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Local, Sustainable, and Organic Publishing: A Library-Press Collaboration at the University of California

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cases, collaborative activity would lack the full commitment of both partners, and the scale, scope, and duration of collaborative projects would be limited.

While libraries are funded by institutional standing budgets, university presses generate most or all of their operating budgets through earned revenue from market activities and must manage their activities overall to balance mission fulfillment and revenue generation. For presses and libraries to partner successfully requires a funding model and financial structure that allows the press to participate without diverting resources from other mission-critical publishing programs. Recognizing the requirements of the press's funding model allows a collaboration to channel subsidies and/or create hybrid revenue-subsidy models that permit the press to participate fully in the partnership.

In many current partnerships, the library and the press implement parallel business models, with the library subsidizing its participation and the press applying a revenue-generating market model. This approach allows each partner to evaluate its participation in the partnership using the same financial approach with which it manages its other activities. However, when market revenue expands a partnership's capacity to achieve its mission, the partners will often find an integrated model — wherein each shares in the financial risk and reward — more effective for achieving the initiative's objectives.

Utility of Business Principles

The aggressive market practices of some commercial journal publishers have tainted the perception of market-based publishing models for many in the academy. However, business processes and market models do have relevance and utility for university-based publishing collaborations. Regardless of whether it uses a subsidy or earned-revenue model, a partnership can benefit from the market orientation that a press brings to the partnership.

University-based publishing collaborations should couple the feedback mechanisms and performance stimulants of market participation with the value-driven goal of mission attainment. While complete reliance on the market and on earned revenue would expose a university-based collaboration to forces that may not align well with its mission and values, ignoring market forces sacrifices the discipline that market participation requires. Insulation from market forces, such as user demand and competitive alternatives, can reduce the relevance and mission value of a partnership's output, lower its operating efficiency, and result in the suboptimal use of resources, even when a partnership operates solely for the benefit of a specific university community.

The Potential of Publishing Partnerships

Balancing the differences — operational, financial, and mission-related — between a press, a library, and other university units can make effective partnering complex. However, addressing these differences constructively as part of a collaborative process will contribute significantly to the strength, creativity, and value of such partnerships. In terms of transformative change to university-based publishing, collaborations that bring together a press and a library hold promise largely because each partner has a discrete perspective on a common problem.

Library-press partnerships can give the academy greater control over the intellectual products that it helps create. To realize this potential, however, publishing partnerships will need to evolve from informal working alliances to long-term, programmatic collaborations that involve considerable interdependence and a shared strategic vision. Such partnerships can be productive, lasting, and transformative. However, to succeed in the long-term, partnerships must effectively balance the interests of all the parties, and that balance requires considerable effort to establish and maintain. **SPARC** hopes that its guide will provide practical guidance to help libraries and presses achieve that balance and define robust partnerships capable of supporting innovative approaches to university-based publishing. 🌿

Local, Sustainable, and Organic Publishing: A Library-Press Collaboration at the University of California

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Libraries and academic presses have historically enjoyed a symbiotic relationship: libraries acquire scholarly materials for their patrons, thus supporting the presses who, in turn, provide the infrastructure for the publication of scholarship that grows out of the research aided by libraries. This model of mutually sustaining and mutually beneficial activity, however, no longer adequately describes the relationship between the library and the academic press in the ever-shifting world of scholarly communications. As libraries find themselves perpetually bombarded by skyrocketing commercial journal prices, a surfeit of published scholarship, and contracting collections budgets, they have gradually curtailed their acquisition of the mainstay offering of the university press: the scholarly monograph. In the wake of this shrinking market for single-author books, university presses have redirected their publishing efforts increasingly toward general interest topics and have become ever more dependent upon individual scholars to support publishing costs. Many libraries have taken up the mantle of open access and continue to challenge traditional scholarly publishing business models with the emergence of institutional repositories that can provide a platform for the publication of everything from born digital, peer-reviewed journals and monographs to the grayest of gray literature. Presses, too, are increasingly keen to redefine their role in scholarly publishing, often seeking opportunities to engage in the publication of emerging projects that defy easy generic or scholarly categorization. The simple symbiosis between the library and the academic press thus looks increasingly like a matrix of competing interests, conflicting business models, and bewildered scholars watching the evaporation of book contracts.

Implicit in this new matrix are challenges to received notions about the lifecycle of scholarly work, the shape of scholarship, and the university's role in the dissemination of its academic output — in other words, a chance for both libraries and presses to redefine and remake their roles in the circulation of academic ideas. At the **University of California**, this opportunity has manifested in the long-standing cooperative publishing efforts between the **California Digital Library** and **University of California Press**. These efforts have spawned open access monographic series; a collection of xml-encoded backlist titles (**eScholarship Editions**); and, most recently, the **Mark Twain Project** online, a digital critical edition of **Mark Twain's** letters and works.

Despite these successes, however, joint publishing activities between the **CDL** and **UC Press** have been episodic and, at times, opportunistic. Faced with unique problems or opportunities, we have explored new terrain and tackled new questions: how might we extend **UC Press's** editorial capacity by creating faculty-staffed editorial boards with

acquisitions responsibilities; how might xml enhance the value and visibility of the scholarly monograph; could the critical edition be better served by a digital format that more closely integrates text and scholarly apparatus? What we had <u>not</u> done, until recently, was approach these problems and opportunities in an organic and systematic fashion. We needed data: where were the emerging fissures in the lifecycle of scholarly communication and how might our joint efforts respond to those gaps in a sustainable and scalable fashion?

Hunting and Gathering: Assessing the Local Publishing Needs of the University

In 2006, **Catherine Candee**, then Director of Publishing and Strategic Initiatives at **CDL**, and **Lynne Withey**, Director of **UC Press**, embarked upon a project to gauge the publishing needs of **UC** scholars and to survey scholarly publishing activities across the university system. **Candee** and **Withey** interviewed vice chancellors for research, deans, librarians, and faculty at all ten **UC** campuses; in addition, **UC Press** and **CDL** teams collected and analyzed a substantial amount of Web research on active **UC** publishing programs. Our findings were outlined in an important study, "Publishing Needs and Opportunities at the University of California," sponsored by **UC's** Systemwide Library and Scholarly Information Advisory Committee. The SLASIAC Report, as it came to be known, revealed a significant amount of publishing activity outside of traditional presses. Some of this publishing was happening within the **CDL's eScholarship** repository, but a good many of these activities were independent of both our organizations. We agreed that facilitating the scholar-to-scholar communication was at the core of both of our missions. Was there a way that we could support these publishing programs? To what extent and in what capacity might they need us?

In response to these findings, the study made five broad recommendations:

1. Establish a university publishing program. Such a program should build upon the existing activities of **UC Press** and **eScholarship**, as well as campus-based programs.

2. Create a system for publishing in alternative formats that would include the following components: selection criteria, editorial and technical development, criteria for determining if the project will be sold or made available on an open access basis, marketing and sales strategies, and maintenance and preservation.

3. Work with campuses to establish local services to assist faculty with publishing options, especially technical advice on digital projects.

4. Begin a systemwide discussion of criteria for evaluating work published

people profile

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BORN & LIVED: Canada, New Hampshire, Missouri, Chicago, London, San Francisco and Oakland.

EARLY LIFE: Disaffected Midwesterner (non-native speaker) who never learned how to pronounce Missouri with a -schwa at the end.

FAMILY: Living in Oakland with my husband and two daughters.

EDUCATION: A.B. in English Literature from the **University of Chicago** and a Ph.D. in English Literature from **UC Berkeley**.

PROFESSIONAL CAREER AND ACTIVITIES: Responsible for overseeing the strategic planning and development of **eScholarship Publishing Services** at the **CDL**. Launched in May 2000, the **eScholarship Program** seeks to provide low-cost, alternative publication services for the **UC** community, support widespread distribution of the materials that result from research and teaching at **UC**, and foster new models of scholarly publishing through development and application of advanced technologies. In addition to supporting the **eScholarship Repository**, **CDL's** publishing services are increasingly offered through collaborative projects with the **University of California Press**, and are a part of **UC's** broader effort to ensure a sustainable scholarly publishing system in the service of research and teaching.

IN MY SPARE TIME I LIKE TO: Spend a lot of time at soccer games. When given the opportunity, I enjoy micromanaging my garden.

HOW/WHERE DO I SEE THE INDUSTRY IN FIVE YEARS: Libraries and presses will continue to become more and more interwoven with time. As universities focus on supporting their research enterprise with internal publishing services, presses will find new business models at home — and both libraries and presses will extend their reach to realms of publishing that engage at a collaborative level with faculty as they design new forms of scholarship.

in nontraditional formats for purposes of tenure and promotion.

5. Analyze the economic issues associated with an expansion of university-based publishing.

These recommendations reflect the strong message **Candee** and **Withey** received during their systemwide interviews that "**UC** faculty would like to see the university play a more active role in blunting the effect of the commercialization of academic publishing, but they will not and cannot risk their own academic lives to make it happen. The university must step in." In other words, it was time for the University to take on some of the responsibility for managing the academic publishing environment. We focused on the concept of the "University as Publisher," and took the report's recommendations as our mandate for a more formalized collaboration.

Benefits of the Harvest: Sustainable Collaboration Planning

Following the report, the **CDL** and **UC Press** set out to define this new form of collaboration. Rather than creating a new organizational structure between us, we wanted to describe a set of activities that would extend

the capacity of both organizations to respond to the publishing needs of faculty across the **UC** system. We hired a consultant and began a business and strategic planning process that forced us to take stock of our organizations' respective goals and priorities. We then explored the strategic benefits and structural hurdles of a formalized collaboration. The opportunities were compelling: extending services to meet the needs of the university, engaging in the problems of tenure/promotion and intellectual property, and developing sustainable business models. The challenges were also considerable: limited resources (increasingly so as the California State budget contracted during our planning phase), distinct publishing agendas, and seemingly incompatible financial structures. The success of our collaboration hinged on finding a model that took neither organization too far afield from its core competencies and strategic plans but, at the same time, enhanced the value of each organization by virtue of its association with the other. We needed to articulate a joint mission, and we needed a roadmap to guide us toward achieving our shared goals.

Engaging in an explicit strategic planning

process provided us with the structure within which to address these needs responsibly. We initially defined the mission of the collaboration as follows: To support the research, teaching, and public service goals of the **University of California** by publishing high-quality, certified **UC**-sourced scholarship in emerging digital research publication genres. We then proceeded to work with our consultant to develop a set of tools for evaluating projects, distributing resources, and funding our efforts. The very act of producing these documents forced us to take a hard look at the point of convergence and divergence for our organizations. We realized that projects that appealed to **UC Press** from a scholarly content perspective did not necessarily mesh well with the technical development resources at the **CDL**. And projects that seemed a good fit for the **CDL's** technical core competencies were not necessarily aligned with **UC Press's** publishing agenda. In many cases, we were evaluating projects that were so innovative both in their technology and their academic methodology that we needed to extrapolate rather significantly in order to get a picture of how we might collaboratively provide value added. After a few months of these conversations, we realized that we were being too ambitious in the early stages of our collaboration. What we needed to do — before we could take on the most complex and pioneering digital publishing projects at **UC** — was to better understand how our core services complemented each other. From there, we could better evaluate the projects that were a good fit for our collaboration in terms of resources, skill sets, mission and academic quality.

An Organic Approach:
UC Publishing Services

Indeed, it was the act of evaluating our current partnership projects and comparing our core competencies that revealed to us a natural and more organic step to a formal collaboration: **UC Publishing Services** (**UCPubS**). **UCPubS** is a joint effort to respond to substantial and often unmet publishing needs and opportunities within the **UC** community, as revealed by our research. The program combines the open access digital publishing services provided by the **CDL** through **eScholarship** with the distribution and marketing services offered by **UC Press**. **UCPubS** represents an effort to provide a suite of publishing services that is robust and flexible enough to support the complexities of content, format, and dissemination that increasingly define the scholarly communications sphere.

We have already developed a working prototype. Originally launched in 2004, **Global and International Archive (GAIA) Books** produces monographs and edited collections that are accessible in open access from **eScholarship** and as print books through **UC Press**. As of 2008, the program has

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BORN & LIVED: California.

EARLY LIFE: Read every book written by **L.M. Montgomery** (*Anne of Green Gables*) multiple times.

FAMILY: Very close and very near.

PROFESSIONAL CAREER AND ACTIVITIES: Director of Digital Content Development at **University of California Press**. Received a B.A. in English from **UC Davis** and have worked at **UC Press** since 1997. During my years at **UC Press** and before taking my current position, I alternately sold to books clubs and special markets, managed the paperback list, worked on revised editions in the *California Natural History Guide* series, and acquired books in poetry and classical studies. I began my book publishing career in the editorial department of **Chronicle Books** in San Francisco. I have given presentations on publishing matters for the **Association of American University Presses (AAUP)**, **UC Berkeley**, **UC Office of the President**, the *Mendocino Writer's Conference*, and the *Community of Writers' Conference*. I was a member of the **AAUP Program Committee** from 2004 to 2006 and the **American Philological Association (APA) Task Force on Electronic Publishing** from 2006 to 2007. Highlights from my recent projects include: **Mark Twain Project Online**; **University of California Publications in Linguistics**, a series of monographs published in both print and open-access digital forms; and a number of print books, including *The Complete Poetry of Cesar Vallejo*, edited and translated by **Clayton Eshleman** and *Caesar's Calendar: Ancient Time and the Beginnings of History* by **Denis Feeney**.

IN MY SPARE TIME I LIKE: Shopping at the farmer's market, cooking wild game, and making sourdough bread.

FAVORITE BOOKS: *Brideshead Revisited* by **Evelyn Waugh**, *Of Human Bondage* by **Sommerset Maugham**, *Love in a Cold Climate* by **Nancy Mitford**, *Omnivore's Dilemma* by **Michael Pollan**, *Emerson: The Mind on Fire* by **Robert D. Richardson Jr.**

PET PEEVES/WHAT MAKES ME MAD: The difficulty in keeping your personal and professional lives separate in the online world.

PHILOSOPHY: Eat well and often.

MOST MEANINGFUL CAREER ACHIEVEMENT: Participating on a panel at the **Charleston Conference**, of course.

GOAL I HOPE TO ACHIEVE FIVE YEARS FROM NOW: Developing a publishing program around innovative online research.

HOW/WHERE DO I SEE THE INDUSTRY IN FIVE YEARS: Either university presses will embrace new technology and offer scholarly content in new forms to researchers and under new business models, or they will follow the music industry and spend all of their resources on trying to protect their territory — unsuccessfully.

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achieved its goal of producing five scholarly books each year. **GAIA** has a separate editorial board that approves books for publication. A publications director develops, edits, typesets, and delivers finished volumes to **UCPubS**. **GAIA** controls the editorial direction and selection of all titles.

UCPubS supports **GAIA's** publishing program with a set of key services. We will now extend these and additional services to other potential publishing partners within **UC**, including centers, institutes, and departments that produce scholarly research materials.

These partners can select from a menu of services designed to address their publishing needs, from digital to print:

- Book and journal publication (electronic/print)
- Preprint and postprint dissemination (electronic)
- Conference proposal management and proceedings publication (electronic/print)
- Multiple/hybrid business models: open access and sales of print

- Scholarly marketing and discovery: listing in **UC Press** catalog, title flyers, indexing with major distribution partners, search engine optimization
- Sales and distribution of print books (order fulfillment, customer service, and accounting services)
- Peer review management
- Persistent access and preservation
- Sales and use statistics

We believe we can more fully address the needs of our constituents by bringing together all the pieces of a digital and print publishing solution, i.e., combining our respective activities into a single, coordinated publishing suite.

Although these services will appear fully integrated to our publishing partners, the **CDL** and **UC Press** will maintain separate operational structures in providing them. Our decision to preserve our distinct organizational identities behind **UCPubS** —rather than forming a joint venture — acknowledges the very real and dissimilar budgetary structures within the press and the library. **UC Press** supports itself chiefly through sales of books and journals, while the **CDL's** work is funded primarily by the **University of California's** Office of the President. As a result, **UC Press** must cover its costs for its print distribution services, whereas **eScholarship** is able to provide its digital publishing services to the **UC** scholarly community free of charge. For both organizations, the new effort leverages current systems and processes and thus requires no additional staffing in the short term. **CDL** and **UC Press** staff meet weekly to coordinate the program, and jointly present publishing solutions to **UC** academic units. We work independently, however, to provide the services requested by these new partners.

While the first iteration of the **UC Publishing Services** program will not deviate far from our current offerings, we anticipate it becoming a seedbed for innovations around new forms of peer review, conferences, social networking, digital distribution, indexing/aggregation, data sets and multimedia, and user-generated content. We believe **UCPubS** represents a real opportunity to help shape a sustainable scholarly publishing system in the service of the **University of California's** research and teaching enterprise. Together, we are better positioned to respond to the publishing needs of the university: the **CDL** is known for providing innovative publishing, discovery, and preservation services within **UC**, while **UC Press** is an established scholarly publisher with a marketing and business infrastructure that reaches well beyond the university. With **UCPubS**, we share these identities and thus extend our capacity to support new scholarship and to raise the visibility of scholarly publishing activities across the **University of California**. 🐝

Learning to Say Maybe: Building NYU's Press/Library Collaboration

by **Monica McCormick** (Program Officer for Digital Scholarly Publishing, New York University Office of Digital Scholarly Publishing) <mjm33@nyu.edu>

New York University is in the early stages of a joint program between the **NYU Press** and the **NYU Libraries**. As of this writing, the **NYU Office of Digital Scholarly Publishing** has existed for just over ten months. With no existing collaborations, but cordial relations and strong motivation, we are starting from scratch. As the first employee of this office, I report to both the library and the press, in a role designed to share the skills and perspectives of each organization with the other. Part of my work is to identify projects on which we can collaborate. This article describes those potential collaborations, which grow out of **NYU's** particular needs and capabilities. Though collaborative efforts will probably work best when they respond to each university's local conditions, I hope to illuminate here some broad issues that may be relevant elsewhere.

Developing the Vision

Over the last few years, the leadership of our libraries and press began a series of conversations about scholarly communications, together with faculty in the humanities and social sciences, and key staff in Information Technology Services. The participants realized that these organizations had overlapping but not identical missions, distinct skills, and very different business models. They shared a set of concerns about providing new services in response to technology-driven changes in scholarly practices and the university's developing global mission, but had no existing means to address them together. The nascent vision at **NYU** was articulated in "University Publishing in a Digital Age" (Ithaka, 2007): "…a renewed commitment to publishing in its broadest sense can enable universities to more fully realize the potential global impact of their academic programs."

Although the **Press** reports to the Dean of Libraries, there had been no joint projects beyond a few books published from particular library collections. Both partners realized that they could benefit from the other's expertise, but neither could spare existing staff to coordinate and lead new efforts. Nor was there a person to take active responsibility for developing and managing such a new program. The Provost's Office at **NYU** provided funding for a single position, reporting jointly to the library and to the press — Program Officer for Digital Scholarly Publishing. The position was created to serve these purposes:

- To bring publishing knowledge and experience into the library, responding to faculty publishing needs in partnership with the staff engaged in digital services and projects, and in consultation with collections and reference librarians.
- To bring the library's experience with digital content (licensing, usability, repository services, etc.) to the press, to support the transition from print books to more hybrid products.
- Most broadly, to contribute to the development of a digital publishing program that will enable the sustainable online dissemination of **NYU**-supported scholarship.

I arrived in the job with experience in publishing and libraries (a dozen years as acquiring editor at a university press, an MSLS, and a relatively brief stint in another library digital publishing venture). My role is to bridge the two organizations, with their different cultures, business models, and modes of operation. The digital publishing program will rely on both partner organizations, along with Information Technology Systems, but there is so far no clearly defined structure for joint activities. The first tasks, therefore, have been to (1) assess our skills, needs, and opportunities; (2) look for projects that will create operational relationships across the collaborating departments; (3) establish a basic set of processes for the services we hope to provide; and (4) gather information from campus departments, centers, and institutes to develop a sharper vision of the program needs.

The Partners

NYU Press is a mid-sized university press, over ninety years old, which publishes about one hundred books per year. The list covers relatively few fields: American history, sociology, law, politics, criminology, cultural studies and media studies, religion, psychology, and anthropology. As most effective publishers do, we focus on our areas of strength, so are simply unable to consider for formal book publication the extraordinarily diverse scholarship produced by the university's faculty that falls outside of these fields.

Notably, **NYU Press** is near the top of the **Association of American University Presses** in the category of titles published per FTE. That is, our staff is extraordinarily efficient and fully engaged in keeping the organization running. This leaves little room to experiment with the workflow, product mix, or title output. We publish no journals, so there is little in-house experience in the transition from print to digital products. Nevertheless, the press is forward-looking and eager to develop our digital capabilities. We have started with the basics: our books are available in **Google Book Search** and **Amazon's** search-inside program, we license our titles through eBook vendors