

The Once and Future Publishing Library

by Ann Okerson and Alex Holzman

July 2015



COUNCIL ON LIBRARY AND INFORMATION RESOURCES

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About the Authors

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Alex Holzman retired as Temple University Press director in 2014 and now heads Alex Publishing Solutions, a scholarly communications consultancy. He has, during a forty-year career, been involved in scholarship as press director, editor, electronic publishing coordinator, author, speaker, and salesperson at Temple, Cambridge University Press, Ohio State University Press, and Charles Scribners Sons. Alex served as president of the Association of American University Presses (2008-9) as well as on the boards of the AAUP and the University Press Ebook Consortium. He is currently a Fellow at the Social Science Research Council and a member of the Board of Directors of Transaction Publishers.

Foreword

This study grew out of series of conversations between Katina Strauch, of the College of Charleston and the Charleston Conference, and me as we discussed the current state of innovation in the academic publishing arena. We identified a small discussion group to offer suggestions for a study that would encourage meaningful dialog. The idea of library publishing was brought forward and quickly caught our interest. In turn, the topic engaged the interest of a pair of our advisors—Ann Okerson and Alex Holzman—for whose work here we are grateful.

Next, the Council on Library and Information Resources agreed to be the home for the study and offered to publish the results. The Goodall Family Charitable Foundation expresses its thanks to CLIR for their hosting and professional publication. We would also like to acknowledge Katina Strauch and her leadership role in initiating this project.

The Goodall Family Charitable Foundation's mission is to help strengthen the service delivery of education, and one element of this is to better understand the contributions that library publishing can make. We at The Goodall Family Charitable Foundation are confident that this fair and balanced study can provide a basis for discussion about how the academic and scholarly community (libraries, university presses, and societies) can work together best to make available the fruits of research and scholarship. There will be a follow up session at the November 2015 Charleston Conference, and we know that discussions are ongoing in other forums. The aim is to improve the dissemination of scholarship and to enhance the educational experience.

The Goodall Family Charitable Foundation is delighted to have a role in facilitating these timely conversations.

Steve Goodall
President
The Goodall Family Charitable Foundation

Introduction

Once upon a time, the world was simpler. Publishers published and libraries collected a lot of what publishers published. Nothing is so simple any more. Now everybody's a publisher—including librarians. Large-scale initiatives such as HighWire Press and Project Muse have had libraries in attendance at their births, and substantial continuing projects such as Euclid are still housed in libraries. A whirl of buzz and excitement surrounds a growing assumption that publishing is in some way and to some extent a critical function for the library of the future.

We have studied the topic of libraries as publishers, with investigations mainly in the U.S. research institution context.¹ Specifically, we reviewed existing literature and conducted a survey of members of the Library Publishing Coalition, seeking to learn the kinds of activities they are undertaking as publishing, the business models they are using, their definitions of success, and their attitudes toward open access or end-user pay models. Our aim was to better understand this emerging sphere of library activity and its possible future in the scholarly communication and publishing sphere. Will library publishing grow and be sustainable? Will libraries play a new and permanent role? If so, in what way and what will be required?

When we refer to libraries as publishers, we consider the range of transactions in which library leaders and staff conceive, evaluate, support, and ultimately produce what we now call *content* for broad public dissemination, in whatever medium. We say this in full awareness that different observers will draw in different places the line between “publication” and something less structured, coherent, or significant. That ambiguity is an implicit theme of what follows.

We consulted the growing number of articles and other publications (Appendix A) to better understand the range of ideas that underlie library-as-publisher discourse. Distinguishing the different strains of activity and expectation that animate current conversations can help us understand not only the present moment but also the varied possibilities that loom ahead. We are also intrigued with

1 The scope of our study has set constraints, even as we admire the many initiatives to be found across other types of libraries and institutions, and also in many countries.

the sub-topic of funding the library publishing enterprise, as well as the sustainability of today's endeavors, so we present results from a small survey of about 50 libraries.

A certain kind of demand and leadership led a hundred years ago to a certain kind of university publishing. Now new, or at least additional, kinds of demand lead us to new kinds of university publishing. Libraries are re-emerging as players, perhaps because they bring to the enterprise a kind of new perspective, inquisitiveness, and experimentation.

The Distinguished Past of Libraries as Publishers

Libraries have always published, mainly in modest ways and most often in particular niches (such as catalogs), producing some mighty results. Think of that behemoth, the *National Union Catalog of Pre-1956 Imprints*, published in 754 volumes, containing more than 528,000 pages. According to Wikipedia, the set takes up approximately 130 feet of shelf space and weighs three tons. Or think of the sturdy *British Library General Catalogue of Printed Books to 1975* (360 vols. London, 1979–87); with *Supplements* (6 vols. London, 1987–1988), which was the last edition to be produced before the introduction of computerization.²

In 1965, Gordon Maxim prepared an exhaustive study of library publishing in the United Kingdom from 1600 to the mid-twentieth century; he displayed in detail the activities of libraries large and small (Maxim 1965). The dominant publishing activity of early modern libraries in the United Kingdom was the preparation of printed catalogs of their own collections, a practice that has survived into our own time. In stages after that, the author traces such categories as news bulletins and lists of new acquisitions; reports on library operation and management (for the benefit of sponsoring and supervising entities); internal documents (e.g., rules and regulations); and items reporting, publicizing, or recording library events and exhibitions. What is common in the diverse threads of library history that Maxim's study follows is what could be called the self-referentiality of that publishing. Libraries have long published things arising from their own collections and activities, for the benefit of users and potential users of their collections. There were exceptions, but until recently, they were few and no pattern or trend emerges from those.

However, over time, additional and more extensive library-publishing connections emerged, particularly in the United States. In a new essay, economist, former provost, and university librarian Paul Courant (2015) argues passionately and insightfully that libraries "are natural and efficient loci for scholarly publication." He notes that certain major U.S. university presses were started from within libraries, citing Gene Hawes, who reported that Cornell's university press (established 1869) was headed by "Daniel Willard Fiske, who

² For a historical list of the British Library's catalogs, see <http://www.bl.uk/reshelp/findhelprestype/catblhold/printedcatalogues/printedcats.html>

also served as university librarian and professor of north European languages...“ (Hawes 1967, 31). Hawes writes that the University of California’s press, started in 1893, “grew out of the university librarian’s interest in creating series of scholarly monographs to exchange with similar series issuing from other universities.” He connects this vision to “one of the world’s greatest collections of scholarly materials” in the UC library (31). Courant also cites Chester Kerr’s history of university presses. Kerr records the startup of the Johns Hopkins University press as “the establishment of a publication agency to handle... scholarly publications.... Initial responsibility for this agency lay with the university’s library committee and management with the librarian, one Nicholas Murray....” (Kerr 1949, 17). Louis Round Wilson, librarian at the University of North Carolina Chapel Hill, helped found the university press in 1878-79 and became its first director. Librarians of the time were scholars as well, or predominantly so, and the founding of presses could be thought of not just as library plus publishing, but as a close relationship among scholar, library, and publisher.

The university presses that started through the leadership of librarians moved relatively quickly to become independent of those libraries, and have continued to grow in sophistication, volume, and quality of publications to this day. As early as 1878, Daniel Coit Gilman, then president of Johns Hopkins University, linked the university’s need to disseminate scholarship to its mission to create it (and not necessarily just scholarship of their own institutions). As Peter Givler has observed, “If the aspiration of the university was to create new knowledge, the university would also have to assume the responsibility for disseminating it” (2001, 108-109). Americans often had in mind as examples the important and successful presses of Oxford and Cambridge, both founded—neither in libraries—in the sixteenth century.

The maturation of university press publishing into professional distinctiveness and critical mass was signaled by the formation of a supporting membership organization. Established in 1937, the Association of American University Presses (AAUP) today “promotes the work and influence of university presses, provides cooperative marketing opportunities, and helps its 130+ member presses fulfill their common commitments to scholarship, the academy, and society” (AAUP 2011). In some sense, the formation of this professional group signaled the detachment of presses from the university library, leaving libraries once again to publish materials arising out of their own collections—until the twenty-first century.

Birth of the New

Nowadays, when recalling the world before electronic technologies became commonplace, most of us think of a relatively stable set of publishers, including university presses, as higher education’s contribution to the mix, and academic libraries working as at most niche players in the whole publishing economy.

However, the exciting early days of electronic publishing 20–25 years ago saw stirrings of other ideas. As early as 1992, with “gopher” just poking its head above the Minnesota prairie and the first graphical web browser still more than a year away, the Association of Research Libraries and the AAUP began a library-publisher dialog through a series of four landmark symposia held in Washington DC. The symposia brought together librarians, publishers, scholars, and technologists to contemplate the ways ahead (Okerson 1993, 1994, 1995). At the 1993 symposium, David Seaman, founding director of the Electronic Text Center at the University of Virginia, noted in his paper that at the center’s founding it was clear the library was needed to take steps necessary to prepare and distribute e-texts that would not otherwise be available. In 1993, the symposium reported on a joint effort led by Scott Bennett, of the Eisenhower Library at Johns Hopkins, and Sue Lewis, of the University’s Press, to create Project Muse, which is thriving today. Michael Jensen, who later led the National Academy Press’s well-regarded ventures in e-publishing and innovative business models, was a junior officer at the University of Nebraska Press when he wrote enthusiastically in the 1993 symposium proceedings of the conditions under which electronic publishing could flourish to the benefit of the academy.

A Changed (and Changing) World

The library and academic publishing worlds of the early 1990s imagined that things might and should change. No imagination is required in 2015 to see all that has changed and to recognize that much will continue to change in an academic landscape that we once thought stable. What factors have precipitated this transformation?

Digital technologies and ubiquitous access to them. The most obvious change in two decades has been the infusion of digital technologies, affecting every stage of publication, from idea to manuscript to global distribution. Even a hardcover print book today is in every sense a digital object until the moment at which ink is applied to paper. And once the binding has been attached, the book enters a distribution chain that has been revolutionized. When a traditional press sends the print object to a traditional bookshop or wholesaler, the underlying processes have been digitally upgraded, and Internet-based distribution channels embody even greater change. Global digital distribution can be achieved by the press of a button. The tools of publishing are much more widely accessible than ever before, whatever purpose they may serve.

Cost reductions that lower publishing barriers. Paul Courant stated it simply: “For digital works, many of the library’s costs for retention and lending fall sharply or even disappear. Once the requisite digital infrastructures are in place, there is essentially no marginal cost to providing digital access to scholarship” (Courant and Jones 2015, 33). James Mullins described specifically the emerging library role: “The

barrier to entry for newcomers to digital publishing continues to drop with advancements in community-developed open source software, while the trend toward deeper institutional integration between libraries and university presses accelerates . . . [M]any libraries have bravely seized this opportunity to initiate new publishing services" (Mullins et al. 2012, 1).

The web disseminates everywhere anyone's ideas with a capacity for "market penetration" that would have been the envy of every publisher a generation ago. With massive global effusion, ambitious projects—such as e-enhancements to and new forms of traditional publishing—are undertaken all the time. Some blogs, for example, have moved beyond informal writing, becoming more like sophisticated newspapers or magazines. Services are being created to lower barriers to entry (and at times lower standards of quality?) for individual authors (e.g., Amazon's self-publishing facilities), and all publishers scramble to make sure their content—everything is "content" these days—finds as many channels to readers' eyes as possible.

The squeeze on library collections budgets. The crises in academic publishing that drew attention even before the 1990s seem to continue unabated. The presence and impact of for-profit players, rising prices in STEM publishing, the sheer quantity of published material, pressure on library budgets that squeezes book budgets disproportionately—when we read today's blogs and listservs, it sometimes seems we could still be in 1990. As far back as the 1970s, Scholars' Press was founded in Missoula, Montana, to provide an affordable outlet for scholarly publishing in classical and religious studies in a world judged hostile to such things; Scholars Press died in 2000 for many reasons, but the anxieties it was created to address still flourish. In the 1980s and 1990s we had the "serials crisis," the ARL Economic Study (Okerson 1989), and a landmark Mellon Foundation report on scholarly publishing (Cummings et al. 1992). The themes of anxiety in debates over the future of the monograph have been remarkably constant ever since.

A desire to reduce prices to libraries and "liberate" academic publishing. The first years of e-enthusiasm gave birth to a dream of freeing academic publishing from the trammels of commerce and the prohibitive cost of many materials of broad interest and value. Another ARL volume of the period captured the emergence of such a vision in the form of a lightly edited and digested record of a memorable listserv discussion from 1994 (Okerson and O'Donnell 1995). The principle enunciated then and pursued since is that, to the greatest extent possible, scholarly and scientific publishing should take advantage of new technologies and business models to make the fruits of scientific research universally available to anyone with an Internet connection, preferably at no charge to the reader. Given new technologies, rising costs for certain scholarly publications, and shrinking library budgets, it is no surprise that librarians might consider taking up publishing themselves, in an attempt to remedy the

situation. Richard Clement (2011) situated his argument for library-university press integration within what continues to this day to be spoken of as an ongoing crisis in academic publishing.³

A new vision of open access. Models for achieving open access vary, from the minimally disruptive (traditional publishers, traditional journals, new charging schemes depending on an author-pays model) to the more radical so-called “Green OA,” wherein scholars and scientists quickly and easily self-archive versions of their work on academic servers. For article publishing in some fields (e.g., physical sciences), open access progress has been remarkable; but in many fields (including the humanities), it is considerably less visible. In the world of journals, several open access models are being tested, even by the largest and most established for-profit publishers,⁴ who think they see a way forward. For scholarly monographs, no open access model has yet emerged with substantial impact on the field, though it appears that viable experiments are under way. For example, MUSE and JSTOR have extended their range well beyond their original remit in seeking to distribute affordably priced monographs, while the institutionalized crowd funding of Knowledge Unlatched aims to bring libraries into the pipeline to publication as participating funders at a much earlier stage. Paul Courant, drawing on his considerable expertise as an economist and administrator, as well as his experience overseeing a university press, believes in the viability of open access for scholarly monographs (Courant and Jones 2015, 39). He estimates the cost of producing a monograph at no more than \$12,000, now raised partly by purchase prices that libraries pay. He argues that the academic employer’s home institution should make that investment instead, and it appears that proposals for such projects are in play (AAU and ARL 2014).⁵ In a recent conference presentation, Micah Vandegrift (2014) described strategic goals for library publishing and made a strong connection to open access.

Increasingly complex challenges of balancing institutional priorities. It is sometimes hard to track what issues are of highest priority when open access is promoted. Library and open access publishing conversations take place in an environment regularly unsettled by economic challenges large and small. The global economic downturn of 2008 shook many nascent publishing enterprises, and continued

3 The scholarly monograph crisis is often described thus: shrinking library acquisitions budgets and ever-more-costly and numerous journals force libraries to reduce their purchase of specialized scholarly books, which forces publishers to raise prices, which results in even fewer books being bought. We either have to lower what it costs to publish a book or find new ways to cover at least some of those costs, in order to allow greater dissemination to libraries and, ultimately, to scholars and students.

4 Springer, for example, in 2008 acquired the BioMed Central group, a leading open access publisher. Elsevier and Wiley offer a growing number of open access and hybrid journals. Readers are acquainted with many more examples.

5 In January 2015, the Association of American University Presses and Ithaka were awarded a joint grant by The Andrew Mellon Foundation to determine a more accurate cost to produce a monograph.

pressure on academic budgets, particularly in public higher education in the United States, aggravates the stresses these enterprises face. Publishers in libraries and elsewhere face a perception among many influential stakeholders that information is now all online for free and that the traditional library and the university press might be unnecessary in a digital world, or at least not as necessary as other university priorities. Equally powerful is the pressure on educational institutions to be more accountable for the funds invested in them and to be able to tell a story of the value they return to society. Libraries and university presses seek the most effective means to support a university narrative of wise investment. Merely knowing that they have a strong story is not enough. They must, in a noisy public space, fight to get it heard.

The Revitalization of Library Publishing

No great *a priori* argument demonstrates that innovation in publishing on today's campuses must come from libraries. Powerful academic units,⁶ IT organizations, existing presses, or ad hoc initiatives could all in principle speak to such needs; but libraries are becoming the new "go-to" places on many campuses when innovation in publishing or dissemination is sought.

Libraries are less hampered than presses by financially difficult but still necessary forms of publishing, by expectations of administrators and faculty alike, and by outdated funding models. A growing technology base and expertise have evolved in the campus library, which enables technology-dependent publishing formats. The relationship of the library to the campus faculty is often much more immediate than the press to the faculty.

So, on campus, whom might you call for innovative assistance? Karla Hahn, writing in 2008, answered this succinctly: "Service development is being driven by campus demand, largely from authors and editors. Scholars and researchers are taking their unmet needs to the library" (7). Should we attribute that movement to the reputation libraries have for emphasizing their accessibility and service orientation? Are they friendlier, less formidable, and less predisposed to seek cost recovery than IT departments or presses?

Hahn observed bursts of innovation appearing on the horizon. One important reason for the localization of some new publishing-type initiatives in libraries is synergy and contiguity.

Library publishing services are part of a range of new kinds of services libraries have developed or are developing. There appears to be no dominant sequence of service evolution, but publishing services are co-managed and often integrated with a range of new services such as digitization initiatives, digital humanities initiatives, digital repository deployment, development of learning objects, digital preservation activities" (7).

⁶ Such initiatives can occur in very powerful units in very rich universities, e.g., Harvard Business School Press and Harvard Education Press.

She praised these initiatives for being grounded in the evident needs of institutions and clients. There would appear to be very little blue-sky innovation-for-innovation's sake or services in search of clients in this area. Library resources are too scant.

Astute observers see this opportunity as presaging a sea change for librarianship. An Ithaca S&R study, led by Laura Brown, says flatly that, "What you are witnessing today is the dynamic reinvention of the role of the library" (Brown et al. 2007, 15). That dramatic assertion reaches beyond the scope of this report, but it is important to see the virtuous circle that could be emerging, where the publishing initiatives mentioned later in this report, together with other ventures, place libraries in a new relationship with their institutions and traditional clients. If that proves to be the case, the impact of the phenomena described here may run well beyond the emergence of successful publishing enterprises and affect relationships both within and outside home institutions.

Just What is Library Publishing?

We noted earlier in this essay that the maturation of university publishing into critical mass was signaled by formation of a supporting membership organization (the AAUP). Signaling the coming of age of library publishing activity is a new umbrella group, called the Library Publishing Coalition (LPC), which is facilitating discussion and seeking support for advancing publishing in library settings. The LPC was formed under the auspices of the Educopia Institute, with 50 library founders, to provide a space where library publishers meet, talk, and work together. Conversations began in 2012, leading to a formal proposal and a project kickoff in January 2013. The LPC's website contains the proposal, work plan, and records from its first annual conference (Forum) in March 2014.

This seems an appropriate place to comment on the difficulties of defining what people mean when they invoke the term *publishing*. The LPC defines library publishing as "the set of activities led by college and university libraries to support the creation, dissemination, and curation of scholarly, creative, and/or educational works" (2012, 1). Generally, library publishing requires a production process, presents original work not previously made available, and applies a level of certification to the content published. Based on core library values and building on the traditional skills of librarians, it is distinguished from other publishing fields by a preference for open access dissemination and a willingness to embrace informal and experimental forms of scholarly communication and to challenge the status quo.

The LPC has published two directory editions of library publishing enterprises, to which we are indebted here, and they expect to refresh the directory annually (Lippincott 2013 and 2014). While the directories list only data that libraries have submitted, they nonetheless form the most complete picture of predominantly North American activity. Appendix C to this report reveals more of the landscape, with most of the library publishing enterprises at quite small scale.

Grey literature, journals, books, databases, special collections materials, scholarly and scientific data collections, digital representations of archives of papers and documents, and more will be found to exist as library publications. The boundary between activities that merit the name *publishing* and less formal and coherent enterprises is fluid and contestable.

Discrepancies are evident even between the LPC's definition of library publishing and the activities listed in the directories by members within the organization's first two years. Grey literature may or may not have been certified; databases, though often very valuable, sometimes represent simple collections of data unfiltered by scholarly interpretation and selection. As our sustainability survey shows in the pages ahead, some library publishing is not open access, even if its disseminators wish it were. Making special collections and first-time digital representations of previously print-only material available online, while often considered by libraries and other publishers as publishing, generally does not embody new material, though at times it may present new ways to manipulate the data.

Publishing describes a broad spectrum of activities. At one end are large and established enterprises of the sort described previously (with peer review, sophisticated budgets, marketing plans, business goals, and so on), but there is no agreement where to draw the line for the other end of the spectrum (for example, grey literature, datasets, articles in institutional repositories). At some point, digitizing library documents and posting them on a website falls below a line that most would think of as publishing and becomes part of the ordinary way in which any organization does business today. However, making publishers' backlists—books that have been peer reviewed and professionally edited in original print editions—available as e-books or for print-on-demand probably does stay above the line.

The point here is not to suggest that anybody is labeling an activity as publishing when it is not. Rather, it seems to us that as librarians, presses, information technologists, faculty, administrators, and others meet in local, national, and international forums to discuss issues in scholarly communication, they might want to better define what they mean by *publishing* in any given context. The term has in some ways been applied to so many activities that its wanton use can lead to real misunderstanding. What's more, the activities undertaken by all parties, engaged in what they each call publishing in the scholarly world, present both significant areas of overlap and areas unique to certain parties.

Library-Press Collaborations: Theory and Practice

One theme that emerges from our study is the possibility and desirability of increasing collaborations between libraries and university presses. Jim Neal wrote astutely in 2001 of a tradition of collaboration between university presses and research libraries. His article, "Symbiosis or Alienation: Advancing the University Press/Research

Library Relationship through Electronic Scholarly Communication," focuses on the evolution of interdependence between the two, as influenced by revolutions in IT, global learning, and electronic scholarship.

What is striking at this remove about Neal's overview is the abundance of initiatives that were already then in flight, many of them more ballyhooed and visible than those that have followed, and many of them with strong library components in their initiation and leadership.

Neal also reviewed the work of libraries making the contents of their special collections available. He mentioned almost in passing an organization new at the time, one that would be increasingly heard and seen in open access circles: SPARC (the Scholarly Publishing and Academic Resources Coalition), an advocacy group and convening organization rather than a publisher. Neal concluded with a list of 20 "shoulds" to develop an action plan for future collaborations between libraries and presses.

Not all the new projects in this era were successful. Gutenberg-e, an ambitious and high-profile attempt to create an electronic-only publishing model for history monographs, foundered for lack of submissions. Post-mortem analysis revealed that the absence of a print representation of the books was a surprisingly strong deterrent to contributors, and the project ended with publication of short print runs of the books that had appeared in the series, to give them their place on physical library shelves (Waters and Meisel 2007). Was the enterprise only premature or were there deeper issues?

Some quite visible cases reinforced fears that time spent on digital innovation could doom tenure hopes. As late as 2003, the Modern Language Association felt the need to issue a Statement on Publication in Electronic Journals, affirming that digital scholarly works should be evaluated according to the same criteria as print works. This was followed by a joint statement of the American Philological Association and the Archaeological Institute of America in 2006 encouraging broader adoption of new technologies and support and recognition for faculty who engaged in such work. And in 2013 the American Historical Association recommended that new PhDs embargo electronic dissemination of their dissertations to preserve their chances of publishing revised versions of them with academic publishers, often an important step toward tenure.

There are many ways in which libraries now engage in serious publishing activities. Most activities involve an institutional repository. Some institutional repositories are very involved in what surely fits current definitions of publishing, but some come nowhere near the threshold. The idea that there can be a single digital space to hold many of the disparate products of a university's intellectual life is powerful and almost obvious. Offices and individuals in any college or university are now accumulating important digital objects and documents that can and should be preserved and made accessible to audiences beyond the office of the original creator.

Starting a comprehensive institutional repository takes technical expertise and effort, budgeting, and intra-institutional marketing designed to attract content. Some of what is housed in such a repository will likely be valuable to a specific but wider audience and worth the extra time, organizing attention, and care that adds up to a publishing activity. But much content will be of a different character; as long as terabytes are cheap and petabytes are not out of the question, such a repository will necessarily take on some of the characteristics of a family attic. Ithaka observes brashly: "Institutional repositories so far tend to look like attics with random assortments of content of questionable importance" (Brown et al. 2007, 16). Anyone trying to clean out a long-established attic and sort treasure from trash will know that long-term preservation is a mixed blessing.

A number of format types are mentioned in the institutional repository literature, including monographs, textbooks, working papers, and theses. By one count, libraries published nearly 700 journals using digital commons software in 2013 and now that number is almost 900 (Busher and Kamotsky 2015). Our project sampling below biases away from institutional repositories and toward larger projects with a longer history and thus offers a chance to think about what makes for success and sustainability.

Literature about today's library-related publishing programs frequently mentions a range of large-scale, partnered library publishing undertakings. They include the following, listed in order of start date; but these examples are by no means an exhaustive list.

Project MUSE. Published by the Johns Hopkins University Press, MUSE is a nonprofit collaboration between libraries and publishers. Founded in 1993 on the joint initiative of then-University Librarian Scott Bennett and JHU Press's Sue Lewis, its goals were to lower the costs of journal content and provide for its long-term preservation. MUSE took full advantage of the opportunities that developed as the web became reality. The library is no longer listed as a partner on the current MUSE site, but Bennett (2005), in an early history of the project, outlines the essential role it played in incubating the operation.

Today MUSE offers an online database of more than 600 peer-reviewed academic journals and 20,000 electronic books. Like HighWire, Project MUSE offers its services and expertise as a digital content provider to many publishers, including some 200 university presses and scholarly societies around the world. MUSE, like JSTOR, has lately begun publishing electronic monographs.

HighWire Press. Founded at Stanford University in 1995, HighWire Press created a publishing platform that it offered to the scholarly and academic communities as a one-stop solution for electronic publishing. It initially comprised mainly high-quality scientific society journals that were looking for a way to transition to new distribution methods. According to its website, as of July 2015, HighWire reports having published over seven million articles. Housed within the University Library and initiated and led by Stanford University Librarian Michael Keller, HighWire has been enormously successful

in direct competition with commercial publishers. Although the press and library are separate enterprises, library staff have made appropriate contributions to HighWire's activities. As of May 2014, HighWire has a new majority owner in the private equity firm Accel-KKR, while Stanford University retains a "significant minority stake" and the university librarian will continue to represent Stanford's interests on the board (Stanford University Libraries 2014). A not-for-profit undertaking that attracts a private equity buy-in or buyout is a remarkable success by many measures. It remains to be seen whether or how the character of the enterprise will evolve.

University of Michigan. In the late 1990s, the University of Michigan Library began to seek synergies between the library and the university press, eventually establishing an Office of Scholarly Publishing, a unit that Wikipedia describes as being "devoted to developing innovative and economically sustainable publishing and distribution models for scholarly discourse." Created in 2001, it later became MPublishing; and then in 2013 Michigan Publishing. This unit harnessed the flexibility and relatively inexpensive resources electronic publishing offers in achieving size and scope to publish more than a dozen journals, while providing for-fee hosting for nonprofits (e.g., the Humanities E-book project of ACLS). In 2009, two years after Paul Courant had become university librarian, the University of Michigan Press was assigned to report to the library and the synergies continue to evolve. Charles Watkinson, former director of Purdue University Press and a leader there in synergizing press and library publishing programs, was recruited in 2014 to take responsibility as associate university librarian for publishing and director of the University of Michigan Press, a combination of title not seen before.

Columbia International Affairs Online (CIAO).⁷ CIAO was initiated at Columbia University in August 1997 to host a wide range of materials in international affairs. There was deliberate intent to blur the lines among traditional forms of print and newer formats of electronic scholarship, add new kinds of content, and create a significant subject area portal. At its founding, CIAO was a truly collaborative enterprise incorporating responsibilities and skills from the university press, the libraries, the IT organization, and faculty. Though no longer in the forefront of publishing innovation and somewhat faded from view, CIAO's website today presents the organization as an enterprise of the university press, with two Columbia librarians serving on a 25-member advisory board.

Project Euclid. Launched in 1999 in the Cornell University Library, Euclid in 2008 became a collaborative partnership between Cornell University Library and Duke University Press. Euclid seeks to advance scholarly communication in theoretical and applied mathematics and statistics through partnerships with numerous independent and society publishers. It was created to provide a platform for small publishers of scholarly journals to move from print to

7 For additional information about CIAO, see Wittenberg 1998.

electronic formats in a cost-effective way. Through a combination of support from subscribing libraries and participating publishers, Project Euclid has made 70% of its journal articles available as open access. As of January 2015, Project Euclid provided access to more than 1.2 million pages of open-access content. (Cornell's Library also supports the arXiv project, founded at Los Alamos National Laboratory and still providing open access to what some think of as "preprints" in a growing number of physical sciences and related domains. In its 2014 annual report, arXiv reported posting its millionth article (Rieger and Lyons 2015)).

eScholarship. eScholarship was launched in 2002 as the University of California's open access repository and a home for student and faculty publications. It is the preferred destination for works published under the University of California's open access policies. Its holdings have grown to more than 70,000 publications. The eScholarship service offers archiving, as well as the ability to publish journals, books, working papers, and data. It is one of today's most ambitious, active, and innovative institutional repositories.

York Digital Journals Project.⁸ This library project was established with a connection to the Synergies initiative, a collaborative 21-university Canadian project, whose aim was to promote, preserve, and distribute Canadian social science and humanities research. A national platform for distributing Canadian research results, Synergies had been funded with \$5.8 million by the Canada Foundation for Innovation, the same organization that initially funded what was then called the Canadian National Site Licensing Project consortium and is today the Canadian Research Knowledge Network (CRKN) and its Digital Content Infrastructure Project (C. Olsvik, pers. comm.). Initially, the Synergies initiative provided incentives for several Canadian universities to enter the publishing arena. York Library participants understood it as a natural fit for libraries to support open access journal publishing ventures. With the expiry of Synergies funding, the umbrella project has been dormant since 2012, although journals and theses can still be found on the site and some connected projects continue to exist, e.g., the Public Knowledge Project and *Érudit*, as well as certain university/library journal publishing efforts. The York University Library continues to publish journals under the Open Journal Systems software. Here as elsewhere, innovation has proved to be one thing, while achieving sustainability is another.

Rice University.⁹ Rice University Press had ceased operations but was revived in 2007 to become the first fully digital press in the United States. The new press was a joint venture of Rice University's Fondren Library and Connexions, which offers a set of web authoring, teaching, and learning tools. The focus was on new models and cost-effectiveness. The project was closed after three years. There is no single explanation for the termination; with the departure to other positions of both founding principals, the project was discontinued by the university.

8 For additional information on York Digital Journals, see Kosavic 2010

9 For further information on Rice, see Henry 2007 and Moody 2013.

Long Civil Rights Movement Project.¹⁰ This project, launched in 2010, is a collaboration among the University of North Carolina-Chapel Hill Library, the UNC Press, the Center for Civil Rights, the School of Law, and the Southern Oral History Program. The “About” section of the project’s website includes this message: “Welcome to a new way to read and write history . . . the Long Civil Rights Movement collection invites readers of history to experience and interact with books and articles on the civil rights movement in vibrant new ways. As you read, you can comment on what you’re reading, post links to related resources, and exchange ideas with other readers.” In 2011, the program became self-supporting, with a blend of open and paid access components.

Building and Sustaining a Library Publishing Program: A Survey

It would be invidious to collect on purpose stories of library publishing initiatives that have faded away without marked success, but a few characteristics of these may fairly be suggested. Some began in a spirit of enthusiasm without having a real and pressing problem to solve. For that reason and others, some did not acquire the needed critical mass of links among content-provider, publisher, and audience. Some did not find a sustainable business plan. These are familiar stumbling blocks for startup educational businesses that fail to find their market. For example, 15 years ago, the Global Education Network (investment-banker-led), Fathom (Columbia-led), and the University Alliance for Life-Long Learning (Yale led, with Oxford, Stanford, and Princeton partnering and a CEO recruited from Merrill Lynch) all drew broad attention in the online learning field; gone now, they left a field occupied today by EdX, Coursera, and Udacity. Interested in the business sustainability of today’s library publishing initiatives, we asked self-identified library publishing enterprises a few basic questions.

In November 2014, we sent a brief survey on library publishing activities and the means of their financial support to about 150 librarians listed in the 2014 and 2015 editions of the *Library Publishing Directory (LPD)* as being in charge of a library publishing program. We received 48 responses, though not every respondent answered each of the questions.

The target group was composed entirely of people who by participation in the *LPD* identify themselves as library publishers. This is bound to skew the answers in some ways. For example, it is hardly surprising that no respondent indicated his or her home institution had considered and rejected the idea of a library publishing program. There may be others who have, but this audience would not be likely to include them. Still, we felt this target group offered us the best chance to learn about up and running programs, what they are doing, and how they are paying their costs.

¹⁰ For further information on LCRM, see Miller 2008, and <https://lcrm.lib.unc.edu/blog/>.

Why the emphasis on cost? To be truly sustainable, any program has to cover the costs it incurs in providing its materials and services, and it needs to be able to do so over time. This need not be funding from sales, and for library publishers it often is not, but it does have to be a predictable sum from year to year. Given the need to develop new services, adopt new technologies as they come on line, and serve larger audiences, it is also probably a good idea to include—even in a break-even budget—an allocation for research and development.

As elsewhere in this study, our survey adopted a broad definition of publishing that includes activities such as making special collections available online. We did so in part because we did not want to exclude any activity a library might consider publishing because of an arbitrary definition we imposed. As discussed earlier, libraries throughout their histories have often disseminated information or made available documents that do not follow the pathways or stratagems of traditional publishers.

Perhaps not surprisingly, the publication of faculty and student work was an activity undertaken by the greatest number of libraries, well over 90%. Similarly, just under 90% use an institutional repository and make at least some materials available through an open access model. Ninety percent report collaborating with other units at their institutions (including local university presses, which exist at about half of the schools surveyed). Sixty percent also report publishing materials written by members of other institutions, collaborating with other institutions, or both, though under 20% have formal agreements to publish for or with an outside organization. The relatively high reported outside participation rate may reflect activity in conference proceedings and journals housed at a home institution, but whose content includes scholars from all over.

Over 90% of the respondents publish dissertations or journals, or both. Some 70% publish articles or working papers, or both, while 65% publish books and just under 60% publish conference proceedings. Twenty-five percent publish hybrid materials and a similar number make databases available.

Two-thirds publish peer-reviewed materials, while 80% report publishing unreviewed items. The sum over 100% is understandable since many publish both.

The breadth of the publishing programs is impressive. One-hundred percent publish in the humanities, 94% in social sciences, and 85% in STEM. This means a large majority of the programs responding are publishing across the entire breadth of their institutions.

How are the libraries sustaining and growing their programs? Only about 7% charge end users for any of their materials. This means over 90% are relying on some combination of the broader library budget, funds from the parent institution, and grants.

Fourteen of the respondents broke down the percentages of funding they received from all sources, and eight received more than half of their funding from the library. The lowest library funding as a percentage of the total publishing budget was 5% (1), which came

from a program that receives 75% of its funding from grants. Grants and institutional funding from outside the library were also frequently cited by others (9 of 14). Only 3 of the 14 cited end-user fees as a revenue source.

Sixty-seven percent of 40 who answered the question expect current funding ratios among their sources to remain stable (though, interestingly, 18 of 35 respondents to a question about the ideal ratios among funding sources felt the library should contribute 80% or more of the library publishing budget).

Only 35% responded that they could expand their program at the current budget; further publishing would require a larger budget.

Ninety-three percent of all respondents are not required by their parent institution to run their publishing programs on a break-even basis. It is worth speculating whether this lack of urgency to break even is responsible for the extreme reluctance to impose end user fees, or whether that phenomenon can be attributed to end-user free models being a strong ethical goal.

Only 15 of the respondents actively market their publications, although about 95% supply at least some metadata, encouraging discoverability. It remains a question what authors—whether they be faculty or others—will expect from library publishing programs by way of publicity and marketing; for the moment, programs continue to develop with very little of it.

In the end, current library programs seem confident that they are funded sufficiently to maintain what they are doing. It is also clear they will require further funding to expand, and expansion may be seen as desirable as a means a) to encourage open access, and b) to help move scholarship from commercial vendors to the library. We did not ask whether respondents feel that securing funding for additional programs will be problematic. There may be a zero sum game looming that will affect just how critical a role library publishing programs can play in the future and to what degree they will help mitigate overall scholarly communication costs by reducing the need for commercial and other subscription model journals.

This short survey can only begin to touch on some of the issues surrounding the complexities of library publishing. We hope it will stimulate further investigation into additional aspects of these programs. The expectations and needs of authors and faculty (often but not always the same people in different roles) would seem critical to guiding how future projects are structured. Each project has its own parameters, of course, but, for example, how frequently will faculty as authors want to use multimedia platforms to report their research? When will a PDF suffice, and when will XML be critical? How much marketing outside the bare bones provided by metadata will authors expect or demand before switching to a campus publishing outlet rather than a commercial one? How sophisticated a search engine do researchers need?

A perhaps politically charged survey might try to measure both academic and public demand for open access as a preferred mode of delivery. Governments are increasingly requiring that open access

be provided at some point for all studies that receive government funding. It is easy to see why researchers in the same field would want and need full access in order to evaluate current and stimulate future research. But does the public at large really want open access to documents (especially outside the health care area) that use specialized vocabulary and advanced math? Or might that money better serve the public's needs by supporting nontechnical explanations of material contained in technical papers? To our knowledge, no survey has tested these questions.

Returning to the academy, it would be useful to know more about the attitudes of administrators and students toward library publishing programs. For instance, students report a preference for printed books over electronic ones. A recent survey by Hewlett Packard indicated 57% of students preferred print, 21% preferred an electronic format, and 21% wanted both (Tan 2014).¹¹ But at what point does price overwhelm platform preference and tilt students toward electronic formats? What features in an electronic publication would make it more useful for students?

Lessons Learned

From our overview of the range of initiatives now in place in American academic libraries, we have drawn a number of lessons.

1. Leadership with a good idea is indispensable. To break out of traditional roles and models requires imagination and the energy to bring imagination to reality. In traditional institutional roles, a press director, university librarian, or both are the likeliest candidates to bring publishing innovation forward. Institutions willing to create new roles that enable empowered leaders to make change have been fewer than one might like to see, but a growing number of creative individuals and teams have found a way.

2. Being part of institutional mission and discourse is critical. Leadership and good ideas, even from such key players as leaders of libraries or press directors, will likely go nowhere without a receptive environment and partners in the right places. A provost or dean may not initiate the kind of enterprise imagined here, but their support can be necessary or at least helpful. Academic units, IT organizations, and responsive enthusiasm from the mid-level staff can also offer critical enabling support. Foundation support has been instrumental as well. As the Ithaka report's authors counseled, campus-wide discussions that result in a coordinated sense of direction and intentionality are more likely to succeed and be sustained than is undirected "anything goes" activity (Brown et al. 2007).

3. One size doesn't fit all. Many library institutions are exploring and achieving in the domain of publishing in different ways; there

¹¹ See also Strang 2014.

is no single path or model that they must follow. As noted earlier, however, institutional opportunities and structures that support collaboration are essential. For example, a library and a press need not necessarily be part of the same campus reporting lines to find common cause to work together.

4. Libraries and presses have opportunities for collaboration. The potential for synergies between libraries and university presses is strong, but it has proved sometimes elusive to capture. Looking at markets can help us think about and maximize opportunities. The commercial sector will seize some opportunities, anticipating conventional financial rewards. Other materials will continue to need the kind of structure and formality of review and branding that a university press gives. Still other content will be marginal in commercial value, innovative in form, or nebulous in conception while attracting keen academic interest. That type of content may need particular care and attention, as well as some freedom from bottom-line accounting.

5. Presses increasingly report to libraries or library administrators. In recent years, more and more university presses have begun to report directly to the library; the 2014 Association of American University Presses biennial press reporting structure survey lists 19 such reports¹². According to Charles Watkinson (2014), approximately 27% of U.S. presses that identify themselves as university presses report to libraries. In some cases, it is not much more than a reporting line wherein the two organizations pursue their own independent agendas. But in others—Purdue and University of Michigan are obvious examples—the press has been fully integrated into the library and works extensively with various departments, resulting in publishing activities that run the gamut from formal to very informal. Some libraries and presses have worked to find areas where they can consolidate certain costs, while others use their formal relationship to foster large and small joint projects. It is too early to recommend either for or against a formal arrangement whereby a press reports to a library, and there are many examples of interesting collaborations between libraries and presses that operate independently of each other. We remain at a stage where what works is likely to be heavily dependent upon local circumstances.

6. Organizational structure varies and should be tailored to local strengths. The most striking discovery in our study is that we have not detected any pattern showing which organizational structures are more effective than others. Our tentative conclusion is that work in library publishing is so diverse and innovative that success is much more a function of the quality of the initial idea and the energy and the talent brought to bear on its realization than it is a matter of organizational structure. A good idea and the right people lead to

12 Survey available at <http://www.aaupnet.org/images/stories/data/reportingstructure2014.pdf>.

success, whether in a high-profile formal organizational structure or in something more like a “skunk works” of empowered, innovative, junior staff. Leadership and energy, however found, tend to trump organization charts or fixed models.

We still live—and perhaps always will—in a world where the best measure of success is success. Whatever works is what we should do, without preconceptions. So diverse are the things that libraries publish and the ways in which they publish them that imagination and experience will long provide the best sources of inspiration for organizational design.

7. Marketing matters. It is striking that library practitioners have written relatively little about marketing their publications. Commercial and nonprofit publishers have traditionally put considerable resources—both financial and human—into letting potential audiences for a scholarly publication know the work exists. Digital publishing that employs robust metadata can help with this dissemination, enabling researchers to discover a work through online searches, but it is also desirable to reach audiences *before* they engage in searches. Works can be announced through email blasts, tweets, brochures, conference displays, advertisements, and more. The authors of scholarship—most often faculty—expect active (announcements) as well as passive (metadata) marketing, and failure to provide both could cause an initiative to founder. We have not found much discussion of marketing among library publishers; this is an area where collaboration with university presses, learned societies, and others may be fruitful.

Identifying a potential audience is one thing, and reaching that audience is another. If anything has changed in our time, it is that once the content is prepared and the market found, distribution may not be quite so cumbersome as it once was and may not carry a price tag for the end user, but we are constantly learning that “not quite so cumbersome” digitally does not necessarily mean easy or cheap, though it may be quicker. In the nineteenth century, an Oxford scholar finished his manuscript (literally, writing by hand) and took it around the corner to a bookseller, who had it set up in type, printed, and placed in his shop window. Setting up in type and printing was the first step, but having a shop window in Oxford to display the bound volume was the essential sales and marketing step.

Today, anybody with a website can publish in the sense of organizing and presenting (meticulously or casually) a body of information and ideas. It is harder to find the metaphorical shop window where readers will discover it. On the topic of marketing, we offer three thoughts.

First, academic initiatives will produce some things that appeal to very limited contemporary audiences. Prospective additional readers will need to be aware of these items so that they can decide whether to give them time and attention. Librarians need to learn to address this challenge. For example, many would agree that preserving and interpreting the fragmentary papyrus remains of antiquity is an important task, but nothing short of strong institutional support

and outreach to that limited audience is likely to sustain the complex of enterprises in that domain indefinitely.¹³ Librarians need to identify and thoughtfully approach their potential audiences for support if needed.

Second, all of us are surrounded by new marketing techniques that use social media and the like. Libraries need to use the latest tools and be nimble enough to adapt to a rapidly changing environment. Over the years, this has meant being ready to switch from AOL Instant Messenger to Facebook and then employ Twitter, Tumblr, and all sorts of other outlets as quickly and easily as fashions change. Less obviously, the management of publication metadata, to make material highly visible through search engines and bots, is a different and new form of marketing and in constant evolution. It is advantageous to learn how to construct metadata so as to enhance a work's chances of appearing prominently on a search in its subject. Indeed, the differences between traditional library uses of metadata and the uses that enhance dissemination outside the library world's boundaries need to be studied.

Third, as we move to new business models, where funding comes not from readers but from authors and their institutions, the focus of marketing needs to be on the real decision makers, whether librarians, vice presidents for research, or provosts. Eliciting sustaining commitments from those sources is a different business than recruiting subscribers on a traditional model.

8. Patience, patience. In any new activity, patience is a virtue. The world of information and publishing has changed in the last 20 years, and we should not be surprised if some large and important developments and transitions take 25 years, or even 50, to be realized. Academic institutions and libraries in particular should be able to manage that kind of patience and long-term vision without looking for next-quarter results. The traditional funding sources of academe (core budgets, donor interest, and government and foundation support) may all be useful, indeed necessary, but innovators and leaders of projects will need to be the ones to stitch that support together for the longer term.

Concluding Thoughts

One size does not fit all when it comes to library publishing; local conditions strongly influence local solutions. And yet there is a commonality to be found throughout the enterprise as it exists in North America. This was, and is, equally true for university presses and for press-library collaborations.

¹³ Duke and Heidelberg have emerged as primary supporting institutions of papyrological study after long processes of development supported by other institutions and foundations. For a current conspectus, see <http://papyri.info/>.

George Parmly Day, founder of Yale University Press, made the following observation in a 1914 address, “The Function and Organization of University Presses”:

The question of their [university press] organization may have been, and frequently was, at their inception merely an academic question in more than one sense; and was solved by each university as the occasion arose without much reference as to what other institutions had done. As a result of this we naturally find that the form of organization was determined in each case by local conditions—such as the traditions, needs, opportunities and even the location of each university. The conditions making for the establishment of a press at one of our universities were almost certain to be entirely different from those prevailing at another institution, which, nevertheless, felt the need of an organization of somewhat similar character.... It is rather fortunate both for those interested in our existing university presses and for those who may be planning for others yet to be established that the development has been along these different lines, since much of value can be learned from even a brief survey of the methods followed by each press and of the conditions which made these most desirable (Day 1914, 41-42).

Almost as if answering him at a distance, Dan Greenstein wrote in 2010, when he was at the helm of the California Digital Library:

Libraries may adopt broader institutional roles — managing an institution’s information infrastructure (which can include publishing and broadcast services as well as IT) or taking a larger role in strategic communications. The scope of any one library’s responsibility is shaped by an institution’s circumstances, its personalities, and its politics. There are other claimants in any institution to each of these next generation roles, any of whom may as sensibly emerge as the responsible party (Greenstein 2010b, 125).

The opportunity to which Greenstein points seems to be at the center of what we think of as collateral advantages that can be sought from further library involvement in publishing. In that spirit, the Association of Research Libraries identified in its 2014 strategic planning efforts six components for a system of action for building the research library of the future. One of these components is noted as “Scholarly Publishing at Scale (short + long forms)—bring scholarly publishing back home to the academy” (Groves 2014). That commitment from research libraries’ leading professional organization is itself a fact of great importance, and it is reason enough for libraries to give serious consideration to how they might best explore this domain.

The moment at which the spark that ignites publishing is struck comes when someone sees a potential link between a body of information and ideas, and a potential audience. “These people would buy and read that,” the traditional publisher says. Pursued and persisted, that moment of insight can become publication. Much needs to be done to develop, organize, and prepare the information and ideas—from developing the vision, to hiring staff to write or compile information in convenient form, then taking the steps to prepare an analog or digital artifact that can be disseminated.

Libraries, especially larger or ambitious ones, have many advantages in knowing how to reach academic audiences and are beginning to exploit them. Some of what library publishers do is traditional, as when a library scans and makes available masters and doctoral theses going back a hundred years and long held on shelves for library consultation. Some activities can be surprisingly venture-some, as when an institutional repository preserves and makes available data sets for studies that perhaps went nowhere—but where the data set may be valuable for someone else asking a different question or asking it at a different date when different analysis is possible. Some of what libraries can do is close to their traditional mission, as when they scan and disseminate high-quality digital representations of rare books and manuscripts from their collection. Some of what they do may be much more imaginative, as when they supplement traditional strengths by collecting and disseminating oral history for their institutions or their communities, i.e., creating content where they have a special grasp of a what was once usually a traditional publisher's insight about the potential connection between information and audience.

Academic libraries have long supported learned societies by purchasing their journals and other materials. Those societies have depended heavily upon journal subscriptions to finance their activities on behalf of their members. Membership dues and individual subscriptions, however, have provided funding for only a portion of their activities. Learned societies have, therefore, often chosen to publish with commercial or university publishers who provide them with the additional income streams they need. It will be important for libraries to work with learned societies that by definition work horizontally across the scholarly world (as do university presses) at the same time the libraries work vertically within their home institutions. Because library publishing inevitably adds a new degree of horizontality to a library's activities, an increased facility with the challenges that poses will be important to the success and sustainability of individual projects.

Finally, in some cases, libraries may make good startup entrepreneurs who might even hand their idea over to others as soon as viability is proven, while in other cases they carve out a long-term role. HighWire is the most interesting example at this moment of a library-led innovation now trusting itself to a much more commercial marketplace. What is clear from a study of realities and ideas in the library publishing space is that the *variety* of possibilities is huge, and thus the variety of strategies and tactics that might succeed in building high-quality, sustainable operations that reach appropriate and loyal readers is immense.

The picture painted in the literature is one of a collection of activities and initiatives that can leave an impression of busy-ness, clutter, and lack of direction. What we have found, however, is that the diversity of initiatives is both wise and strategic: wise, in exploring possibilities; and strategic, in recognizing that multiplicity and diversity are probably good things in themselves in this domain,

as different institutions, with different histories, cultures, and prospects, find the opportunities that most advance their missions. Libraries have made significant progress in establishing themselves as leaders in envisioning the digital future of knowledge management in academic institutions. They should press ahead in that direction for the good of their institutions and their missions, recognizing as well that the benefits from doing this work will include increased opportunity to reshape themselves for a future in which they become part of a campus partnership with greater centrality to their institutions' information distribution strategies.

Library publishing has a long history. We have come to think of the present initiatives as ways of reconnecting with a very old mission, yet making it fresh and new in radically new circumstances with radically new technology. But its development in the digital age is still nascent, and if libraries are to play a significant role in overcoming the cost of access to information today, they will have to expand significantly beyond their current scope, probably through expanded current programs and many new ones. How much time and how much of their budgets do librarians want to put into publishing programs as opposed to the many other functions they fill? Who should even answer that question? To paraphrase the Ithaka report—"it takes a whole institution."

There are some recommendations that we draw in conclusion. First, libraries should be strategic about their opportunism. Second, other stakeholders (presses, IT organizations, learned societies) should recognize the potential in libraries and challenge them to realize it. Third, university administrations should recognize that potential and make well-informed decisions, even while challenging libraries to make clear strategic connections among their priorities. Fourth, faculty and others who produce content should cast an appraising and encouraging eye on their own libraries as potential partners in imagination and innovation. At the end of the day, the combination of imagination and strategy is what could support library success at a scale we do not now see or imagine.

*And the end of all our exploring
Will be to arrive where we started
And know the place for the first time.*

T.S. Eliot, "Little Gidding"

Appendix A: Sources Consulted

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*Our literature review has been extensive if doubtless not exhaustive, and we present here what we have found and read, with * on items most helpful in shaping our understanding of the subject. That said, this entire collection of materials has been invaluable for our project.*

NOTE: All URLs are current as of July 1, 2015.

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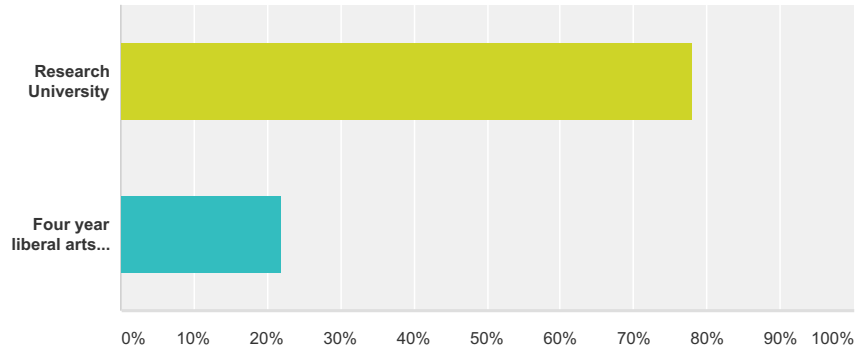
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Appendix B: Survey

Q1 What type of institution are you?

Answered: 41 Skipped: 7

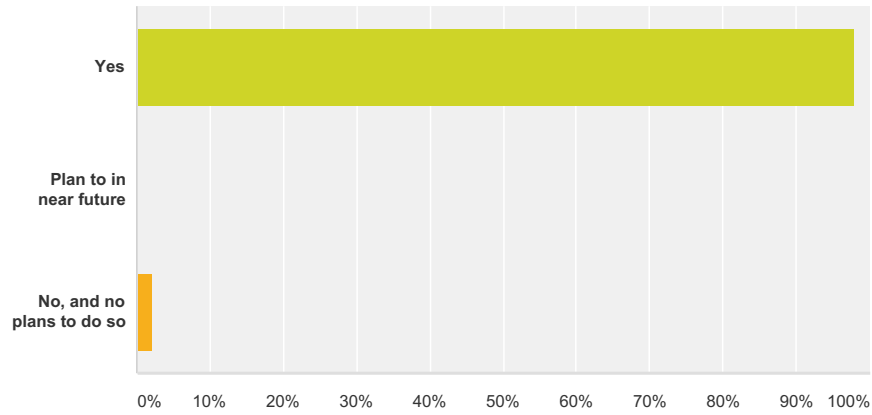


Answer Choices	Responses
Research University	78.05% 32
Four year liberal arts college	21.95% 9
Total	41

#	Other (please specify)	Date
1	Four year comprehensive college (some MA programs, no PhD)	12/10/2014 5:25 PM
2	sort of in between	11/25/2014 9:47 PM
3	law school	11/25/2014 5:23 PM
4	4 years liberal arts with law school	11/24/2014 9:08 AM
5	Graduate seminary	11/22/2014 1:59 PM
6	comprehensive university	11/20/2014 10:23 PM
7	1 library for consortium of 5 liberal arts colleges & 2 universities	11/20/2014 8:56 PM

Q2 Do you engage in library publishing now or plan to do so soon?

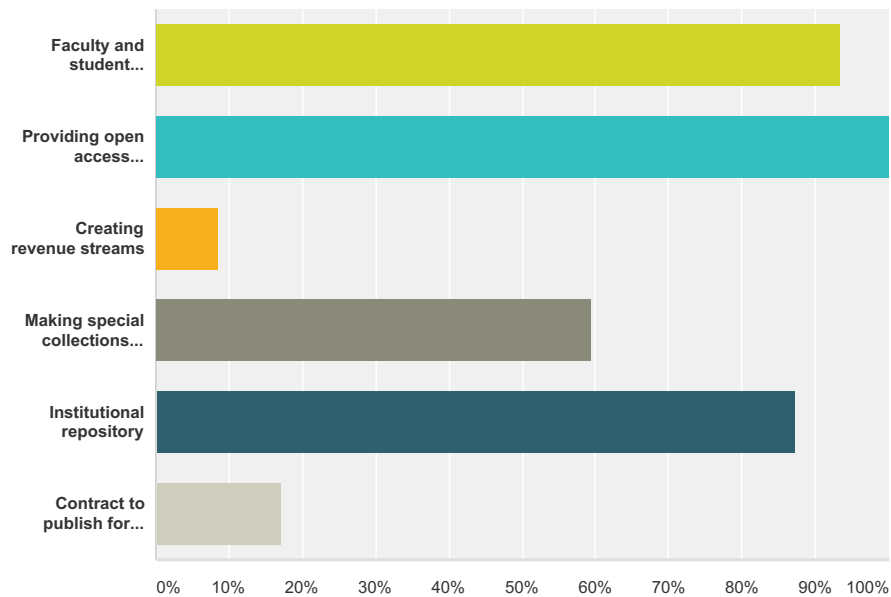
Answered: 47 Skipped: 1



Answer Choices	Responses	Count
Yes	97.87%	46
Plan to in near future	0.00%	0
No, and no plans to do so	2.13%	1
Total		47

Q3 If Yes or Planning to in number 2, what is the purpose of your library publishing program? Check all that apply.

Answered: 47 Skipped: 1

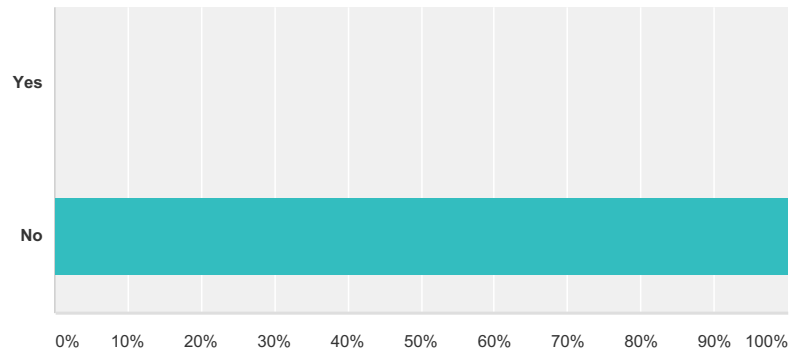


Answer Choices	Responses
Faculty and student services	93.62% 44
Providing open access materials	100.00% 47
Creating revenue streams	8.51% 4
Making special collections materials available	59.57% 28
Institutional repository	87.23% 41
Contract to publish for another organization	17.02% 8
Total Respondents: 47	

#	Other (please specify)	Date
1	By special collections, we mean both collections held within the rare book and manuscript library but also original collections that may be acquired by faculty members and other authors. By "contract to publish" we include projects that are partnerships with other presses (e.g., university presses). We use our institutional repository as a publishing platform (not just as an archive).	12/9/2014 1:10 PM
2	We are just getting formally started, but we've been assisting with content hosting, preservation, and dissemination for a long time. Now, we are starting a more structured service that will facilitate the creation of a broader range of publication types. Much of our work is consulting with creators on the type of publication they want to create (whether they do that with us or with a different publisher).	12/2/2014 1:08 PM
3	Our publishing activity is also part of a larger goal to pursue new roles for librarians. As such, we are also collaborating with our library school to design a publishing course for MLS students.	11/26/2014 3:14 PM

Q4 If no to Question 2, have you considered starting a publishing program and decided not to?

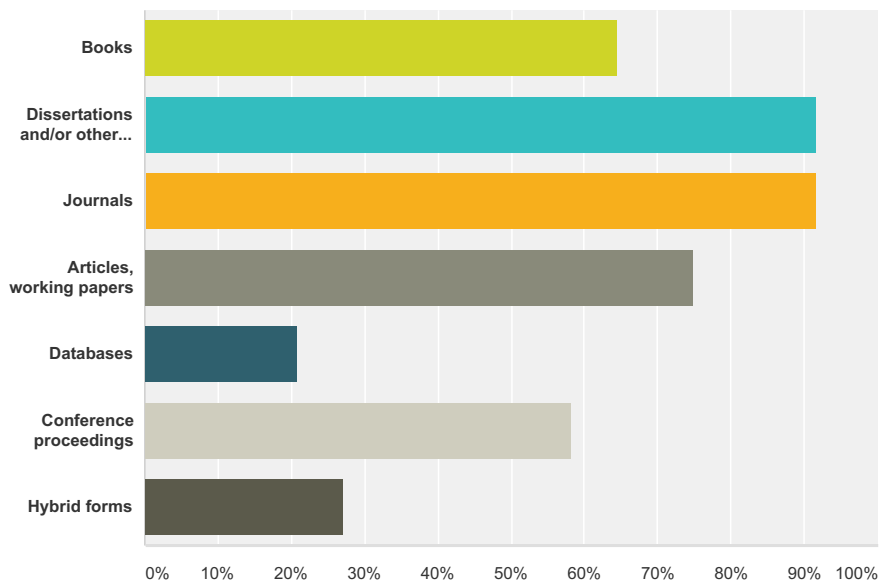
Answered: 1 Skipped: 47



Answer Choices	Responses
Yes	0.00% 0
No	100.00% 1
Total	1

Q5 What types of materials do you publish? Check all that apply.

Answered: 48 Skipped: 0

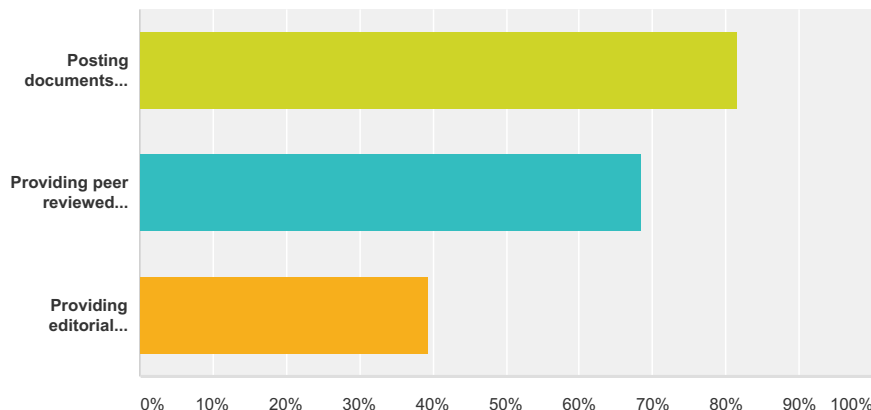


Answer Choices	Responses
Books	64.58% 31
Dissertations and/or other student publications	91.67% 44
Journals	91.67% 44
Articles, working papers	75.00% 36
Databases	20.83% 10
Conference proceedings	58.33% 28
Hybrid forms	27.08% 13
Total Respondents: 48	

#	Other (please specify)	Date
1	Special collections materials	12/10/2014 5:25 PM
2	Examples of "hybrid forms" * Companion Web sites featuring original content for other formally produced / non-OA publications. (examples: journal companion sites. digital compendium for a book published with a university press. enhanced ebook version of print works) * Data published both in and out of the repository is not limited to database form (e.g. Twitter archive. source code) * Web-based published materials are archived with the Internet Archive as well.	12/9/2014 1:10 PM
3	Special digital content	12/2/2014 10:59 AM
4	archival material	11/25/2014 9:47 PM
5	Photograph/video collections	11/25/2014 1:02 PM
6	majority are student-authored/reviewed	11/21/2014 12:21 PM

Q6 What level of editorial involvement do you provide for your publications? Check all that apply.

Answered: 38 Skipped: 10

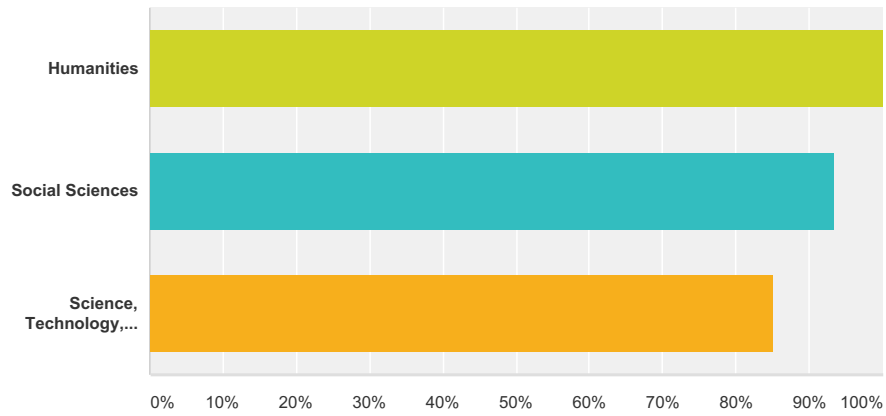


Answer Choices	Responses
Posting documents without peer review	81.58% 31
Providing peer reviewed documents	68.42% 26
Providing editorial services for authors of documents you publish	39.47% 15
Total Respondents: 38	

#	Other (please specify)	Date
1	We provide minimal to no editorial involvement. We do, however, provide the tools for editorial partners to conduct peer-review. The institutional repository is a mediated repository, but peer review is not a function of the repository program. We do provide an editorial consultative service for our publishing partners.	12/9/2014 1:10 PM
2	We provide platforms that have features that allow the content creators to use peer review in their process, or not. We do not assist with their processes, though we will consult on them.	12/2/2014 1:08 PM
3	We only offer the platform and workflow - all editorial and review is done by the Journals editors.	11/24/2014 1:38 PM
4	infrastructure support for journal publishing publishing dissertations and theses in the DR publishing other scholarly work in the DR	11/21/2014 1:47 PM
5	We do not provide editorial support. We host an OJS instance and clearly demarcate our role as hosts of the service, not publishers of the journals. We provide editorial support for questions about using OJS and implementation of OJS journal publishing sites.	11/21/2014 11:10 AM
6	We provide tools for the editors to help them manage their peer review and editing workflows; we do not perform editorial work ourselves.	11/21/2014 10:58 AM
7	The wording of this question is a bit problematic. For the journals we host, the editors conduct appropriate reviews and thus the papers are peer reviewed. However, the library does not participate in managing or conducting the reviews. I believe this is common, but the choice wasn't clear in the question.	11/21/2014 10:51 AM
8	Planning a series of limited edition presentation books to showcase book arts as well as special collections content	11/21/2014 6:51 AM
9	The Libraries do not provide peer review or editorial services. Dissertations and theses, including undergraduate honors theses, are vetted by the departments. Work in journals and conference proceedings published by the Libraries is peer reviewed by people working (likely as volunteers) for the journal or conference.	11/21/2014 6:05 AM
10	The library only hosts the student journal but another unit on campus does the peer review and copy editing.	11/20/2014 10:35 PM
11	We provide support for editors in terms of infrastructure, guidance on copyright, publishing services such as DOIs, uploading of documents, but we do not oversee the editorial process of our publications.	11/20/2014 10:23 PM

Q7 In which of the following subject areas do you publish? Check all that apply.

Answered: 47 Skipped: 1

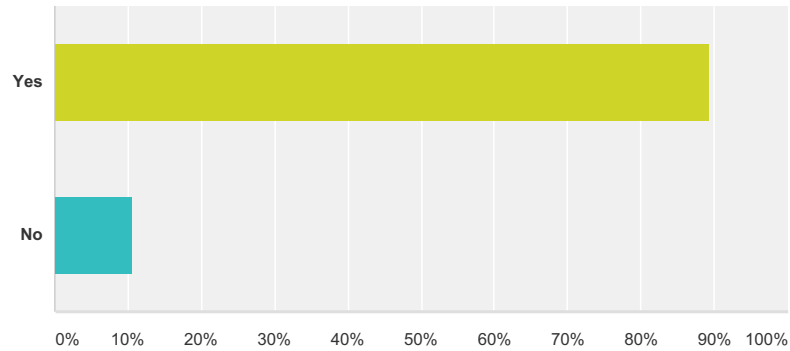


Answer Choices	Responses
Humanities	100.00% 47
Social Sciences	93.62% 44
Science, Technology, Engineering, Medicine (STEM)	85.11% 40
Total Respondents: 47	

#	Other (for example, interdisciplinary topics)	Date
1	Business, education, health and human services	12/10/2014 5:25 PM
2	The real publishers of all content, however, are our partners. We provide technology and consultation.	12/9/2014 1:10 PM
3	Mostly sciences (physics, math, cs). One humanities book series.	12/2/2014 1:55 PM
4	Undergraduate Research, Law	11/24/2014 1:38 PM
5	Area studies and other interdisciplinary topics	11/21/2014 6:51 AM

Q8 Do you collaborate with other units within your institution for individual publishing projects?

Answered: 47 Skipped: 1



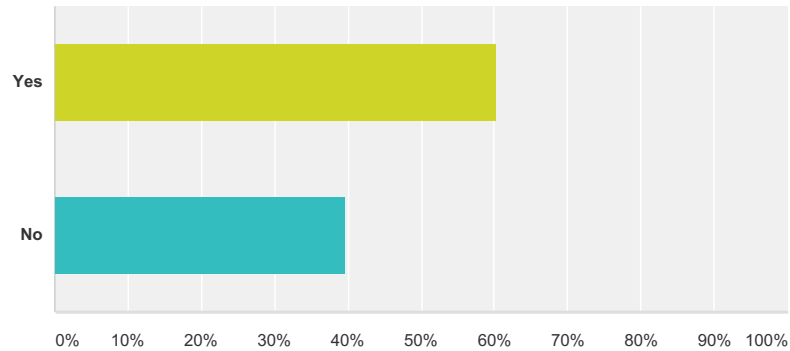
Answer Choices	Responses	Count
Yes	89.36%	42
No	10.64%	5
Total		47

#	If Yes, please specify (for example, individual faculty, institutes, university press, institutional information technology office, etc.).	Date
1	Center for Teaching Excellence; Learning Center; individual faculty	12/10/2014 5:25 PM
2	Individual faculty, individual students and student groups, college museum, IT	12/9/2014 4:40 PM
3	Individual faculty, students, academic departments.	12/9/2014 4:22 PM
4	We are widely collaborative and have projects with faculty, students, institutes, university press, central IT, and our library colleagues	12/9/2014 1:10 PM
5	Graduate school, departments, individual faculty members, students groups, and university press	12/5/2014 7:33 PM
6	Individual faculty; academic support offices (such as Undergraduate Research); academic departments	12/2/2014 4:59 PM
7	University Press	12/2/2014 1:55 PM
8	Individual faculty, other academic departments, other campus offices	12/2/2014 11:13 AM
9	Informally - with departments/faculty who request publication.	12/2/2014 10:59 AM
10	We host an institutional repository where online journals can be delivered, but we do no editing. We are also collaborating with your University Press, but mostly for digitizing projects.	11/28/2014 5:30 PM
11	Individual faculty for both journals and datasets.	11/26/2014 3:14 PM
12	individual faculty/students, graduate college, honors college	11/26/2014 1:18 PM
13	Individual faculty, student organization and programs (such as McNair Scholars)	11/26/2014 12:07 PM
14	Individual faculty, departments, institutes, research centers.	11/25/2014 1:02 PM
15	Faculty, Institutes, students	11/24/2014 4:58 PM
16	All of the examples you cite	11/24/2014 3:00 PM
17	Individual faculty, Office of Undergraduate Research, College of Law	11/24/2014 1:38 PM
18	Grad College - theses and dissertations ; University Press for a few book back runs and books turned into databases ; individual faculty & departments for most other content	11/24/2014 12:39 PM

19	Other academic departments.	11/24/2014 9:08 AM
20	special collections, individual faculty, societies, departments.	11/24/2014 8:54 AM
21	Individual faculty and departments, graduate school	11/21/2014 4:14 PM
22	Graduate Studies	11/21/2014 1:47 PM
23	individual faculty, scholarly communication office, metadata librarians	11/21/2014 1:23 PM
24	university press	11/21/2014 12:29 PM
25	individual faculty honors program german department (conference) undergraduate research conference cmte phi beta kappa	11/21/2014 12:21 PM
26	faculty, departments, centers, national organizations	11/21/2014 11:24 AM
27	We work together with faculty members to publish OJS journals; we also work with the Graduate School to publish ETDs online.	11/21/2014 11:14 AM
28	We collaborate with the graduate school, specific academic departments, and individual faculty members.	11/21/2014 11:13 AM
29	Individual faculty, academic units	11/21/2014 10:58 AM
30	faculty as editors, scholarly societies with local faculty leadership, university press	11/21/2014 10:51 AM
31	Our Dean's office	11/21/2014 8:55 AM
32	We collaborate with largely with faculty and students; sometimes they represent units within the university.	11/21/2014 8:27 AM
33	Peer review for digital scholarship with faculty in other departments/colleges; university press; individual faculty; university colleges, centers and institutes; university administration and alumni association	11/21/2014 6:51 AM
34	individual faculty (for journals and conference proceedings published on behalf of them or societies with which they are affiliated); administrative assistants who track and confirm the vetting of dissertations and theses; the Libraries' digitization lab and IT; sometimes confer with university legal counsel	11/21/2014 6:05 AM
35	Graduate School, individual faculty, individual students	11/21/2014 1:28 AM
36	The writing center for copyediting and peer review	11/20/2014 10:35 PM
37	Individual faculty, institutes, Office of Graduate Studies, Office of Undergraduate Research & Scholarship, Faculty Teaching & Learning Center, Center for Scholarly and Creative Excellence, various academic departments.	11/20/2014 10:23 PM
38	individual faculty, centers and institutes, university press, medical school	11/20/2014 8:55 PM

Q9 Do you collaborate with units outside your institution for library publishing projects?

Answered: 48 Skipped: 0



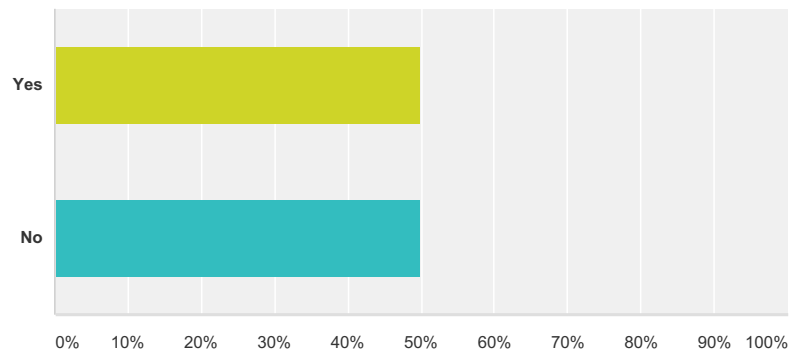
Answer Choices	Responses	
Yes	60.42%	29
No	39.58%	19
Total		48

#	If Yes, please specify.	Date
1	Researcher from another institution working with our special collections.	12/9/2014 4:40 PM
2	Other institutions in our state system, alumni.	12/9/2014 4:22 PM
3	Scholarly societies, university press (not our own), other library colleagues (not at this institution). A number of publication projects that involve editorial oversight outside of our institution.	12/9/2014 1:10 PM
4	Duke University Press	12/2/2014 1:55 PM
5	We are just starting to work on a grant proposal with our University Press.	12/2/2014 1:08 PM
6	Multi-institutional journal called Seneca Falls Dialogues.	12/2/2014 11:13 AM
7	Journals where one of our faculty is an editor.	11/25/2014 9:47 PM
8	We outsource digitization.	11/25/2014 5:23 PM
9	We have a publishing relationship with the University Press of New England.	11/25/2014 1:02 PM
10	Society, ALA ITAL	11/24/2014 4:58 PM
11	Scholarly societies, publishing service providers	11/24/2014 3:00 PM
12	University Press of Florida	11/24/2014 1:38 PM
13	we publish one society title and a couple other titles that are also affiliated with groups outside the institution	11/24/2014 12:39 PM
14	We republish select journals which chronicle local history.	11/24/2014 8:54 AM
15	We have access to Open Journal Systems via Scholars Portal, a division of the Ontario Council of University Libraries.	11/21/2014 1:47 PM
16	centers, laboratories,	11/21/2014 11:24 AM
17	Some of the OJS journals have editorial boards with faculty members at other institutions.	11/21/2014 11:14 AM
18	We have ongoing relationships with a number of scholarly societies whose journals we publish.	11/21/2014 10:58 AM
19	scholarly societies	11/21/2014 10:51 AM
20	OhioLINK ETD repository	11/21/2014 8:55 AM

21	We collaborate with faculty at other institutions and with various organizations. We are negotiating our first collaboration with a university press to publish a journal that is moving from paper to online access.	11/21/2014 8:27 AM
22	We host the Digital Library of the Caribbean which is a collaboration of more than 35 institutions (http://www.dloc.com); we participate in shared digital collections within the State University System; our state-funded service bureau, FLVC, hosts the open journal software which allows the libraries to identify and provide services to support open access journals edited by university faculty, including both titles that are and are not university publications; we participate in two shared digital projects of the Association of Southeastern Research Libraries (ASERL)	11/21/2014 6:51 AM
23	collaborative grant funded projects	11/21/2014 6:05 AM
24	collaboratively host journal publishing software with another state institution, collaborate with an international organization on a journal	11/21/2014 1:28 AM
25	Yes, but only if there is an institutional affiliation. For example, we work with a few society journals because the editors are members of our faculty.	11/20/2014 10:23 PM
26	Support an OA journal financially; contribute to a collaborative book publishing project.	11/20/2014 9:44 PM
27	journal sponsors at other institutions.	11/20/2014 8:55 PM

Q10 Does your institution have a university press?

Answered: 48 Skipped: 0



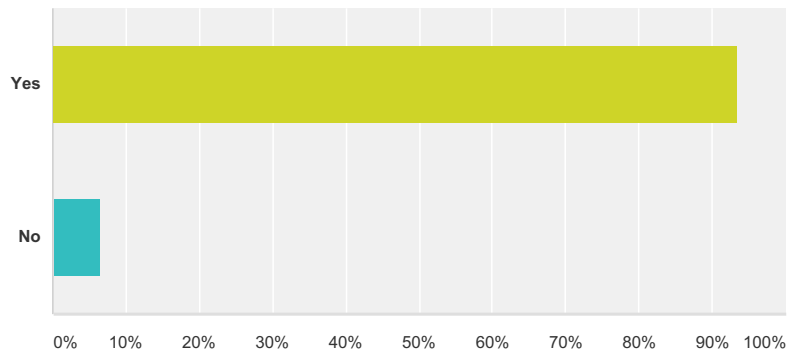
Answer Choices	Responses
Yes	50.00% 24
No	50.00% 24
Total	48

#	If yes, does the university press report to the library?	Date
1	No	12/9/2014 1:10 PM
2	Yes	12/5/2014 7:33 PM
3	No	12/2/2014 1:55 PM
4	No.	11/26/2014 3:14 PM
5	No, the press and the two journals are separate departments.	11/25/2014 5:23 PM
6	No, the press is separately administered, though both library and press are under the Provost	11/24/2014 3:00 PM

7	ITs complicated in Florida. We have a State-wide UP, but it's more affiliated with University of Florida than any other.	11/24/2014 1:38 PM
8	mp	11/24/2014 12:39 PM
9	Yes	11/24/2014 8:54 AM
10	No	11/21/2014 4:14 PM
11	yes	11/21/2014 12:29 PM
12	no	11/21/2014 11:24 AM
13	No.	11/21/2014 11:14 AM
14	no	11/21/2014 11:13 AM
15	No	11/21/2014 11:10 AM
16	No	11/21/2014 10:58 AM
17	No - it is the press for the entire state university system, but its administrative home is at the University of Florida	11/21/2014 6:51 AM
18	No	11/21/2014 6:05 AM
19	Yes	11/20/2014 8:55 PM

Q11 Do you create metadata for your publications?

Answered: 47 Skipped: 1



Answer Choices	Responses
Yes	93.62% 44
No	6.38% 3
Total	47

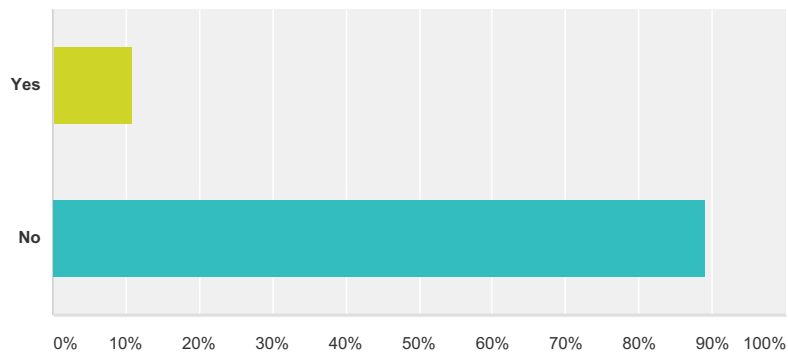
#	If yes, for which kind of publications? Who creates the metadata and to what standard?	Date
1	Sometimes the faculty member provides it, sometimes the repository manager creates it...either way, it's unfortunately quick and dirty, and we rely on the repository platform's excellent SEO to make things findable :-)	12/10/2014 5:25 PM
2	Journals, undergraduate honors theses, special collections materials. Library staff and individual authors both create metadata. Standards set per publication by Digital Collections unit based on bepress/Digital Commons template (Dublin Core compliant).	12/9/2014 4:40 PM

3	Digital repository metadata	12/9/2014 4:22 PM
4	All. Metadata is a component of all our of publication partnerships, but the standard used varies with the project. MODS is the metadata standard for all materials published through the institutional repository. HighWire tags are used for most of our Web publications to ensure optimal discovery in Google Scholar and elsewhere.	12/9/2014 1:10 PM
5	For technical and research reports, and image galleries A librarian and a library technician create the metadata that is sufficient for a basic description of the items.	12/5/2014 7:33 PM
6	All kinds -- created mostly by Digital Publishing Librarian based on Dublin Core	12/2/2014 4:59 PM
7	For the most part, those submitting content create the metadata. Submitters included individual researchers, and journal/book publishers and/or editors. We occasionally create metadata internally.	12/2/2014 1:55 PM
8	Again, we are working to provide platforms with features that allow and assist the content creators to develop metadata around their publications.	12/2/2014 1:08 PM
9	book gallery - cataloger, theses, closed run journals - various librarians, etc. Dublin Core.	12/2/2014 11:13 AM
10	Locally digitized collections have the appropriate brief metadata. Other publications' metadata is in Dublin Core format.	12/2/2014 10:59 AM
11	Sometimes to assist a journal that we host in our institutional repository.	11/28/2014 5:30 PM
12	Our metadata/cataloging unit supplements the metadata for both ETDs and journal article deposits. MODS and LCSH are our standards.	11/26/2014 3:14 PM
13	varies	11/26/2014 1:18 PM
14	We create metadata open access textbooks, Undergraduate Honors theses, faculty publications, student publications, and theses and dissertations. Library staff in charge of managing the repository create the metadata and we use Dublin Core.	11/26/2014 12:07 PM
15	We use bepress, so I guess it's Dublin Core. For everything.	11/25/2014 9:47 PM
16	A librarian creates Dublin Core records. For each item, we have a title and creator, but other fields may be empty depending on the item.	11/25/2014 5:23 PM
17	Library staff create or enhance user-created metadata for all publications.	11/25/2014 1:02 PM
18	Metadata specialists, MODS	11/24/2014 4:58 PM
19	Depends on the publication. Metadata is mostly provided by the editors/curators, but in some cases the library will help choose the proper standard, train people, and in some cases create the records.	11/24/2014 3:00 PM
20	We don't meet any specific standard although we try to follow best practices and map to DC and OAI Metadata is made by a variety of people, with the library staff (catalogers and library assistants in otyher departments) confirming/cleaning up as needed	11/24/2014 12:39 PM
21	We re-create metadata provided on print publications.	11/24/2014 9:08 AM
22	Some metadata is user generated (institutional repository) and others are system generated (journals)	11/24/2014 8:54 AM
23	All kinds of publications. We create the best metadata we can using the platforms we use and often we catalog items in RDA, as well.	11/22/2014 1:59 PM
24	Some, not all. Honestly the list is to granular and lengthy to elaborate on.	11/21/2014 4:14 PM
25	Some of it is created as part of our DR submission forms, other metadata is user-generated I don't know the standard	11/21/2014 1:47 PM
26	Yes, for publishing digital projects and journals. Typically the project manager is in charge of making sure the metadata are created. The standards are determined by the kind of publication; we may use geographical metadata for a mapping project or Dublin Core for an exhibit-based publication.	11/21/2014 1:23 PM
27	Dublin Core metadata and MARC catalog records are created by digital libraries division staff for items added to UNT Digital Library. For publications receiving an ISBN, library publishing staff create metadata in Bowker's database.	11/21/2014 12:29 PM
28	for all - students submit metadata, we supplement if needed. for faculty work (post-print), we supply all metadata based on publication information.	11/21/2014 12:21 PM

29	author, title, abstract, isbn, issn, citations, copyright info created by depositor or administrator OCLC cataloging, Dublin Core, AACR2	11/21/2014 11:24 AM
30	We create metadata for certain items in our institutional repository.	11/21/2014 11:14 AM
31	The graduate students submitting ETDs create their own metadata, using the upload form that we have customized for our IR. In all other instances, the library is responsible creating metadata records.	11/21/2014 11:13 AM
32	We create Dublin Core for the publications we distribute through our institutional repository. For the publications hosted on Open Journal Systems, the authors provide metadata for their submission, which we sometimes edit for consistency.	11/21/2014 10:58 AM
33	theses and dissertations - library staff, Dublin Core; journals - editorial staff, OJS templates; other collections - library staff, Dublin Core	11/21/2014 10:51 AM
34	library cataloging dept.; MARC or Dublin Core	11/21/2014 8:55 AM
35	All of our publications have metadata. Sometimes it is created by the submitter and sometimes our staff and student workers create it. We largely use Dublin Core extended, ETD-MS, and COinS.	11/21/2014 8:27 AM
36	All digital publications have descriptive and technical metadata created before and during digitization by catalogers and curators or by authors/depositors during self-deposit in the institutional repository. E-books, journals and print publications are cataloged, usually by cataloging department.	11/21/2014 6:51 AM
37	Dublin Core for materials in the institutional repository (IR); metadata created by the IR manager	11/21/2014 6:05 AM
38	We created catalog records for our journals and monographs	11/21/2014 1:28 AM
39	The metadata is customized for the needs of the journal. No specific standard is followed.	11/20/2014 10:35 PM
40	Yes, for some. A library staff member creates them using Dublin core.	11/20/2014 10:23 PM

Q12 Do you spend funds to market your publications?

Answered: 46 Skipped: 2

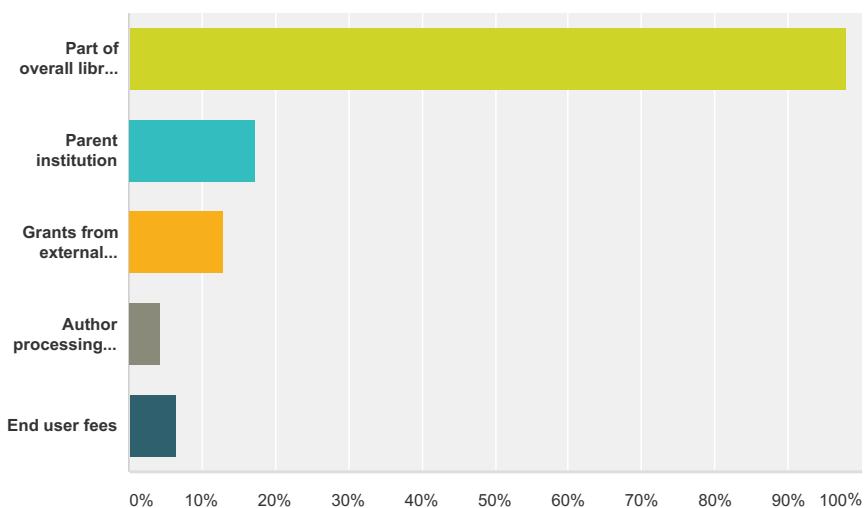


Answer Choices	Responses	
Yes	10.87%	5
No	89.13%	41
Total		46

#	If yes, does library or client pay?	Date
1	Library (with severe limitations). Clients are told up front the level of marketing the library can provide and it is recommended they supplement our marketing efforts in ways they are able/comfortable.	12/9/2014 4:22 PM
2	We have a full time communications person whose duties include the marketing of the publications of our partners and of the content within the institutional repository.	12/9/2014 1:10 PM
3	Not yet.	12/2/2014 1:08 PM
4	We don't - but we submit publications to indexes as appropriate.	12/2/2014 10:59 AM
5	Not yet.	11/25/2014 1:02 PM
6	Content owners do marketing for their own publications. We advise, but it's mostly up to them to execute.	11/24/2014 3:00 PM
7	Library has purchased postcards to market our institution's journal.	11/22/2014 1:59 PM
8	library - in-kind	11/20/2014 8:56 PM

Q13 How is your publishing program funded? Check all that apply.

Answered: 46 Skipped: 2



Answer Choices	Responses	Count
Part of overall library budget	97.83%	45
Parent institution	17.39%	8
Grants from external institutions	13.04%	6
Author processing charges	4.35%	2
End user fees	6.52%	3
Total Respondents: 46		

#	Other (please specify)	Date
1	If counting arXiv, then contributions from member organizations.	12/2/2014 1:55 PM
2	To publish journals, we ask for a "launching" fee. Where professional societies are involved, we ask for an annual support fee.	11/26/2014 3:14 PM
3	Journal that does not belong to our institution will pay a fee over three years for start up.	11/22/2014 1:59 PM
4	Sales of POD & Kindle (Amazon & Lulu.com)	11/21/2014 11:24 AM
5	A combination of indirect cost money from the campus and foundation (external) funding.	11/21/2014 11:13 AM
6	Use of endowment and other donor funding; modest membership support for collaborative projects, such as dLOC	11/21/2014 6:51 AM
7	volunteer labor of editors...glory	11/20/2014 8:56 PM

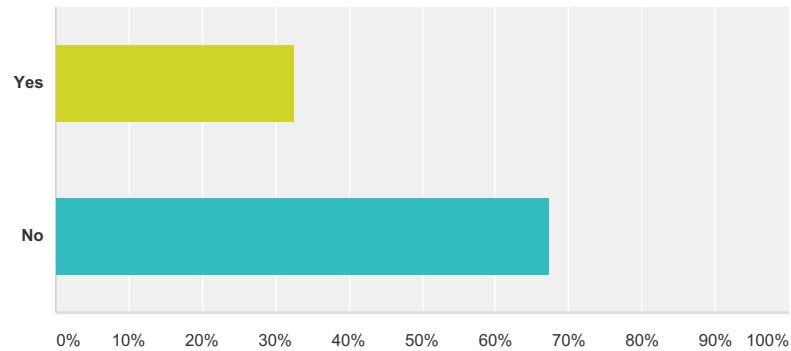
Q14 If you checked more than one item in Question 13, please indicate the relative percentage of the funding budget that each item currently provides. For example, parent institution=50%, end user fees=50%.

Answered: 14 Skipped: 34

#	Responses	Date
1	Parent institution (Digital Commons fees): ~40% Library budget (staff time, equipment): ~60%	12/9/2014 4:40 PM
2	75% Grants 20% Overall library budget 5% Parent institution	12/9/2014 4:22 PM
3	Overall library budget: 3% Parent institution: 77% Grants: 2% APC: 1% End user fees: 17%	12/9/2014 1:10 PM
4	N.A.	12/5/2014 7:33 PM
5	library=20%, grants=20%, contributions=20%, subscriptions=40%	12/2/2014 1:55 PM
6	Library 90% Institution 10%	11/22/2014 1:59 PM
7	Library budget = 95%, grants = 5%	11/21/2014 1:23 PM
8	We are just getting started, so I don't have enough data yet to give a figure for how much we collect in author fees versus staff salaries.	11/21/2014 12:29 PM
9	25% per partner; cost is split between library, president's office, provost's office and center for teaching & learning	11/21/2014 12:21 PM
10	parent institution - 5% external foundation - 95%	11/21/2014 11:13 AM
11	75% library budget 25% grants	11/21/2014 8:55 AM
12	90% currently library budget; 10% donor funds (One print publication is being funded by a college but unable to estimate cost/percentage at this time)	11/21/2014 6:51 AM
13	Grant funded projects are intermittent. Most library publishing is funded by the Libraries.	11/21/2014 6:05 AM
14	70% library budget, 30% end user fees	11/20/2014 8:55 PM

Q15 Do you expect the ratios among revenue sources listed in questions 13 and 14 to change over time?

Answered: 40 Skipped: 8

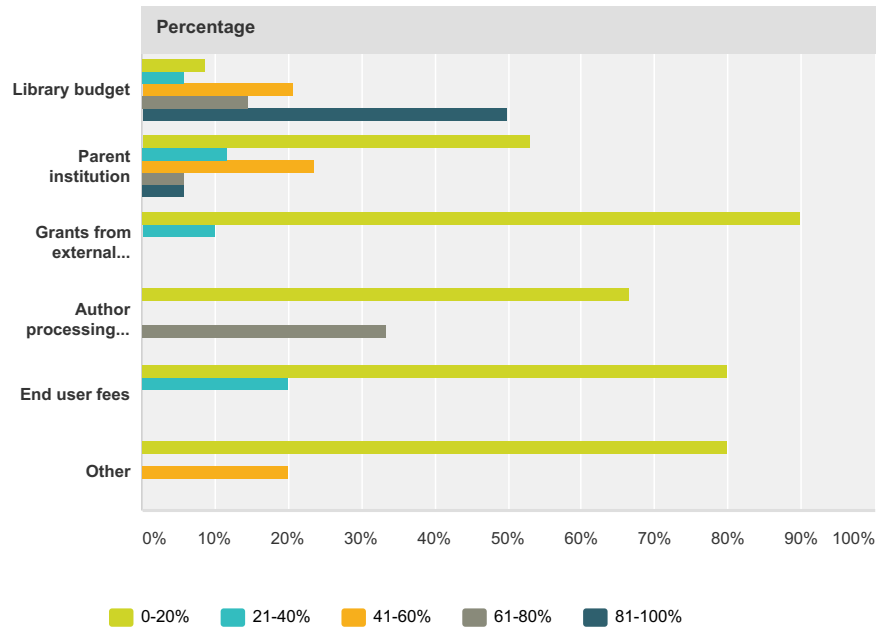


Answer Choices	Responses	
Yes	32.50%	13
No	67.50%	27
Total		40

#	If Yes, what do you expect will change?	Date
1	Library budget will soon be expected to cover all expenses. We may explore charging "client" departments for certain publishing services.	12/9/2014 4:40 PM
2	Significant grant funding will expire next year. However, grants represent mainly incentives for authors and reviewers, so operational budgets will not change.	12/9/2014 4:22 PM
3	Grants to increase. Parent institution support to decrease.	12/9/2014 1:10 PM
4	I expect that authors will self-fund some features we won't provide services around (e.g., theming, graphic design, copy editing, indexing, etc.).	12/2/2014 1:08 PM
5	We may attempt to recover some costs from journals we are hosting if our costs increase significantly.	11/24/2014 3:00 PM
6	I don't know, but we plan to publish more books and I suspect that will change the equation.	11/22/2014 1:59 PM
7	More will come from author processing charges, especially if staff salaries end up being offset by grants to work on other projects.	11/21/2014 12:29 PM
8	We hope that the parent institution will assume more of the costs.	11/21/2014 11:13 AM
9	We expect increased investment in technology and editorial implementation support - both human and equipment costs will rise as we take on more journals.	11/21/2014 11:10 AM
10	It is possible we will add the capability to charge author fees or do other types of cost-recovery in the future.	11/21/2014 10:58 AM
11	less from grants, more from library budget	11/21/2014 8:55 AM
12	We expect to increase collaborative projects with other colleges/departments with cost sharing and to increase donor support; we are also planning to offer print-on-demand versions of some e-books for a modest fee/income generation, but all will be available digitally for open access.	11/21/2014 6:51 AM
13	More revenue from end users in form of sales income and charge backs for services rendered.	11/20/2014 8:55 PM

Q16 What would be the target percentage distribution among revenue sources in a sustainable, ongoing program?

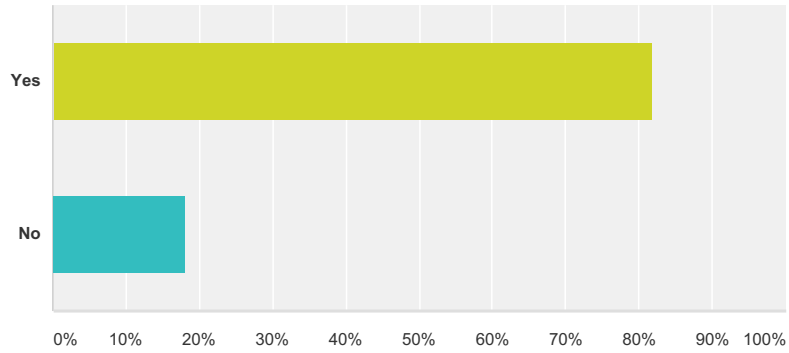
Answered: 35 Skipped: 13



Percentage						
	0-20%	21-40%	41-60%	61-80%	81-100%	Total
Library budget	8.82% 3	5.88% 2	20.59% 7	14.71% 5	50.00% 17	34
Parent institution	52.94% 9	11.76% 2	23.53% 4	5.88% 1	5.88% 1	17
Grants from external institutions	90.00% 9	10.00% 1	0.00% 0	0.00% 0	0.00% 0	10
Author processing charges	66.67% 2	0.00% 0	0.00% 0	33.33% 1	0.00% 0	3
End user fees	80.00% 4	20.00% 1	0.00% 0	0.00% 0	0.00% 0	5
Other	80.00% 4	0.00% 0	20.00% 1	0.00% 0	0.00% 0	5

Q17 Are current revenues from all sources sufficient to sustain your library's current publishing program?

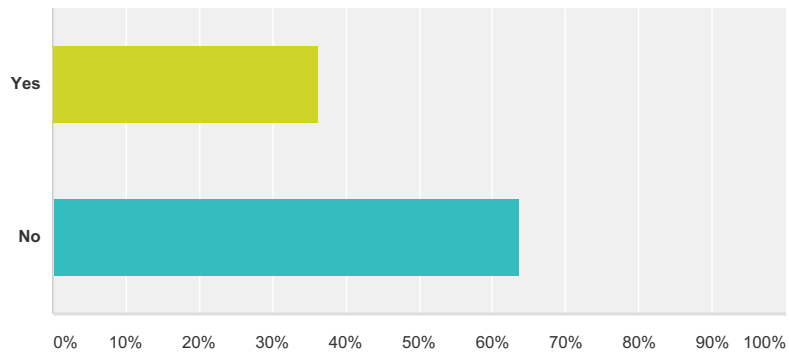
Answered: 44 Skipped: 4



Answer Choices	Responses	
Yes	81.82%	36
No	18.18%	8
Total		44

Q18 Are current revenues from all sources sufficient to grow your library's current publishing program?

Answered: 44 Skipped: 4

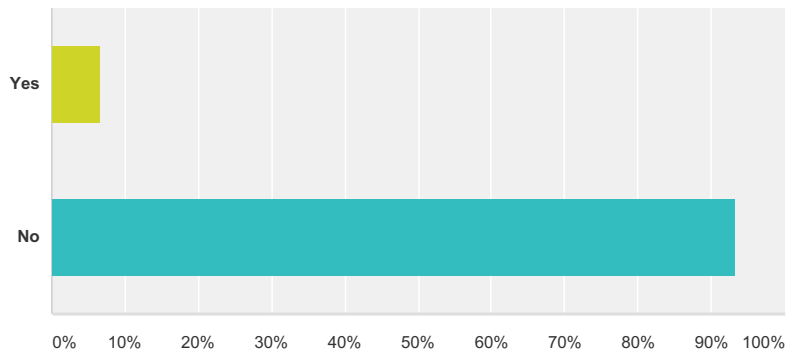


Answer Choices	Responses	
Yes	36.36%	16
No	63.64%	28
Total		44

#	Please comment if you wish	Date
1	We spend a significant amount on the publishing platform itself, and then another significant amount so that a librarian can oversee it...and then we won't commit any staff time whatsoever to actually posting material in the repository. So "sustain" in q.17 should be understood to mean just enough to allow administration to say "look at us, we have a publishing program!"	12/10/2014 5:25 PM
2	We do have more work than can be handled with the resources currently available. To grow, we will need additional support.	12/9/2014 1:10 PM
3	Need additional staff	12/2/2014 4:59 PM
4	At this time they are. We are just launching the formal service and piloting some publications so we aren't sure what the scope will be fully yet.	12/2/2014 1:08 PM
5	I think we have to take a somewhat different perspective. We do not ask this question about reference services. For example, are current revenues sufficient to sustain reference services? Is publishing going to be a core service in the library? If so, it should be covered by the library budget.	11/26/2014 3:14 PM
6	We are hoping to receive institutional support in the future.	11/25/2014 1:02 PM
7	We are currently only staffed for a limited publishing operation. Staffing would need to grow if the program grows.	11/24/2014 3:00 PM
8	We need to add staff to really increase our publishing program, especially services we can offer	11/24/2014 12:39 PM
9	As a library director, I am committed to open access publishing. Our program does not cost much, but it uses a lot of my time. Also, as other parts of the library budget increases, it may become hard to maintain any budget for publishing. I do not want to begin author process charges, but I may ask if author's or other's could contribute to our publishing fund to help maintain the budget.	11/22/2014 1:59 PM
10	We will need to reallocate budget dollars from other areas of service that are now requiring less investment from us.	11/21/2014 11:10 AM
11	sufficient for modest growth only	11/21/2014 10:51 AM
12	No revenues at this time and we don't expect revenues to fully fund the publishing program in the next 3-5 years. The primary purpose of the publishing program is scholarship, not revenue.	11/21/2014 6:51 AM
13	Need people/positions	11/20/2014 8:56 PM

Q19 Does your parent institution require that the library publishing program either break even or generate a surplus?

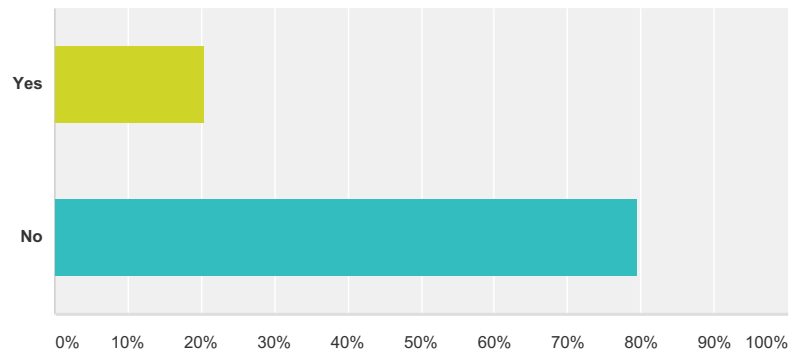
Answered: 45 Skipped: 3



Answer Choices	Responses	
Yes	6.67%	3
No	93.33%	42
Total		45

Q20 If the continuation of a particular project required either imposing or increasing end user fees, would you favor doing so?

Answered: 44 Skipped: 4



Answer Choices	Responses	
Yes	20.45%	9
No	79.55%	35
Total		44

Q21 Please offer any other comments or suggestions. Thank you for your participation!

Answered: 8 Skipped: 40

#	Responses	Date
1	The split in no.16 would be so that the college itself is acknowledging it's valuable to have a publishing program.	12/10/2014 5:25 PM
2	Why do you have a question #22? This survey implies that you're either doing it and it's established, or you're not. We have a lot of start-up pilots going on here while we conceptualized the full service model. It was hard to answer those things that are "in the works" but not fully-operationalized.	12/2/2014 1:08 PM
3	We would like to explore offering more services, but that would require more costs in terms of personnel.	11/28/2014 5:30 PM
4	End user fees lowers usage, and is never going to recoup costs. It's not like there is high demand for some old photos of the university. It's better to run at a small loss than to raise costs and administrative time by trying to implement billing, only to drive usage down to practically nothing.	11/25/2014 5:23 PM
5	We are just getting started with the development of a formal library publishing program so it is difficult to accurately answer some of these questions.	11/25/2014 1:02 PM
6	Your definition of "publishing" in question 3 is very broad, and made it difficult to answer any of the other questions in meaningful ways. For example I wouldn't consider digitized special collections and institutional repository "publishing" per se.	11/24/2014 3:00 PM
7	All our publishing is online, open access with open-source platforms. Other questions you might think about are "what does the library pay for in it's publication project" and "how much is the library's publications program allied with one individual." I worry that it is my strong commitment (and that of my electronic resources librarian) to open access that drive the program and I'm concerned about how to make it sustainable when I leave.	11/22/2014 1:59 PM

Appendix C: Current Enterprises

We have derived this spreadsheet from the 2014 and 2015 LPC Directories, to outline at this moment a snapshot of what is now in play in (mainly) North American academic libraries, with some detailed data about personnel, staffing, and character.

Library Publishing Directory

Institutions reporting new information in the 2015 edition have two-line entries with the new information italicized on the second line.

Name of Institution	Primary Contact	Position Title	Website	2014			2015		
				FTE	Student FTE	Student Type	FTE	Student FTE	Student Type
2014-2015 Arizona State	Mimmo Bonanni	Digital Projects Manager Associate Dean for Technology and Tech Services	repository.asu.edu	4.5	1	U	1		
2014 Auburn	Aaron Trehub			3					
2014-2015 Boston College	Jane Morris	Head of SC and Research	www.bc.edu/libraries/collections/eScholarshipHome	2.5			3.5		
2014-2015 Brigham Young	Elizabeth Smart	SC Librarian	sites.lib.byu.edu/scholarsarchive	2	0.5	U	2	0.5	U
2014-2015 Brock University	Elizabeth Yates	Liaison/SC Librarian	www.brocku.ca/library/about-us-lib/openaccess	1			1		
2014-2015 Cal Poly San Luis Obispo	Marisa Ramirez	Digital Scholarship Services Librarian	digitalcommons.calpoly.edu and lib.calpoly.edu/scholarship	2	3	U	2	2	U
2014 Cal Tech	Kathy Johnson	Repository Librarian		1					
2014 Cal State San Marcos	Carmen Mitchell	IR Librarian Head of Archives and Digital Library Initiatives	csusm-dspace.calstate.edu and scholarworks.csusm.edu	1.4	0.5	U			
2014-2015 Carnegie Mellon University	Gabrielle Michalek	<i>Scholarly Communications Librarian</i>	repository.cmu.edu	1.5					
2015 <i>Catholic Theological Union</i>	<i>Melody McMahan</i>	<i>Director of Library</i>	<i>www.ctu.edu/library/publications</i>				1		
2015 <i>Central Washington University</i>	<i>Talea Anderson</i>	<i>Archives and Reference Librarian</i>	<i>digitalcommons.cwu.edu</i>				0.3		
2014-2015 Claremont U. Consortium	Allegra Swift	Digital Initiatives Librarian Assistant Director for Digital Collections	scholarship.claremont.edu and ccdl.libraries.claremont.edu	2			1		
2014-2015 Colby College	Marty Kelly			2	1.5	U	2	1.5	U
2014-2015 College at Brockport, SUNY	Kim Myers	Digital Repository Specialist		1			1.25		
2014 College of Wooster	Stephen Flynn	Emerging Technologies Librarian		1.5	4	U			
2014-2015 Columbia University	Mark Newton	Production Manager	cdrs.columbia.edu	14.5	.5/1.25	G/U	14.5	.5/1.25	G/U
2014-2015 Connecticut College	Benjamin Panciera	Director of Special Collections	digitalcommons.conncoll.edu	1.5			0.5		
2014-2015 Cornell University	David Ruddy	Director, SC Services		7	0.3	U	7.25	0.4	U
2014-2015 Dartmouth College	Elizabeth Kirk	AUL for Information Resources	www.dartmouth.edu/~library/digital	3.75			3.75		
2015 <i>Depaul University</i>	<i>M. Ryan Hess</i>	<i>Digital Services Coordinator</i>	<i>via.library.depaul.edu</i>				3	1	G
2014-2015 Duke University	Paolo Mangiafico	Coordinator, SC Technology	library.duke.edu/openaccess	1.5	0.5	G	1		
2015 <i>Eastern Kentucky University</i>	<i>Linda Sizemore</i>	<i>Scholarly Communications Librarian</i>	<i>encompass.eku.edu</i>				2		
2015 <i>Embry-Riddle University</i>	<i>Chip Wolfe</i>	<i>Digitization Specialist</i>					2.75	1	U
2014-2015 Emory University	Stewart Varner	Digital Scholarship Coordinator		4	6	G			
	<i>Sarah Melton</i>	<i>Digital Projects Coordinator</i>	<i>digitalscholarship.emory.edu/projects/index.html</i>				4	8	G
2014 Florida Atlantic University	Joanne Parandjuk	Digital Initiatives Librarian	www.library.fau.edu/depts/digital_library/about.htm	1	0.5	G			
2015 <i>Florida International University</i>	<i>Jill Krefft</i>	<i>Institutional Repository Coordinator</i>	<i>digitalcommons.fiu.edu</i>				2.5		
2014-2015 Florida State University	Micah Vandegrift	SC Librarian	diginole.lib.fsu.edu	1	1	G/U	1.75	0.5	G

2014-2015	University of Kentucky	Adrian K. Ho	Director of Digital Scholarship	uknowledge.uky.edu				2		2	0.75	G	
2014-2015	University of Maryland College Park	Terry M. Owen	DRUM Coordinator	publish.lib.umd.edu				1	0.5	G	1	0.5	G
2014-2015	University of Massachusetts Amherst	Marilyn S. Billings	SC and Special Initiatives Librarian	scholarworks.umass.edu				2.5	0.5	U	4	2	U
2014-2015	University of Massachusetts Medical School	Rebecca Reznik-Zellen	Head of Research and SC Services	escholarship.umassmed.edu/about.html				1			1		
2014-2015	University of Michigan			www.publishing.umich.edu									
2014-2015	University of Minnesota	Charles Watkinson Joy Kirchner	AUL for Publishing AUL for Content and Collections								17		
2014-2015	University of Nebraska Lincoln	Kate McCready Paul Royster	Publishing Services Librarian Publisher, ZEA Books Coordinator of Scholarly Communications	digitalcommons.unl.edu/zea				2					
2015	University of Nevada Las Vegas	John Novak	Head of Digital Scholarship Strategy	digitalscholarship.unlv.edu							3	3	U
2015	University of New Orleans	Jeanne Pavy	Scholarly Communication Librarian	scholarworks.uno.edu							3		
2014-2015	University of North Carolina Chapel Hill	Will Owen	AUL Tech Services and Systems					2	0.5	G	2	0.05	G
2014-2015	University of North Carolina Charlotte	Somaly Kim Wu	Digital Scholarship Librarian Assistant Dean for Collection Management and Scholarly Communication	journals.uncc.edu				1			1		
2014-2015	University of North Carolina Greensboro	Beth Bernhardt	Dean of Libraries					0.5			0.5		
2014-2015	University of North Texas	Martin Halbert Kevin S. Hawkins	Director of Library Publishing Digital Initiatives Librarian					4	1	G		2.02	
2015	University of Northern Colorado	Jane Monson	Director of Repository Services								1		
2015	University of Oklahoma	David Corbly	SC Librarian	library.uoregon.edu/digitalscholarship				1.25	0.4/0.2	G/U	1.25	0.2	U
2014-2015	University of Oregon	John Russell	Director, Office of Scholarly Communication and Publishing Librarian	www.library.pitt.edu/dscribe				4.5	0.5	G	4.5	.5/.5	G/U
2015	University of Puget Sound	Benjamin Tucker	Head, Scholarly Communications	soundideas.pugetsound.edu							0.1	0.25	U
2015	University of Richmond	Lucretia McCulley	Digital Initiatives Librarian	scholarship.richmond.edu							2		
2014-2015	University of San Diego	Kelly Riddle	Library Operations Coordinator	scholarcommons@usf.edu				1.5	2	U	2	1	U
2014-2015	University of South Florida	Rebel Cummings-Sauls	Associate Dean for SC and Research Services	www.newfoundpress.utk.edu				3	0.25	G	3.25	1.0/.5	G/U
2014-2015	University of Tennessee	Holly Mercer	Head of Digital Creation					1.35	0.5	G	1.7	0.5	G
2015	University of Texas Arlington	Ramona Holmes	Assistant Dean for Collections and Curriculum Support								1.5		
2014	University of Texas San Antonio	Posie Aagaard	Interim Director, ITS	jps.library.utoronto.ca and tspace.library.utoronto.ca				0.1					
2014	University of Toronto	Sian Meikle	Head of Digital Ventures					3.75	2	G			
2014-2015	University of Utah	John Herbert	SC Librarian	journals.uvic.ca and dspace.library.uvic.ca:8443				1			1		
2014	University of Victoria	Inva Kehoe	Head, Digital Initiatives	researchworks.lib.washington.edu				1					
2014-2015	University of Washington	Ann Lally	AUL, Research and Digital Discovery Services					1.5	0.25	G	1.5	0.25	G
2014-2015	University of Waterloo	Pascal Calarco	Information Services Librarian, Scholarly Communications					0.5			1.75	0.1	U
2014-2015	University of Windsor	Dave Johnston	Coordinator	scholar.uwindsor.ca				2			3		
2014-2015	University of Wisconsin Madison	Elizabeth Owens	Special Assistant to VP for Libraries	parallepress.library.wisc.edu				1	0.5/0.5	G/U			
2015	University of Wisconsin Milwaukee	Tim Gritten	AD for User Services	dc.uwm.edu							2	0.5	G
2014-2015	Utah State University	Becky Thoms	Copyright Librarian	digitalcommons.usu.edu				0.15	0.5	U	0.3	0.5	U
2014-2015	Valparaiso University	Jonathan Bull	SC Services Librarian	scholar.valpo.edu				2	1.0/2.0	G/U	1.5	.25/.25	G/U

<i>University of Wisconsin</i>											
2015	<i>Milwaukee</i>	<i>Tim Gritten</i>	<i>AD for User Services</i>	<i>dc.uwm.edu</i>					2	0.5	G
2014-2015	Utah State University	Becky Thoms	Copyright Librarian	digitalcommons.usu.edu	0.15	0.5	U		0.3	0.5	U
2014-2015	Valparaiso University	Jonathan Bull	SC Services Librarian	scholar.valpo.edu	2	1.0/2.0	G/U		1.5	.25/.25	G/U
2014-2015	Vanderbilt University	Clifford B. Anderson	Director of SC	library.vanderbilt.edu/scholarly	2				2		
2014-2015	Villanova University	Darren G. Poley	Interim Director		1.5						
			<i>Scholarly Outreach Librarian and Team Leader</i>							1.5	
2014-2015	Virginia Commonwealth U.	John Duke	Senior AUL	digarchive.library.vcu.edu	0.25						
		<i>Sam Byrd</i>	<i>Digital Collections Systems Librarian</i>	<i>scholarscompass.vcu.edu</i>						0.25	
2014-2015	Virginia Tech	Gail McMillan	Director, Center for Digital Research and Scholarship Services	scholar.lib.vt.edu	1.5				1.25	0.5	U
2014-2015	Wake Forest University	William Kane	Digital Publishing	digitalpublishing.wfu.edu	1				1.25		
			Digital Publishing and Preservation Librarian	openscholarship.wustl.edu	1.5				1.7	0.8	G
2014-2015	Washington University St. Louis	Emily Stenberg	Coordinator, Digital Publishing		3	0.5	G		3.5		
2014-2015	Wayne State University	Joshua Neds-Fox	AUL	ir.lib.uwo.ca	3						
2014	Western University	Karen Marshall									
2015	Western Washington University	Jenny Oleen	<i>Scholarly Communication Librarian</i>	<i>cedar.wwwu.edu</i>						2	

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