for each audience. Researchers for whom the content is vital to their work will be less sensitive to price than those for whom it is peripheral. Similarly, titles assigned as a course text may have some degree of essentiality. This is not to say that the Library would aggressively exploit this demand; however, it should be recognized as a factor in setting prices.

5.3.2 Cost Recovery
The demand-side issues discussed above provide the market context for setting prices. It will also be essential for SCP to consider its costs when setting the price. The first step is a careful consideration of all relevant program costs. This step will allow the Library to understand the relative costs and revenue contribution of each type of good or service it offers through the SCP program.

In assessing the cost-side of price setting, it is important to establish the program's financial objective. The Library needs to determine whether it intends the SCP program to operate on a partial subsidy (and, if so, the extent of that subsidy) or whether it intends the program to recover its direct costs or to cover its fully loaded direct and overhead costs.

As the Library's staff costs are already covered by the University, it is probably not necessary for the price of the SCP books to contribute to covering the Library's overhead costs. However, to the extent that any other Library or Press assets—including staff time or other resources—are diverted to the SCP program when they could be used to generate revenue through an alternative activity, then these costs should be included in the variable costs as well. (In most cases, however, quantifying these opportunity costs is not straightforward, as the resources are being diverted from mission-fulfilling activities, rather than revenue-generating activities.)

To cover the program's costs, the price of SCP titles should *at least* cover the incremental cost of producing and distributing the good. That is, the price should cover the variable costs of digitizing a title and/or providing a print-on-demand version. If the program seeks to generate a surplus, then it will need to build an operating margin into its pricing. Its latitude in doing so, in addition to the demand elasticity issues discussed above, will be constrained by the prices of comparable or analogous titles or services. In any event, as noted above, the program should experiment with various price points over time.

5.3.3 Differential Pricing

As noted above, given the differing levels of price sensitivity for various customer segments, setting different prices for discrete segments can help the Library generate more revenue without sacrificing audience reach. Economists use the term "price discrimination" to describe a situation in which the same good is sold to different people at different prices. Price discrimination provides one mechanism by which the SCP program can increase income yield through price increases without losing customers.

Price discrimination entails identifying audiences that are less price sensitive, and raising the price to them, while offering a lower price to customers with more elastic demand. For example, SCP might set lower book prices for University of Utah students than for other customer segments. Although the lower price may be articulated as a student discount, to recover costs the discounted price should cover the direct costs of producing the book. In other words, the non-student price should represent some premium over the actual variable costs.

Typically, this pricing strategy will yield more revenue, with fewer forgone customers, than were the Library simply to increase the price of a title by a smaller amount for all customers. This approach also increases the Library's fulfillment of its mission, as it helps increase the visibility and reach of the content. Although differential pricing risks being perceived as inequitable, in a university setting offering lower prices to students should not excite a negative reaction from other customer segments.

5.3.4 Other Pricing Issues

As already noted, whether the Library's sale of special collection content responds to a specific patron request, or represents a title actively mined by an SCP editorial decision, its price for fulfilling that sale should cover the direct costs, plus any margin, that the Library requires.

Digital distribution, where the incremental cost of disseminating a title is effectively zero, raises several additional pricing issues. Presumably, patron-requested content will become part of the SCP program's list and become available for sale to any other customers interested in the title. To increase net revenue, and potentially cross-subsidize discounts for some customer segments, subsequent sales of such patron-initiated titles should be priced at the same point as the original sale. This will allow each sale to contribute more revenue to the program than the original sale.

Similarly, depending on the Library's revenue goals, bundled digital and print-on-demand versions of a title may be priced to generate a margin that exceeds the variable distribution costs. Whether it makes sense to bundle and price titles this way will depend on the value perceived by customers. For some types of content, the added search functionality allowed by a digital edition will add considerable value to the bundle, and that value can be captured through pricing.

The pricing approaches and best practices outlined above start with the Library's clear understanding of what it is trying to achieve—in both mission and financial terms—by the Special Collections Publishing program. Explicitly articulating the audiences being served, and the types of books and services to be delivered to them, will allow the Library to determine the potential market demand for the program. Carefully assessing the direct costs and opportunity costs (for both the Library and the Press) will be critical—along with the Library's mission objective and an understanding of customer demand and price sensitivity—to setting prices correctly.

6. Summary Observations

The case studies in this document describe a wide range of publishing initiatives, but they all share the goal of professionalizing their operations by introducing best practices in areas beyond their current expertise. Each project evinced genuine interest and openness to understanding and incorporating best practices and methodologies.

Whether focusing on Open Access journals, conference proceedings, or special collection services, the projects all seek guidance and structure to help them:

- Assess patron needs;

- Determine potential demand;

- Select and prioritize projects;

- Allocate resources; and

- Demonstrate program value—either to justify subsidies or establish services fees to increase capacity.

The best practice overviews provided in each of the case studies selectively summarize the sustainability planning discussions and advice communicated during each of the project site visits. These discussions invariably extended beyond the specific project focus as identified in the case studies. The conversations ranged broadly, to include other publishing initiatives, and deeply, delving into more practical detail on the types of analyses, methods, and policies required to improve the program's effectiveness.

The nature and scope of these discussions raise the issue of how to support similar library-based publishing initiatives as they evolve from *ad hoc* explorations to ongoing programs. As project-specific consultations would be impractical and cost prohibitive, the issue becomes how to communicate and encourage the adoption of publishing management best practices across North American libraries.

For some aspects of sustainability planning, this need has been partially filled by planning guides and online resources. See, for example, the resources provided on SPARC's Campus-based Publishing Resource Center (http://www.arl.org/sparc/partnering/) and Guides and Planning Resources page (http://www.arl.org/sparc/publications/papers/index.shtml). However, even taken as a whole, these guides do not provide a comprehensive resource for publishing management best practices, nor do they provide the breadth of coverage necessary given the variety of publishing support initiatives now found at North American colleges and universities.

The results of the project-sponsored survey into library-based publishing practices should provide a broad perspective on the types of initiatives being pursued at various institutions, as well as feedback on the planning and management resources that might prove useful to them. And the project workshops, to be held in May 2011, will provide an opportunity to explore the types of support needed from the perspective of a larger group of practitioners. Hopefully, the data and information sharing contributed by the project's survey and workshop components will help clarify and define potential resources capable of supporting libraries seeking to improve the operational effectiveness of their publishing programs.

Project Participants

The case studies in this document are based, in part, on interviews and discussions with library and press managers and project staff at each of the participating institutions. The author of this report gratefully acknowledges their contributions of time, information, and insight.

Georgia Institute of Technology

Bill Anderson, Software Developer, Georgia Tech Libraries

Susan Cozzens, Associate Dean for Research, Ivan Allen College, Georgia Tech

Sara Fuchs, Digital Initiatives Librarian, Georgia Tech Libraries

Katie Gentilello, Digital Projects Coordinator, Georgia Tech Libraries

Larry Hansard, Technology and Systems Librarian, Georgia Tech Libraries

Chris Helms, Network Services Manager, Georgia Tech Libraries

Catherine Murray-Rust, Dean and Director, Georgia Tech Libraries

Julie Speer, Head, Scholarly Communication and Digital Services, Georgia Tech Libraries

Tyler Walters, formerly Associate Dean, Georgia Tech Libraries (now Dean, Virginia Tech)

Jennifer Wooley, Assistant Director, Client Marketing, Distance Learning and Professional Education

Purdue University

Paul Bracke, Associate Dean, Digital Programs and Information Access, Purdue University Libraries

Scott Brandt, Associate Dean, Research, Purdue University Libraries

Peg Ertmer and Michael Grant, Editors, IJPBL

Chris Johannsen, Editor, JTO

Jill May and Janet Alsup, Editors, FOSR

James Mullins, Dean, Purdue University Libraries

Mark Newton, Digital Collections Librarian, Purdue University Libraries

Katherine Purple, Production Editor, Purdue University Press

Zyg Pyzlo, Editor, JPS

Bryan Shaffer, Production and Marketing Manager, Purdue University Press

Johannes Strobel, Editor, JPEER

Sue Ward, Head, Collections Management, Purdue University Libraries

Charles Watkinson, Director, Purdue University Press

University of Utah

Rick Anderson, Associate Dean, Scholarly Resources & Collections, J. Willard Marriott Library

Margaret Battin, Professor/Author, Department of Philosophy, University of Utah

Glenda Cotter, Director, University of Utah Press

John Herbert, Head, Digital Ventures, J. Willard Marriott Library

Joyce Ogburn, Dean and University Librarian, J. Willard Marriott Library

Anne Morrow, Digital Initiatives Librarian, J. Willard Marriott Library

Allyson Mower, Scholarly Communications & Copyright Librarian, J. Willard Marriott Library

Daureen Nesdill, Data Curation Librarian, J. Willard Marriott Library

Conor Waline, Graduate Student/Research Assistant, Philosophy, University of Utah

APPENDIX 3: WORKSHOP REPORT

A central component of the "Library Publishing Services: Strategies for Success" project was the planning and implementation of three consultative workshops held in May 2011 at each of the collaborating institutions' campuses. The first took place at Georgia Institute of Technology in Atlanta, GA, (May 4 – 6), the second at the University of Utah in Salt Lake City, UT, (May 11 – 13), and the third at Purdue University in West Lafayette, IN (May 18-20). Each workshop involved forty participants, which included the grant staff and invitees. Participants were selected from a sample of the institutions who replied to a web survey of ARL, Oberlin Group, and University Libraries Group deans and directors in fall 2010, and from an open application process conducted at the same time.

Purpose of the Workshops

The workshops primarily explored how to make library publishing services more professional and effective. Organizers selected participants because they either had experience in implementing library publishing services or were actively evaluating the possibility of doing so (a list of participants is provided at the end of this report). Once selected, participants were split between the workshops mostly on the basis of geographical convenience, although some participants expressed a preference for traveling further afield; the Canadian participants were split between the three locations. In the introduction to each workshop, participants were tasked with exploring the challenges experienced by library-based publishing programs, identifying opportunities for capacity-building and community-wide collaboration, and outlining recommendations for future actions, community priorities, and/or potential research agendas.

About two weeks before each workshop took place, participants received not only logistical information but a packet of background reading composed of a preliminary report on the web-based survey of fall 2010 by Daureen Nesdill and October Ivins; an introduction to sustainability planning written by Raym Crow which also included three case studies conducted by him in spring 2011 at Georgia Tech, Utah, and Purdue; and some suggestions for further reading. All participants therefore arrived at the workshops briefed on the issues and ready to discuss.

Structure of the Workshops

With the exception of the six key staff and two consultants--October Ivins and Raym Crow--each participant attended only one workshop. Irene Perciali of Berkeley Electronic Press, one of the sponsors, also attended all three workshops as an observer. (Daureen Nesdill from the University of Utah and Julie Speer from Georgia Tech were unable to attend all three workshops for personal reasons.) The structure of each workshop, however, remained the same. Participants arrived on Wednesday evening for dinner, served around small group tables where community-building could take place. Thursday was divided into four quarter-day sessions, and Friday into two. The workshop finished after lunch on Friday. An emphasis was placed throughout on leaving plenty of time for informal networking and information exchange. A sample agenda is shown at the end of this report.

After an introductory session, where the aims of the project were outlined and reports on the web survey results and sustainability case studies presented, each workshop was composed of five, topic-centered, sessions: Technological Infrastructure, Policies and Processes, Skills and Training, Business and Sustainability Models, and Organization and Collaboration. Short abstracts were composed in order to describe each of these topics. The topics were chosen to provide an overview of the different considerations in building a library publishing program.

In each session, three speakers presented short case studies of how the relevant topic played out in their own publishing program, with plenty of time left for discussion. The case studies aimed to stimulate discussion of issues and keep the conversation grounded in the practical realities of running a library publishing service. Around half of the invited participants at each session gave presentations and were selected based on their answers to the web survey, through personal recommendations, or both. They all participated in planning phone calls before the workshops where key staff and session moderator October Ivins encouraged them to share the challenges as well as successes they had experienced. A list of speakers at the three workshops, organized by topic, is shown at the end of this report.

Reporting on the Workshops
Since the speakers were encouraged to be frank about failures as well as successes, and to ensure open conversation during the discussion periods, none of the sessions were recorded or videotaped. The presentations given were not published or made public, although attendee contact details were given to each participant so that they could follow up with any speaker whose presentation they were particularly interested in. In order to report on the workshops, the key staff divided note-taking responsibilities between themselves and shared their notes online with each other after each event. In order to obtain real-time feedback from the participants, a Twitter hash tag (#libpublishing) was set up with a posting policy that read, "We ask that you please remove information that could potentially reveal details about particular institutions, organizations, or the people representing them." The policy was respected and the dialog on Twitter was active. Key staff took responsibility for feeding Twitter comments back into the conversation.

After the event, two feedback surveys were deployed. The first was a paper survey distributed during the workshop and returned to organizers on site. This provided information about the positive and negative experiences that the participants had during each workshop and was used to improve the delivery of succeeding workshops. The response rate was around 50% from each workshop and the comments were overwhelmingly positive. Participants particularly liked question and answer sessions and the time set aside for informal discussion. Any negative comments were reactions to presentations that did not keep to time and/or provided too much introductory context about particular institutions.

The second survey was a short web survey sent immediately after each event that asked participants to consider their experiences more broadly. Four questions were asked: "(1) What did you learn in the workshop that you can apply immediately? (2) What are the major challenges you identified for library publishing services? What will keep you up at night? (3) What next steps would you recommend to funding agencies (e.g., Mellon, IMLS) for strengthening library publishing services? (4) SPARC is planning to expand the SPARC Campus-based Publishing Resource site. What types of information/education/planning resources do library publishing services programs need in order to succeed?" The fourth question was inserted at the specific request of Raym Crow. There were 23 responses to the web survey from all three workshops.

Survey responses, speaker presentations, and the notes made by key staff contribute to the following sections which describe patterns and trends in library publishing service provisions and present recommendations and issues for consideration.

Patterns and Trends

In general, a consensus emerged during the workshops that "library publishing services" are here to stay. While they were often originally created to provide scholars with an alternative to traditional commercial publishing venues in science and medicine, the publishing services that libraries are providing are finding most success where they facilitate new types of publication and support experimentation, particularly in the digital humanities. By focusing on the publication ambitions of their campus constituents and engaging with faculty, libraries are finding previously unrecognized needs. Initially conceptualized as providing basic publication tools and infrastructure, many libraries are increasingly responding to demand for additional services and support. Much of the discussion in the workshops focused on what this move from "hosting" to "publishing" entailed and what the essential competencies of a publishing operation would consist of. The challenge for library publishing services is to supply the main services scholars expect within a constrained funding environment and without replicating the high overhead infrastructure created by traditional publishers.

A guiding development principle agreed by workshop participants is that library publishing services should be built around skill sets that stand as traditional library strengths and be shaped by ethical principles that librarians share, such as the maximization of open access to information and the importance of preservation. Publishing services appear to thrive in libraries where new roles are being embraced. They align well with an increased emphasis on building unique collections and with a commitment to becoming more involved in the total scholarly communications process, providing upstream services to faculty as authors as well as facilitating downstream access to the collections of content they need as readers. Their development parallels, in many ways, the development of digital data management solutions.

Technological Infrastructure

While some libraries continue to support publications built on repository software such as DSpace or blogging solutions such as WordPress, the need for dedicated workflow tools to support the manuscript management process has made the products of the Public Knowledge Project (PKP), especially Open Journal Systems (OJS) and Open Conference Systems (OCS), and the Digital Commons platform, licensed from Berkeley Electronic Press, the most commonly used publishing systems in libraries represented at the workshops. While the two solutions have very similar functionality, they represent different approaches. PKP open-source software needs to be installed, hosted, and maintained locally, while Digital Commons is a proprietary hosted platform, maintained centrally.

Institution size, technical capabilities, and culture are significant variables in determining which approach an individual library takes. Digital Commons provides an easy entry point into publishing for smaller institutions but is a less flexible service than OJS or OCS. It is also used by some larger institutions that value the fact that it allows resources to be focused on content acquisitions and service development rather than technical development and support.

A notable trend is in the success of collaborative services led by Canadian institutions such as Simon Fraser University and the desire among workshop participants for more hosted technology solutions and shared resources in the US. There was much discussion of the possible role that a trusted central entity, such as HathiTrust or Duraspace, might play in maintaining hosted instances of open-source software. Many participants felt that the current landscape of multiple instances of OJS was duplicative and wasteful.

Since workshop participants included representatives from both the Public Knowledge Project and Berkeley Electronic Press, there was some discussion of development needs for both platforms, although this was cut off when it seemed to become too detailed. One area of clear demand was for the development of richer analytics as a measure of publication and program success. Many library publishing services use Google Analytics as well as download counts to "tell a story" about usage, using the mapping and search keyword tracking features that Google offers. In the absence of financial measures of impact, library publishing services and their authors focus heavily on quantitative and qualitative usage information and some programs, such as that at the University of Nebraska – Lincoln, have developed innovative ways of displaying these data.

Policies and Processes
As library publishing services become more mature and move from supplying hosting infrastructure to supporting a full publishing service, interest around the formalization and documentation of policies and processes is growing. Speakers shared a range of documents and models, and there was much discussion about how to share sample agreements, checklists, and workflow materials between programs, building on the tradition of information exchange within the library community. Some programs share a lot of material on their websites or through their repositories, but the desirability of a central location was expressed.

Most library publishing programs currently lack a clear definition of the scope of their services. Do they just serve their campus communities or do they provide services for a wider group of constituents, as at the University of Pittsburgh? And should the library require a portion of the publishing projects to be open access as a matter of policy, as at Brigham Young University and Utah State University? An emerging opportunity appears to be in focusing on disciplines that are well-aligned with the interests of the parent institution while also supporting clients beyond the institution. This opens doors to various partnerships with disciplinary societies and to the creation and dissemination of discipline-oriented tools and services. In discussing how to build sustainable product portfolios, there was some dialog around whether libraries tend to have a service-oriented culture of "yes" (contrasted with a publishing culture of "no"), which makes turning down inappropriate publication projects or unreasonable requests for customization difficult. There was some fairly lively debate about whether this was a valid distinction between library publishers and traditional publishers.

Signing memoranda of understanding with publishing clients requires an articulation of roles and responsibilities from both parties to the agreement and proves helpful in sustaining projects. Many library publishing services do not do this and the idea of instituting such a formality was one of the main immediately applicable takeaways that workshop participants reported on their feedback surveys. Some libraries have encountered resistance from scholars to signing MOUs. Recasting these as Service Level Agreements (SLAs) which highlight the responsibilities of the library rather than the sponsor was agreed to be a way of overcoming such resistance.

An aspect of the publishing process that generated much discussion was the degree to which library publishing services should focus on templating products such as journal home pages. While templates are efficient, there was some concern that their use would stifle experimentation. Digital humanities projects, in particular, require new forms of publishing support.

The term "special snowflake" was used by several speakers to indicate how difficult it was to reuse tools and services developed for one digital humanities project in other contexts. Too much customization work could threaten to use up all the resources of a nascent library publishing program, reducing its relevance across the rest of campus.

Skills and Training

An initial exuberance around the perceived ease of supplying publishing services in a digital environment has turned, as library publishing matures, into a more sober realization of the range of skills a successful publisher demands from its staff. At the same time, the skill sets required by library publishers neither map neatly to the education offered by library schools nor to the traditional publishing training opportunities being offered by professional organizations and a few graduate institutions. Library publishers have developed in a digital environment and emphasize lightweight workflows and minimal editorial intervention. Traditional training still focuses on print-based production, copyediting, and design, whereas the skills library publishers need are in project management training and XML workflows.

There was discussion at the workshops about the possibilities of retraining existing staff rather than recruiting new staff from outside the library, a "build" versus "buy" dilemma. It is clear that many scholarly communications librarians (or those with similar titles) are coming into librarianship with less traditional backgrounds than the MLS graduates who preceded them. The opportunities of creating MLS qualifications with a concentration in publishing were discussed. LIS programs that include concentrations in areas such as data curation were considered to be a model. A dual specialization that respects and represents the professional competencies of both librarianship and publishing was felt to be an exciting possibility.

A more modest, but more immediately realizable, opportunity that generated excitement at all three workshops was the development of a program of locally-organized information-sharing events modeled on the THATcamp series of humanities and technology "unconferences" developed by the Center for History and New Media at George Mason University. Often preceded by a Bootcamp, a more conventional opportunity for training on new tools and processes, THATcamps were seen by participants in the workshops as a way of continuing the community-building that was seen to be one of the central benefits of participating in the "Library Publishing Services: Strategies for Success" project. (The first example has since been organized alongside the 2011 Digital Library Federation Forum meeting, http://publishing2011.thatcamp.org/.)

Most library publishing programs operate "on the cheap" and labor is spread between a number of staff members. The web survey discovered that 2.4 FTE is the average staffing level for ARL programs. While this may seem economical, it was felt by participants to be a false economy since publishing services do not appear to prosper unless they have a single "champion" within the institution, reaching out to faculty as well as maintaining the central services. An ideal model appears to be that of a central unit, servicing faculty both directly and through the channel of the faculty liaison librarians. There was some discussion about how best to work with liaison librarians. Queen's University in Canada provides a promotional tool kit for their use which was much admired (http://library.queensu.ca/services/qspace/promo).

Student labor is a conspicuous feature of many library publishing programs, especially at smaller institutions. Student participation in the publishing process can be incorporated into library and institutional initiatives around information literacy. At Pacific University, for example, the scholarly communications librarian has created a publishing curriculum. At Purdue University, graduate research assistants provide editorial assistance to journal editors. Supervising and training student employees, however, poses a number of challenges, especially in ensuring consistency of practices when they move on.

Business and Sustainability Models

Cost recovery is a way of achieving mission, not an alternative to mission-related activities. This message was strongly conveyed by Raym Crow, both in the sustainability case studies report distributed before the workshops and in his presentation during each workshop. While there was some reaction to the use of the language of business, the need for "sustainability" plans was clearly felt by participants with more mature library publishing programs. While the focus was on financial issues, there was some discussion of how sustainability is also a succession-planning challenge, especially with journals started by faculty who then move institutions as well as with the increasing number of student journals.

Where should the money come from to fund library publishing services? Currently, the costs are small enough that they can be absorbed by the library operating budget, but several speakers presented alternative models including using a portion of the annual materials budget and looking beyond the library to obtain funding from provosts. A developing plan by the Oberlin Group would fund a collaborative open access monograph press from portions of materials budgets and was considered interesting by participants not only because of the source of the money but because of the cross-institutional nature of the project.

While most library publishing programs produce primarily open access, free-to-read, resources, the more mature programs are starting to explore the possibilities for selling content to readers. Initially, this effort is focused on the sale of print-on-demand versions of open access online materials, especially editions of out-of-print publications from archives and special collections. Some library publishers are now supporting restricted-access journals, especially those produced on behalf of societies that rely on subscription income to maintain their services to members. There is a move from adopting Open Access at all costs, to more of a focus on library publishing services providing "alternative publishing channels" and fair pricing.

A particularly rich topic of discussion at the workshops emerged around the concept of "product mix." Some of the most mature programs, such as those at Simon Fraser University and Columbia University, have adopted tiered pricing systems for publishing clients, offering "basic" hosting packages for free but also "premium" services for fee (often with several levels of increasingly full and expensive service). The vision is that "premium" services will eventually support the provision of "basic" services in publishing areas where cost recovery is more difficult. A good example is provided by the Center for Digital Research and Scholarship at Columbia (http://cdrs.columbia.edu/cdrsmain/texture-publications/which-service-level-is-right-for-my-journal/).

Organization and Collaboration

While there are over 2,500 four-year universities and colleges in North America, there are only around 100 university presses. A number of these are also system-wide presses that serve several different campuses. For these reasons, the majority of the participants in the workshops were not collaborating with university presses, even though "library press partnerships" have been the major focus of previous studies of library-based publishing. In the feedback survey conducted after the Atlanta workshop, a number of participants said that the discussion of collaboration between libraries and university presses (which was a particular topic at that event) was not relevant to them.

Where collaboration with a university press was possible, however, such a relationship was felt to be advantageous to both partners. While it is easy to characterize university presses as stuck in the print age, the reality is that the press world is changing as quickly as the library environment. The opportunities that digital technologies offer for the production of new forms of scholarship have led to increasing convergence, as exemplified in joint digital product development at institutions such as the University of North Carolina (the Long Civil Rights project) and Penn State University (German broadsides). These benefit the libraries by introducing them to well-developed workflows and cost-recovery mechanisms, and the presses, by leveraging library infrastructure and skills to expand the range of products they can offer their scholars. A particularly good example of this synergy was provided by the Guantanamo Lawyers Project at New York University where a press book was linked to a digital archive of supporting materials. With this topical study, the authors chose NYU Press as their publisher because of the library's involvement in creating a value-added service.

Participants in the workshops also discussed barriers to collaboration between university presses and libraries. Content focus can supply one area of tension. As was illustrated through a discussion of the Project Euclid partnership, library publishing projects often focus on journal production, which does not draw on the traditional monograph production expertise of the university presses. Fundamentally different financial models pose a major issue as well, with income for most presses derived from sales and for most libraries derived from subsidy. Wariness from presses around issues such as digital rights management (DRM), inter-library loan, and content licensing is directly linked to the need to protect revenue streams and leads to some mutual suspicion between partners. Another obstacle is that journal publishing is the most common for library publishing services while many university presses publish only monographs. One example from the workshops was from Cornell who discussed how the library partnered with Duke University Press to supply infrastructure for the Project Euclid journals aggregation. Not all presses are the same, however, and the opportunities to collaborate with smaller presses, usually more heavily subsidized, were demonstrated in several presentations.

Collaboration with other units on campus (especially information technology) and collaboration across institutions (as exemplified by the developing Oberlin Group monograph publishing project or by the well-developed Synergies program in Canada) were also topics of discussion, although less focused on. It was generally clear that much demand for more inter-library collaboration exists in the area of publishing services, but that the competitive dynamic around any discussion of research dissemination and institutional impact has hitherto led most programs to "go it alone."

Looking Forward

The "Library Publishing Services: Strategies for Success" Project was substantially funded by an IMLS Level II Collaborative Planning Grant. The purpose of these grants is clearly laid out in the guidelines for reporting: "The white paper is required to identify the national challenges and opportunities discussed at the meeting and to outline recommendations for future actions, community priorities, and/or potential research agendas."

With these guidelines in mind, and informed by the three workshops, the following recommendations for strengthening and developing library publishing services were presented by the workshop participants:

Technological Infrastructure Recommendations

- *Develop centrally hosted options for open source publishing software.* Simon Fraser University has demonstrated the economic viability of such a model. It facilitates more efficient development and more robust systems than a distributed model, and frees up librarians at individual institutions to concentrate on content acquisition and service provision, rather than technical support. Some larger libraries will undoubtedly want to continue to support stand-alone implementations. While hosted solutions could be offered to the community by individual universities, initiatives based on existing collaborative entities such as HathiTrust or Duraspace might be more successful as they could overcome territorial reservations.
- *Develop more robust measures of the impact and outcomes of library publishing services.* Traditional impact measures are very focused on citation counts, and prestige within the narrow domains of academia. Abstracting and indexing services also often have barriers to less traditional publishing. Library publishing services, partly due to their Open Access orientation, have shown interest in reaching out beyond the academy, to the citizens of the state that their institution serves, to practitioners, and to the developing world. More qualitative measures that allow librarians to "tell a story" around the outcomes of their publishing as well as quantitative, COUNTER-compliant, usage statistics are needed.
- *The ability to facilitate both conventional and new forms of peer review (such as open peer review) and more robustly support restricted access as well as open access are required characteristics of online platforms.* Alternative publishing venues need to be able to recover costs from users in order to remain sustainable and achieve their mission. This means that the online platforms used by library publishing services need to include subscription-management capabilities and other options for purchasing content. The current solutions offered by OJS and Digital Commons are inelegant. Peer-review is at the heart of the scholarly process, and new, non-linear approaches are becoming more popular. Systems need to be able to accommodate these.

Policies and Processes Recommendations

- *Clearly articulate the value proposition for library publishing services.* Library publishing services have many shared characteristics. These include a focus on lightweight production workflows, a "digital-first" mentality, an orientation toward Open Access, openness to experimentation, a broader range of types of publishing products (often less formal), being less "tied to the bottom line" than most publishers, an emphasis on services for the host institution, and a spirit of collaboration. Articulating a value proposition based around such elements will enable the community to "sell" itself more effectively to administrators and authors. It will also help libraries form collaborations with

university presses and disciplinary societies, since the position of library publishers on a continuum of editorial intervention and formality of outputs will become apparent. (Clearly articulating the value proposition of university presses, as the Association of American University Presses does on its website [http://www.aaupnet.org/about-aaup/about-university-presses/the-value-of-university-presses], has been exceptionally valuable to that community.)

- *Establish selection criteria for new publications and partnerships.* Library publishing services have lowered the bar for setting up publications by making it easy for faculty, staff, and students to do so. Because they are not commercial entities, they also do not require evidence of market commitment before accepting responsibility for a publication. While this approach encourages innovation, it also threatens the sustainability of library publishing services. Techniques such as creating formal selection processes and establishing editorial advisory boards ensure that publishing partnerships are more rewarding and products more long lasting. When applied across a whole publishing program, such an approach can also facilitate the development of areas of excellence aligned with the disciplinary priorities of the host institution and the other unique collections of the library. At a publication-by-publication level, instituting Memoranda of Understanding or Service Level Agreements (MOU/SLA) establish criteria for ceasing publication if journal submissions are not maintained.

- *Create a shared repository of tools and templates.* There is clear demand for a collection of template MOU/SLAs, checklists, how-to documents (e.g., the life cycle of an e-journal from submission to publication), and case studies of what did and did not work. In many cases, resources are already available publicly, e.g, openaccesspublishing.org, SPARC's campus-based publishing resource center. However, there may also be more specific information (e.g., sample agreements) that would be shared if a shared space had some access-control functionality, for example requiring registration.

Skills and Training Recommendations

- *Establish dedicated library publishing services positions.* Too many library publishing programs are built on Frankenstein-like staffing models, where a single FTE is built out of small portions of many different staff members' responsibilities. Experience shows that dedicated champions, devoting at least 0.5 FTE, are required to truly advance library publishing services. These individuals need to be able to work closely with liaison librarians, so that library services are marketed to potential users. Liaison librarians need to be provided with promotional kits and trained about what publishing services are on offer.

- *Link publishing services into the institution's teaching curriculum, especially information literacy initiatives.* Many students at undergraduate and graduate levels are or will become academic authors. Involving these students in publishing programs educates them about author rights, academic writing, and the publishing process. Within the library, publishing services can provide a bridge between strategic goals in scholarly communication and information literacy (or "information fluency" as one speaker termed it). In the wider institution, real-world experience of publishing can supplement curricula in a number of subjects, especially English and Communications.

- *Create dedicated venues for formal training and informal discussion of library publishing services.* There is a need for both formal training in new technologies and publishing skills, and for continued informal opportunities for joint problem-solving and information exchange. Pioneered in the area of Digital Humanities, the structure of formal Bootcamps and THATcamp "unconferences" may provide a low-cost, locally organized format model. Since many of those responsible for publishing services are relatively junior staff and travel grants are constrained, online resources such as web seminars and

list-servs should be mixed with in person opportunities. A public forum for questions and answers (similar to DH-answers: http://digitalhumanities.org/answers) would be welcomed.

Business and Sustainability Models Recommendations

- *Formalize tiered service offerings.* Instituting bimodal "free" versus "premium" products will move library publishing services toward self-sustainability while enabling them to fulfill their non-profit mission of supporting less commercial publishing activities. Programs such as that at Columbia University have shown that multiple levels of service, at varying degrees of cost, can be effectively marketed.
- *Further research the opportunities to reallocate some of collection development budget to library publishing.* The possibility of redirecting portions of the materials budget to support publishing services (currently generally supported from special funds or the library operating budget) is being explored by the Oberlin Group. More exploration of the feasibility of this approach is needed.
- *Develop the tools and systems to generate revenue, and clearly communicate that cost recovery strategies are a means to achieve mission rather than an alternative.* More examination of revenue generation opportunities is needed. Research by the University of Michigan into the opportunities to drive print sales of monographs through free online versions will provide evidence-based information about the links between online-for-free and print-for-fee. Participation in licensed aggregations of content may generate income even for Open Access publications, generated because customers are willing to pay for additional tools and convenience. Many of these aggregations also index content, enhancing discoverability and driving usage. As well as the software tools needed to collect payment (for subscriptions or single article or monograph purchase), the capabilities of library business offices to handle earned revenue need to be strengthened.

Organization and Collaboration Recommendations

- *Create an online directory of libraries engaged in providing publishing services.* Participants in the workshops were continually surprised by the number and range of libraries engaged in publishing. An online directory will help library publishers network with each other / build cross-institutional collaborations. It will also help introduce new clients. For example, print journals wishing to transition online will be able to find publishing partners to assist them. As well as contact details, additional elements will need to be added to the directory to assist both potential user groups. For example, other libraries will find it useful to know the types of publishing platform used for sharing information about technical issues. Potential publishing clients will need to know what kinds of publication the library supports, if the library welcomes clients from beyond its own institution, and whether the program has any special disciplinary focus.
- *Initiate new partnerships with university presses and disciplinary societies.* While many libraries do not have access to university press partners at their own institutions, there are still many libraries and presses on the same campuses who are overlooking the opportunities to leverage each other's skills and resources to increase return on investment for their institutions. While there are areas of potential tension, collaborations can be initiated by starting with non-political areas such as back list digitization or special collections mining. The latter can be accomplished through either "cherry picking" treasures for reprinting with faculty assistance or engaging in a "wheelbarrow" approach for a large body of digitized materials. Partnerships with disciplinary societies are much less common, but the emerging disciplinary focus of some library publishing services and complementary skills around issues such as data curation opens opportunities.

- *Inventory other publishing services on campus and look for collaborative opportunities.* Initiatives such as that conducted at the University of California to inventory publishing activities within an institution have uncovered multiple separate publishing operations (the SLASIAC survey at UCal found over 300). Many of these have potentially complementary capabilities and library publishing services can take a leadership role in identifying and leveraging these.

Participants in the Workshops

Georgia Institute of Technology

Allyson Mower, Scholarly Communications & Copyright Librarian, University of Utah
Barbara Fister, Academic Librarian, Gustavus Adolphus College
Bryn Geffert, Librarian of the College, Amherst College
Ben Panciera, Director of Special Collections and Archives, Connecticut College
Carrie Rampp, Director of Library Services, Bucknell University
Charles Watkinson, Director, Purdue University Press, Purdue University
Clem Guthro, Director of the Colby Libraries, Colby College
Connie Foster, Head, Department of Library Technical Services, Western Kentucky University
Daureen Nesdill, Data Curation Librarian, University of Utah
David Ruddy, Director, Scholarly Communications Services, Cornell University
Elizabeth Brown, Scholarly Communications and Library Grants Officer, Binghamton University
Elizabeth McClenney, Deputy Director, Atlanta University Center
Grace Agnew, Associate University Librarian for Digital Library Systems, Rutgers University
Gail McMillan, Digital Library and Archives, Virginia Tech
Hillary Corbett, Scholarly Communication Librarian, Northeastern University
Irene Perciali, Journals Manager, Berkeley Electronic Press
Isabel Silver, Director, Academic and Scholarly Outreach, University of Florida
Jane Morris, Scholarly Communication Librarian, Boston College
Jim Rettig, University Librarian, University of Richmond
Julie Speer, Head, Scholarly Communication & Digital Services, Georgia Institute of Technology
Kate McCready, EthicShare Project Director, University of Minnesota
Kathy Tomajko, Associate Dean, Georgia Institute of Technology
Loretta Parham, CEO/Director, Atlanta University Center
Mariann Burright, Head, Science Collections & Scholarly Communication, University of Georgia
Mark Newton, Digital Collections Librarian, Purdue University
Markus Wust, Digital Collections and Preservation Librarian, North Carolina State University
Mike Furlough, Assistant Dean for Scholarly Communications, Penn State University
Monica McCormick, Program Officer for Digital Scholarly Publishing, New York University
October Ivins, Consultant, Ivins eContent Solutions
Pamela Whiteley McLaughlin, Communications & External Relations Director, Syracuse
Patrick Alexander, Director, Penn State Press, Penn State University
Raym Crow, Managing Partner, Chain Bridge Group
Rea Devakos, Coordinator, Scholarly Communication, University of Toronto
Richard Szary, Associate University Librarian for Special Collections, UNC, Chapel Hill
Sara Fuchs, Digital Initiatives Librarian, Georgia Institute of Technology
Sam Kalb, Scholarly Communications Services Coordinator, Queen's University

Shana Kimball, Head, Publishing Services, Outreach & Strategic Development, University of Michigan

Sammie Morris, Associate Dean for Special Collections & Archives, Florida State University

Stephen Spatz, Assistant Outreach and Research Librarian, Villanova University

Vanessa Gabler, Electronic Publications Associate, University of Pittsburgh

University of Utah

Allegra Gonzales, Digital Initiatives Librarian, Claremont University Consortium
Allyson Mower, Scholarly Communications & Copyright Librarian, University of Utah
Amy Buckland, eScholarship, ePublishing, & Digitization Librarian, McGill University
Ann Lally, Head, Digital Initiatives Program, University of Washington
Beth Turtle, Head, Scholarly Communications & Publishing Program, Kansas State University
Bill Anderson, Digital Library Developer, Georgia Institute of Technology
Brian Owen, Associate University Librarian, Processing & Systems, Simon Fraser University
Brian Rosenblum, Digital Initiatives Librarian, University of Kansas
Cheryl Walters, Head, Digital Initiatives, Utah State University
Charles Watkinson, Director, Purdue University Press
Dan Lee, Director, Office of Copyright Management & Scholarly Communications, University of Arizona
Daureen Nesdill, Data Curation Librarian, University of Utah
Dawn Pascal, Assistant Dean, Digital Library & ePublishing Services, Colorado State University
Deborah Ludwig, Assistant Dean, Collection & Scholar Services, University of Kansas
Glenda Cotter, Director, University of Utah Press
Holly Mercer, Head, Digital Services & Scholarly Communications, Texas A&M
Irene Perciali, Director, Strategic Initiatives, Berkeley Electronic Press
Isaac Gilman, Scholarly Communications & Research Services Librarian, Pacific University
Jeff Belliston, Assistant University Librarian for Scholarly Communications, Assessment and Personnel, and Technical Services, Brigham Young University
Jeff Bullington, Coordinator of College Liaisons, Colorado State University
Jim Brewer, Library & Technology Management Services Librarian, Texas Tech University
Joy Kirchner, Librarian, Collections/Licensing & Digital Scholarship, University of British Columbia
Joyce Ogburn, Dean, J. Willard Marriott Library & University Librarian
Lisa Schiff, Technical Lead, California Digital Library Publishing Group
Mark Newton, Digital Collections Librarian, Purdue University
Mary Westell, Director, Center for Scholarly Communications, University of Calgary
Michelle Armstrong, Scholarly Communications Librarian, Boise State University
Mike Boock, Head, Center for Digital Scholarship and Services, Oregon State University
Mike Roy, Chief Information Officer, Middlebury College
October Ivins, Consultant, Informed Strategies
Raym Crow, Managing Partner, Chain Bridge Group
Rebekah Dunn, Institutional Repository Coordinator, Brigham Young University
Rowland Lorimer, Director, Canadian Center for Studies in Publishing, Simon Fraser University
Sara Fuchs, Digital Initiatives Librarian, Georgia Institute of Technology
Sally Gore, Head, Research & Scholarly Communication, University of Massachusetts Medical School
Stanley Wilder, University Librarian, University of North Carolina, Charlotte
Sue Kunda, Digital Scholarship Librarian, Oregon State University
Will Wakeling, Dean, University Libraries, Northeastern University

Purdue University

Adrian Ho, Scholarly Communications Librarian, University of Western Ontario
Alan Boyd, Associate Director of Libraries, Oberlin College
Allyson Mower, Scholarly Communications & Copyright Librarian, University of Utah
Amy Lana, Library Information Specialist, University of Missouri
Andrew Rouner, Director of the Digital Library, Washington University in St. Louis
Barbara DeFelice, Director, Digital Resources Program, Dartmouth College
Barbara Strauss, Assistant Director for Technical Services, Cleveland State University
Charles Thomas, Senior Program Officer, Institute of Museum and Library Services (IMLS)
Charles Watkinson, Director, Purdue University Press
Gloriana St. Clair, Dean of Libraries, Carnegie Mellon University
Irene Perciali, Director of Strategic Initiatives, Berkeley Electronic Press
James Mullins, Dean of Libraries, Purdue University
Jennifer Laherty, Digital Publishing Librarian, Indiana University—Bloomington
Jodi Tyron, Scholarly Communications Initiatives Coordinator, Grand Valley State University
Jonathan McGlone, Digital Projects Librarian, Wayne State University
Julia Blixrud, Assistant Executive Director, Scholarly Communication, ARL
Karen Hill, Assistant Director, Digital Manager, University of Michigan Press
Karla Strieb, Associate Director for Collections, Technical Services and Scholarly Communications, Ohio State University
Kathy Killoh, Journals and Digital Coordinator, Athabasca University Press
Lewis Miller, Dean of Libraries, Butler University
Marilyn Billings, Scholarly Communication & Special Initiatives Librarian, University of Massachusetts Amherst
Mark Newton, Digital Collections Librarian, Purdue University
Mary Beth Thomson, Associate Director for Collections and Technical Services, University of Kentucky
October Ivins, Consultant, Informed Strategies
Paul Royster, Coordinator for Scholarly Communication, University of Nebraska—Lincoln
Raym Crow, Managing Partner, Chain Bridge Group
Rebecca Kennison, Director, Center for Digital Research and Scholarship, Columbia University
Sandra De Groote, Scholarly Communications Librarian, University of Illinois at Chicago
Sara Fuchs, Digital Initiatives Librarian, Georgia Institute of Technology
Sarah Pritchard, Dean of Libraries, Northwestern University
Shawn Nicholson, Assistant Director for Digital Information, Michigan State University
Stephanie Davis-Kahl, Scholarly Communications Librarian, Illinois Wesleyan University
Susan Ohmer, Assistant Provost / Interim Director of Hesburgh Libraries, University of Notre Dame
Sylvia Miller, Project Director, Publishing the Long Civil Rights Movement, UNC Press
Teresa Fishel, Library Director, Macalester College
Timothy Deliyannides, Head, Library Dept. of Information Systems, University of Pittsburgh
Tschera Connell, Head, Scholarly Resources Integration Dept, Ohio State University
Wendy Robertson, Digital Resources Librarian, University of Iowa

Sample Workshop Schedule

Wednesday

6:00 pm – 8:00 pm   Opening Dinner, Greeting by Dean of Libraries at Host Institution

Thursday

7:00 - 8:30 am   Continental Breakfast

8:30 - 10:00 am   **Session I: Introduction**

10:00 - 10:30 am   Morning Break

10:30 am - 12:00 pm   **Session II: Technological Infrastructure**

This session reviews the capabilities of the various technological systems that libraries are using to manage their publishing processes. These are not just hosting platforms, but often have peer-review, manuscript management, and marketing capabilities as well. The speakers represent a range of different types and sizes of library, and a range of software and hardware strategies from "build" to "buy." The discussion will focus on what these systems can and cannot do currently, and consequently the major areas where development is needed.

12:00 - 1:00 pm   Lunch

1:00 - 2:30 pm   **Session III: Policies and Processes**

This session is, firstly, about how library publishing services develop policies around issues such as collection/list development (e.g., just work from their own institutions vs. publications from non-affiliated societies; focus on particular subject areas), author rights and responsibilities, liability etc. Secondly, the session focuses on the publishing process, and the way in which institutions have documented their publishing workflows, from submission, through peer-review, to production, dissemination, and archiving. The speakers represent academic libraries of different sizes and types that have led the way in articulating publishing policies and processes. Discussion will focus on areas where policies and processes are lacking, and ways of sharing best practices.

2:30 - 3:00 pm   Afternoon Break

3:00 - 4:30 pm   **Session IV: Skills and Training**

Publishing requires a new set of skills and competencies which are not taught in library schools. Library-based publishing emphasizes a form of lightweight workflow which is also not really covered by the professional events mounted by the main publishing societies (SSP, AAUP, PSP) and the small number of universities providing publishing education. The speakers in this session come from a range of types and sizes of academic library who have led the way in analyzing needed skill sets and developing training programs for staff, students, and faculty. Discussion focuses on next steps: What should the core elements

in a syllabus on library-based publishing be? Is it possible to retrain existing staff, or is hiring new talent the only way to create a publishing program?

4:30 - 5:00 pm   Day 1 Close Out

5:00 – 6:30 pm   Flexible Time

6:30 pm   Dinner

Friday

7:00 - 8:30 am   Continental Breakfast

8:30 - 10:00 am   **Session V: Business and Sustainability Models**

Library-based publishing programs lead the way in experimenting with new, especially Open Access, business models. This is partly for philosophical reasons but partly also because libraries lack the systems and experience to charge for subscriptions or sell access. As library-based publishing programs mature, sustainability is becoming a particular issue. This session builds on a series of "sustainability case studies" prepared as part of the grant. Speakers come from a range of different types and sizes of academic library and represent institutions where the costs of publishing, and potential sources of income for sustaining it, are under explicit consideration. Discussion focuses on sharing best practices and strategies that have worked in building business models for sustaining library-based publishing.

10:00 - 10:30 am   Morning Break

10:30 am -12:00 pm   **Session VI: Organization and Collaboration**

Library-based publishing initiatives are often conducted in collaboration with other campus units, most usually the university press or IT department. Since partners have different business models and cultures, tensions sometimes emerge in these relationships and a number of strategies have been developed for strengthening such partnerships. The speakers in this session represent a range of different academic library types and sizes. Some work with a university press, and some without one. Some collaborate within their campuses, and others are developing consortial solutions, partnering with similar libraries. Discussion will focus on issues of governance, organizational structure, and what makes a good partnership. Ways of sharing best practices will be debated.

12:00 - 12:30 pm   Day 2 Close Out

12:30 - 1:30 pm   Closing Lunch

Speakers at Workshops

Georgia Tech, Atlanta, GA (May 4 – 6): Opening Dinner (Welcome: Kathy Tomajko, Georgia Tech); Introduction (Julie Speer, Georgia Tech; Daureen Nesdill, Utah; Raym Crow); Technological Infrastructure (Vanessa Gabler, Pittsburgh; Grace Agnew, Rutgers; Richard Szary, UNC Chapel Hill); Policies and Processes (Rea Devakos, Toronto; Stephen Spatz, Villanova; Isabel Silver, Florida); Skills and Training (Mike Furlough, Penn State; Shana Kimball, Michigan; David Ruddy, Cornell); Business and Sustainability Models (Patrick Alexander, Penn State; Sam Kalb, Queen's; Mark Newton, Purdue); Organization and Collaboration (Monica McCormick, NYU; Pamela Whiteley McLaughlin, Syracuse; Carrie Rampp, Bucknell).

University of Utah, Salt Lake City, UT (May 11 – 13): Opening Dinner (Welcome: Joyce Ogburn, Utah); Introduction (Allyson Mower, Utah; Daureen Nesdill, Utah; Raym Crow); Technological Infrastructure (Deborah Ludwig, Kansas; Ann Lally, Washington; Allegra Gonzalez, Claremont); Policies and Processes (Brian Rosenblum, Kansas; Lisa Schiff, CDL; Brian Owen, Simon Fraser); Skills and Training (Isaac Gilman, Pacific; Mary Westell, Calgary; Amy Buckland, McGill); Business and Sustainability Models (Dan Lee, Arizona; Cheryl Walters, Utah State; Rowland Lorimer, Simon Fraser); Organization and Collaboration (Mike Roy, Middlebury; Holly Mercer, Texas A&M; Charles Watkinson, Purdue).

Purdue University, West Lafayette, IN (May 18 – 20): Opening Dinner (Welcome: James Mullins, Purdue); Introduction (Charles Watkinson, Purdue; Mark Newton, Purdue; Raym Crow); Technological Infrastructure (Tschera Connell, Ohio State; Gloriana St. Clair, Carnegie Mellon; Kathy Killoh, Athabasca); Policies and Processes (Timothy Deliyannides, Pittsburgh; Sandra De Groote, UIUC; Adrian Ho, Western Ontario); Skills and Training (Wendy Robertson, Iowa; Teresa Fishel, Macalester; Stephanie Davis-Kahl, Illinois Wesleyan); Business and Sustainability Models (Rebecca Kennison, Columbia; Karen Hill, Michigan; Marilyn Billings, UMass Amherst); Organization and Collaboration (Barbara DeFelice, Dartmouth; Sarah Pritchard, Northwestern; Jonathan McGlone, Wayne State).

Consultant **October Ivins** served as session moderator across all panels and discussions at all three workshops.

APPENDIX 4: SELECT BIBLIOGRAPHY

As library-based publishing continues to grow and new programs develop, those involved will need a specialized set of resources to facilitate continued progress. This bibliography provides 50 core resources organized by the domains that informed the workshops and bring together a wide range of theories, perspectives, and experiences:

Technological Infrastructure (10)
Policies & Processes (10)
Skills & Training (15)
Business & Sustainability Models (7)
Organization & Collaboration (8)

If you're not sure where to start, see the following three readings for an overview:

Raym Crow (2009) Campus-based Publishing Partnerships: A Guide to Critical Issues. Washington DC: SPARC (http://www.arl.org/sparc/partnering/guide/)
Karla Hahn (2008) Research Library Publishing Services: New Options for University Publishing. Washington DC: ARL (http://www.arl.org/bm~doc/research-library-publishing-services.pdf)
Laura Brown, et al. (2007) University Publishing in a Digital Age. New York: Ithaka S+R (http://www.ithaka.org/ithaka-s-r/research/university-publishing-in-a-digital-age/)

4.1 Technological Infrastructure

Technological infrastructure encompasses many aspects of publishing ranging from hardware, software, and content management to markup and metadata. Libraries already have robust technological infrastructures to manage a range of digital collections, but perhaps lack in areas of production workflow and utilizing markup and standards at the point of production rather than the point of curation. The following resources provide a basic introduction to digital publishing while remaining focused on technological infrastructure.

Publishing Technology in General

Bill Trippe and Mark Walter, "Content Management & Web Publishing," in *The Columbia Guide to Digital Publishing* (Columbia University Press, 2003), 418-454.

William Kasdorf, "Markup: XML & Related Technologies," in *The Columbia Guide to Digital Publishing* (Columbia University Press, 2003), 65-154.

Chris Biemesderfer, "The Technical Infrastructure," in *The Columbia Guide to Digital Publishing* (Columbia University Press, 2003), 32-64.

Open Source Software

Many library publishing programs rely on open source software to manage workflow, production, and dissemination while others rely on outsourced solutions:

Brian Owen and Kevin Stranack, "The Public Knowledge Project and the Simon Fraser University library: A partnership in open source and open access," *The Serials Librarian* 55, no. 1/2 (2008), http://www.tandfonline.com/doi/abs/10.1080/03615260801970840.

Andrea Kosavic, "The York Digital Journals Project: Strategies for Institutional Open Journal Systems Implementations.," *College & Research Libraries* 71, no. 4 (2010), http://crl.acrl.org/content/71/4/310.short.

John Willinsky, "Toward the Design of an Open Monograph Press," *Journal of Electronic Publishing* 12, no. 1 (2009), http://dx.doi.org/10.3998/3336451.0012.103.

Mark Cyzyk and Sayeed Choudhury, "A Survey and Evaluation of Open Source Electronic Publishing Systems", 2008, https://wiki.library.jhu.edu/display/epubs/Home.

Hosted Solutions

Andrea Powell, "Outsourcing primary journal hosting," *Serials Librarian* 49, no. 3 (2006), http://www.tandfonline.com/doi/abs/10.1300/J123v49n03_07.

Rebecca Daly and Michael Organ, "Research Online: Digital Commons as a Publishing Platform at the University of Wollongong, Australia," *Serials Review* 35, no. 3 (2009), http://www.sciencedirect.com/science/article/pii/S0098791309000586.

October Ivins and Judy Luther, *Publishing Support for Small Print-Based Publishers: Options for ARL Libraries* (Association of Research Libraries, 2011), http://www.arl.org/sc/models/pub--support.

4.2 Policies & Processes

How do library publishing services develop policies around issues such as collection/list development? Do they work from their own institutions, with publications from non-affiliated societies or focus on particular subject areas? How are publishing programs addressing author rights and responsibilities, liability, etc? What are the ways in which institutions have documented their publishing workflows, from submission, through peer-review, to production, dissemination, and archiving? The following works address these questions:

Deciding What to Publish

Some institutions developed selection criteria and developed partnerships while others conducted research on campus publishing needs:

Tabatha Farney and Suzanne Byerley, "Publishing a Student Research Journal: A Case Study," *portal: Libraries and the Academy* 10, no. 3 (2010), http://muse.jhu.edu/journals/portal_libraries_and_the_academy/v010/10.3.farney.html.

Catherine H. Candee and Lynne Withey, *Publishing Needs And Opportunities At The University Of California* (University of California, 2008), http://www.ucpublishing.notlong.com/.

Thomas H.P. Gould, "Protocols and Challenges to the Creation of a Cross-Disciplinary Journal," *Journal of Scholarly Publishing* 42, no. 2 (2011), http://muse.jhu.edu/journals/journal_of_scholarly_publishing/summary/v042/42.2.gould.html.

Kate Wittenberg, "The Gutenberg-e project: opportunities and challenges in publishing born-digital monographs," *Learned Publishing* 22, no. 1 (2009), http://www.ingentaconnect.com/content/alpsp/lp/2009/00000022/00000001/art00007.

Mary M. Case and Nancy R. John, "Publishing Journals@UIC," *ARL: A Bimonthly Report on Research Library Issues and Actions from ARL, CNI, and SPARC*, no. 252/253 (August 2007), http://www.arl.org/bm~doc/arl-br-252-253-uic.pdf.

Developing Policies & Establishing Workflow

Andrea Kosavic, "The York Digital Journals Project: Strategies for Institutional Open Journal Systems Implementations." *College & Research Libraries* 71, no. 4 (2010), http://crl.acrl.org/content/71/4/310.short.

Ben Hunter, "Moving Open Access to Open Source: Transitioning an Open-Access Journal into the Open Journal Systems Journal Management System." *Technical Services Quarterly* 28, no. 1 (2011), http://www.tandfonline.com/doi/abs/10.1080/07317131.2010.500972.

Sample Policies & Guidelines

University of California eScholarship, "eScholarship: Submissions & Appropriate Content", n.d., http://escholarship.org/publish_submissions.html.

Athabasca University Press, "Criteria for Scholarly Journals", 2008, http://www.aupress.ca/index.php/publish/journals.

University of Michigan MPublishing, "Guidelines for Publishing Partners - Scholarly Publishing Office Wiki", 2011, http://webservices.itcs.umich.edu/mediawiki/mpublishing/index.php/Guidelines_for_Publishing_Partners.

Columbia University Center for Digital Research and Scholarship and Copyright Advisory Office, "Agreement for Publication and Sharing of Rights" (Columbia University, 2009), http://copyright.columbia.edu/copyright/files/2010/10/columbia-u-model-article-publication-agreement-version-060809.pdf.

4.3 Skills & Training

Publishing requires a new set of skills and competencies which are not taught in library schools. Library-based publishing emphasizes a form of lightweight workflow which is also not really covered by the

professional events organized by the main publishing societies (SSP, AAUP, PSP) and the small number of universities providing publishing education. The following resources offer an overview of librarian skill-sets vis-a-vis core publishing activities--acquisitions, quality control, distribution, marketing, and "establishing a canonical archive" (Horava, 2008)

Acquisitions

Determining faculty needs and finding content to publish can both be addressed, some argue, by means of traditional outreach librarian and/or liaison roles on campus. Some authors see librarians as having particular strength in redistributing library acquisition budgets to first copy costs. However, the literature does not necessarily address the exact role of, say, an acquisitions editor that one would see in presses and publishing companies. The following resources and examples address the connection between outreach and acquisitions:

Joy Kirchner, "Scholarly Communications: Planning for the Integration of Liaison Librarian Roles," *Research Library Issues*, no. 265 (2009), http://www.arl.org/bm~doc/rli-265-kirchner.pdf.

Brian Rosenblum, "Developing New Skills And Expertise To Support Digital Scholarship And Scholarly Communication.," Institutional repository, *KU ScholarWorks*, August 23, 2008, https://kuscholarworks.ku.edu/dspace/handle/1808/4098.

Michael J. Furlough, "The Publisher in the Library," in *The Expert Library: Staffing, Sustaining, and Advancing the Academic Library in the 21st Century* (ACRL, 2010), http://www.personal.psu.edu/mjf25/blogs/on_furlough/2010/11/18/Furlough-Publisher_in_Library-ExpertLibrary_Chapter08-preprint.pdf.

Janneke Adema and Birgit Schmidt, "From Service Providers to Content Producers: New Opportunities For Libraries in Collaborative Open Access Book Publishing.," *New Review of Academic Librarianship* 16 (2010), http://search.ebscohost.com/login.aspx?direct=true&db=lxh&AN=54531765&site=ehost-live.

Laura Brown, *University Publishing in a Digital Age* (Ithaka, 2007), http://www.ithaka.org/ithaka-s-r/research/university-publishing-in-a-digital-age/Ithaka%20University%20Publishing%20Report.pdf.

Catherine H. Candee and Lynne Withey, *Publishing Needs And Opportunities At The University Of California* (University of California, 2008), http://www.ucpublishing.notlong.com/.

Contracts

Licensing material is nothing new to librarians and there is keen awareness in this realm especially as it relates to copyright advisory:

Brian Rosenblum, "Developing New Skills And Expertise To Support Digital Scholarship And Scholarly Communication.," Institutional repository, *KU ScholarWorks*, August 23, 2008, https://kuscholarworks.ku.edu/dspace/handle/1808/4098.

Janneke Adema and Birgit Schmidt, "From Service Providers to Content Producers: New Opportunities For Libraries in Collaborative Open Access Book Publishing.," *New Review of Academic Librarianship* 16 (2010), http://search.ebscohost.com/login.aspx?direct=true&db=lxh&AN=54531765&site=ehost-live.

Risk-Taking

It remains difficult to say if there is a skill in risk-taking, but it certainly stands as something publishers know how to manage and may not be a familiar area for librarians:

Karen Hunter, Donald Waters, and Fred Heath, "Panel 3: Into the Glass Darkly: Future Directions in the 21st Century," *Journal of Library Administration* (2009), http://www.informaworld.com/smpp/content~content=a910064682~db=all~jumptype=rss.

Tony Horava, "Libraries as Publishers; Publishers as LIbraries–Where Do We Go From Here?," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/Horava_v20-4.pdf.

Production, Editorial, and Design

Like risk-taking, preparing a work for distribution and consumption can be a somewhat unfamiliar expertise for librarians making this a ripe area (especially in terms of copyediting and design) for partnerships, training opportunities, relying on automated software, or--as noted in ARL's survey of libraries with publishing programs--using "unpaid volunteers drawn from the ranks of active scholars and researchers." Despite this, many authors argue that librarians can inform in terms of information architecture standards, digital libraries, and digitization:

Sarah E. Thomas, "Publishing Solutions for Contemporary Scholars: The Library as Innovator and Partner," *Library Hi Tech* 24 (2006), http://eprints.rclis.org/handle/10760/9209.

Karla L. Hahn, *Research Library Publishing Services: New Options for University Publishing* (Association of Research Libraries, 2008), http://www.eric.ed.gov/ERICWebPortal/contentdelivery/servlet/ERICServlet?accno=ED500889.

John Willinsky, "Toward the Design of an Open Monograph Press," *Journal of Electronic Publishing* 12, no. 1 (2009), http://dx.doi.org/10.3998/3336451.0012.103.

Brian Rosenblum, "Developing New Skills And Expertise To Support Digital Scholarship And Scholarly Communication.," Institutional repository, *KU ScholarWorks*, August 23, 2008, https://kuscholarworks.ku.edu/dspace/handle/1808/4098.

Michael J. Furlough, "The Publisher in the Library," in *The Expert Library: Staffing, Sustaining, and Advancing the Academic Library in the 21st Century* (ACRL, 2010), http://www.personal.psu.edu/mjf25/blogs/on_furlough/2010/11/18/Furlough-Publisher_in_Library-ExpertLibrary_Chapter08-preprint.pdf.

Janneke Adema and Birgit Schmidt, "From Service Providers to Content Producers: New Opportunities For Libraries in Collaborative Open Access Book Publishing.," *New Review of Academic Librarianship* 16 (2010), http://search.ebscohost.com/login.aspx?direct=true&db=lxh&AN=54531765&site=ehost-live.

Tony Horava, "Libraries as Publishers; Publishers as LIbraries–Where Do We Go From Here?," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/Horava_v20-4.pdf.

Distribution, Discoverability, and Preservation

Librarians tend to interface with vendors and distributors as purchasers and licensees and not necessarily as content providers. While this may be a different role for a library-based publishing program to participate in, it is not entirely new or foreign according to these authors:

Patrick H. Alexander, "Publisher-Library Relations: What Assets Does a University Press Bring to the Partnership?," *Against the Grain*, 2009, http://www.against-the-grain.com/TOCFiles/v20-6_Alexander.pdf.

Mary M. Case, "Publishing Journals@UIC," *ARL: A Bimonthly Report on Research Library Issues and Actions from ARL, CNI, and SPARC*, no. 252/253 (August 2007), http://www.arl.org/bm~doc/arl-br-252-253-uic.pdf.

Laura Brown, *University Publishing in a Digital Age* (Ithaka, 2007), http://www.ithaka.org/ithaka-s-r/research/university-publishing-in-a-digital-age/Ithaka%20University%20Publishing%20Report.pdf.

David Solomon, *Developing Open Access Journals: A Practical Guide (abridged version)* (Oxford: Chandos Publishing, 2008), http://www.developing-oa-journals.org/Guide_to_developing_oa_journals.pdf.

Kevin Stranack, "Getting Found, Staying Found, Increasing Impact: Enhancing Readership and Preserving Content for OJS Journals | Public Knowledge Project", 2006, http://pkp.sfu.ca/node/689.

Co-Action Publishing, "Online Guide to Open Access Journal Publishing: Set Up Archiving and Preservation", 2011, http://www.doaj.org/bpguide/set-up/#2-1-3-set-up-archiving-and-preservation.

Marketing

Some authors argue for leveraging campus outlets as well as the Web to advertise content while others state that this does not address marketing to the scholarly community in which the work would be relevant:

Andrea Kosavic, "The York Digital Journals Project: Strategies for Institutional Open Journal Systems Implementations.," *College & Research Libraries* 71, no. 4 (2010), http://crl.acrl.org/content/71/4/310.short.

Patrick H. Alexander, "Publisher-Library Relations: What Assets Does a University Press Bring to the Partnership?," *Against the Grain*, 2009, http://www.against-the-grain.com/TOCFiles/v20-6_Alexander.pdf.

Laura Brown, *University Publishing in a Digital Age* (Ithaka, 2007), http://www.ithaka.org/ithaka-s-r/research/university-publishing-in-a-digital-age/Ithaka%20University%20Publishing%20Report.pdf.

List of Graduate Programs

List of Graduate Publishing Programs
http://www.lib.sfu.ca/help/subject-guides/publishing/schools
Core courses tend to include editorial, acquisitions, production and design, copyright law in print and cyberspace, marketing, distribution, management, and business.

List of Graduate Library & Information Science Programs accredited by ALA (58)
http://www.ala.org/ala/educationcareers/education/accreditedprograms/directory/list/index.cfm
Core courses tend to include the life cycle of information, information-seeking behavior, information resources, services and collections, organization of information and resources, information in social context, management of information organizations.

4.4 Business & Sustainability Models

Library-based publishing programs lead the way in experimenting with new, especially Open Access, business models. This is partly for philosophical reasons but partly also because libraries lack the systems and experience to charge for subscriptions or sell access. As library-based publishing programs mature, sustainability is becoming a particular issue. The works below focus on building business models for sustaining library-based publishing.

Nancy L. Maron, K. Kirby Smith, and Matthew Loy, *Sustaining Digital Resources: An On-the-Ground View of Projects Today* (JISC, 2009), http://www.ithaka.org/ithaka-s-r/research/ithaka-case-studies-in-sustainability/ithaka-case-studies-in-sustainability.

Kevin Guthrie, Rebecca Griffiths, and Nancy Maron, *Sustainability and Revenue Models for Online Academic Resources* (Ithaka, 2008), http://www.ithaka.org/ithaka-s-r/strategyold/sustainability-and-revenue-models-for-online-academic-resources.

Raym Crow, *Income Models For Open Access: An Overview Of Current Practice* (SPARC, 2009), http://www.arl.org/sparc/publisher/incomemodels/imguide.shtml.

Julian H. Fisher, "Scholarly Publishing Re-invented: Real Costs and Real Freedoms," *Journal of Electronic Publishing* 11, no. 2 (2008), http://hdl.handle.net/2027/spo.3336451.0011.204.

Sustaining Scholarly Publishing: New Business Models for University Presses (The Association of American University Presses, 2011), http://aaupnet.org/resources/reports/business_models/aaupbusinessmodels2011.pdf.

C. Judson King, *Scholarly Communication: Academic Values and Sustainable Models* (Center for Studies in Higher Education, University of California, Berkeley, 2006), http://escholarship.org/uc/item/4j89c3f7

Raym Crow and Howard Goldstein, "Guide to Business Planning for Converting a Subscription-based Journal to Open Access" (Open Society Institute, 2004), http://www.soros.org/openaccess/oajguides/business_converting.pdf.

4.5 Organization & Collaboration

Library-based publishing initiatives are often conducted in collaboration with other campus units, most usually the university press or IT department. Since partners have different business models and cultures, tensions sometimes emerge in these relationships and a number of strategies have been developed for strengthening such partnerships. Some work with a university press, and some without one. Some collaborate within their campuses, and others are developing consortial solutions, partnering with similar libraries. The following resources focus on issues of governance, organizational structure, and what makes a good partnership.

Raym Crow, "University-based Publishing Partnerships: A Guide to Critical Issues," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_Crow.pdf.

Terry Ehling and Erich Staib, "The Coefficient Partnership: Project Euclid, Cornell University Library and Duke University Press," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_Ehling_Staib.pdf.

Sylvia Miller, "Publishing the Long Civil Rights Movement at the University of North Carolina at Chapel Hill," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_Miller.pdf.

Monica McCormick, "Learning to Say Maybe: Building NYU's Press/Library Collaboration," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_McCormick.pdf.

Michael J. Furlough, "Purposeful Collaboration for Research Libraries and University Presses," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_Furlough.pdf.

Shawn Martin, "Collaboration in Electronic Scholarly Communication: New Possibilities for Old Books," *Journal of the Association for History and Computing* 9, no. 2 (2006), http://quod.lib.umich.edu/cgi/t/text/text-idx?c=jahc;cc=jahc;view=text;rgn=main;idno=3310410.0009.202.

Catherine A. Mitchell and Laura Cerruti, "Local, Sustainable, and Organic Publishing: A Library-Press Collaboration at the University of California," *Against the Grain*, 2008, http://www.against-the-grain.com/TOCFiles/v20-6_Mitchell_Cerruti.pdf.

Kate Wittenberg, "The Gutenberg-e project: opportunities and challenges in publishing born-digital monographs," *Learned Publishing* 22, no. 1 (2009), http://www.ingentaconnect.com/content/alpsp/lp/2009/00000022/00000001/art00007.

Brian Owen and Kevin Stranack, "The Public Knowledge Project and the Simon Fraser University library: A partnership in open source and open access," *The Serials Librarian* 55, no. 1/2 (2008), http://www.tandfonline.com/doi/abs/10.1080/03615260801970840.

Rowland Lorimer and John Maxwell, "Canadian Social Science and Humanities Online Journal Publishing, the Synergies Project, and the Creation and Representation of Knowledge | Public Knowledge Project", 2007, http://pkp.sfu.ca/node/2024.