Abstract: Over the last twenty years, library publishing has emerged in higher education as a new class of publisher. Conceived as a response to commercial publishing practices that have strained library budgets and prevented scholars from openly licensing and sharing their works, library publishing is both a local service program and a broader movement to disrupt the current scholarly publishing arena. It is growing both in numbers of publishers, quality of publications, and numbers of works produced. The commercial publishing framework which determines the viability of monetizing a product is not necessarily applicable for library publishers who exist as a common good to address the needs of their academic communities. Like any business venture, however, library publishers must develop a clear service model and business plan in order to create shared expectations for funding streams, quality markers, as well as technical and staff capacity. As the field is maturing from experimental projects to full programs, library publishers are formalizing their offerings and limitations. The anatomy of a library publishing business plan is presented and includes the principles of the program, scope of services, and staffing and governance requirements. Other aspects include production policies, financial structures, and measures of success.

Keywords: business plan; publishing; academic libraries; open access

1. Introduction

Academic library publishing programs first saw adoption in the early 2000s and have continued to grow over the last two decades (1). Since 2014, the Library Publishing Coalition (LPC), a membership organization made up of majority academic libraries, has increased membership by over 35% and has surveyed 125 academic libraries who identify as actively engaging in publishing. Thirty-six percent of LPC members established their publishing program in the last ten years (2). Beyond the Library Publishing Coalition, “most of the 123 ARL (Association of Research Libraries) member libraries are engaged in publishing or publishing support activities” (3). Libraries started publishing programs for a variety of reasons, including "mission-aligned work for exploring new opportunities in the digital age[...], demonstrating the market for scholarly, peer-reviewed, open access monographs, and empowering the library to engage with and effect changes in scholarly publishing “(3). Although the goals of individual programs may vary, overall, library publishing programs “...are focusing on the capabilities and possibilities of new models” and working to avoid the "replication of traditional publishing services” (4).

Library programs look different at different institutions. The University of Michigan, an early library publisher, founded in 2001 (2), reorganized in 2008 and merged University Press with the Universities Libraries. The Press’ director at the time of the announcement, noted that the merger would help “better align the goals of University of Michigan Press with the goals of the University as a whole.” In additional to the organizational shift, the Press’ budget became one with the Libraries (5). Current University of Michigan Press director, Charles Watkinson continues to emphasis the
benefit of press/library partnerships on campus, especially across economical, sociopolitical, and technological standpoints (6).

When MIT Libraries reorganized in 2016, the Libraries brought together collection strategies, the collection budget, and scholarly communications. Ellen Finnie, Head of Scholarly Communications & Collection Strategy noted, “...the incorporation of the collections budget into our scholarly communications program is part of a broader strategic pivot in which research libraries focus more on “inside out” collections — those in fewer collections, often generated by the university, often unique to that university — and less on “outside in” collections — those we buy from external sources to make available locally, and which appear in many universities’ collections.” MIT’s reorganization also provides the Libraries with new strategies for negotiating content licenses and “…experimental funding for an experimental fund designed to support forward-looking products, services, and models that align with our goals and values.” MIT is using the new structure and approach to determine what shape library publishing will take on campus (7).

For many libraries, publishing services are an extension of a larger suite of scholarly communication offerings, frequently to “...advance a strategic objective of transitioning the library’s collecting activities away from licensing content and towards supporting open access to scholarship” (8.). As of 2018, 82% of programs focused entirely or almost entirely on open access publications (2). Although scholarly communication opportunities in libraries were discussed as far back as 1979, scholarly communication efforts vary greatly across libraries (1). In a 2015 survey, Ithaka S+R found that across 10 surveyed institutions, scholarly communication programs rarely share organizational structures, functions, and objectives (8). The varying makeup of scholarly communication programs, combined with the relatively new, and often experimental nature, of library publishing services, leaves libraries to navigate the complex landscape of publishing. Developing a detailed business plan can help guide a successful library publishing program.

There has not yet been work done to analyze or define business plans of library publishing programs. This article will use the definition of business plan developed by Collier in 2005, and used in his 2010 edited volume, Business Planning for Digital Libraries: International Approaches:

Business planning for digital libraries is here defined as the process by which the business aims, products and services of the eventual system are specified, together with how the digital library service will contribute to the overall business and mission of the host organizations. These provide the context and rationale, which is then combined with normal business plan elements such as technical solution, investment, income, expenditure, projected benefits or returns, marketing, risk analysis, management and governance (9).

The added uniqueness of business planning in library publishing is the open access context in which the majority of library publishing takes place. This paper will first address this context, which requires new ways of thinking and working compared to traditional, for-profit publishing. It is important to note that libraries’ influence on, and participation in, the open access movement continues to evolve.

1.1. Open Access Context: Library Publishing as Disruption

Most library publishers are also firmly aligned with the open access movement which “...had its origins in the crisis in scholarly communication and publishing, which has both caused and is the result of declining collections budgets, more demand for newer, expensive resources, and greatly increased pricing for serials, electronic resources, and other library materials (10).” In response to this situation, the Budapest Open Access Initiative’ Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities focuses on scholarly publishing’s results: to make the knowledge created and published open for reading and reuse. The process of getting there is less straightforward. Some institutions and individual authors attempt to achieve open access through the piecemeal deposit of a copy of the work in an institutional repository. Others rely on author processing fees (or APCs) to create an open copy of the published work. But there is a finite amount of money within scholarly publishing. Expenditures on these “solutions” are not relieving the pressure on library
collection budgets. In the 2017 Monitoring the Transition to Open Access report focused on the UK, the findings (based on a sample of 10 UK universities) suggest that subscription expenditures have grown 20% since 2013 (or an increase of £3 million) while APC expenditures for those institutions grew from £750,000 to £3.4 million. In 4 years, those 10 institutions spent an additional £5.6 million while at the time of publication, 63% of materials remain locked behind a paywall (11). Can library budgets support this production differently? Libraries already support the production through their purchases. Can they instead support the production in a new system where they know and control the costs? Can academia achieve OA while continuing to support commercial models of production?

Luckily for library publishers, libraries do have money. The total expenditures by the 124 Association of Research Libraries members in 2015-2016 on collections was approximately $1.65 billion (6). It is complicated, however, to make space within those budgets. Libraries have allocated their collections resources to commercial publishers. Cancelling titles, or cutting back budgets is painful and requires carefully worded communication, and innovative acquisition strategies (e.g., more leveraging of interlibrary loan, on-demand purchasing, etc.). All of which are bound to upset the faculty. But, the open access movement requires disruption. Richard Poynder, in his Open and Shut blog, writes that “...we learn that the OA movement was a response to the unsustainably high costs of the subscription system and that is was based on a conviction that open access would be a more cost effective way of sharing research - in order words, a system offering improved affordability (12)”. Though his focus is criticism of article processing charges (or APCs) and the “OA Big Deals”, his premise of why libraries are seeking alternatives offers great support for the instantiation of libraries becoming publishers and thereby offering a transparent, cost effective method of the production and dissemination of scholarship. Indeed, in his closing he calls for another solution: “Meanwhile, legacy publishers are moving into the workflow, analytical services, institutional repository, electronic notebook and data services areas of scholarly communication. Every part of the scholarly infrastructure is now threatened with appropriation and domination by large commercial publishers... This is public money being spent on these companies, people. Is it really being spent wisely?”

Library publishers make up only a tiny fraction of the scholarly publishers in existence, but they are attempting to shift the ecosystem. Instead of spending library resources to purchase bundled collections of titles where subscription and production costs are hidden, those resources are now being applied to the production and publication of those works. Libraries are applying funding to support infrastructure for launching new publications that may not have fit into the legacy commercial publishing model. Charles Watkinson writes “If visualized as a spectrum from informal to formal, the formal book (or journal) occupies a narrow space at the right-hand end of the continuum. To its left lie the many other types of publishing and dissemination needs that a campus community may have” (6).

In 2012, the research report “Library Publishing Services: Strategies for Success” noted that “The vast majority of library publishing programs (almost 90%) were launched in order to contribute to change in the scholarly publishing system, supplemented by a variety of other mission-related motivations. The prevalence of mission-driven rationale aligns with the funding sources reported for library publishing programs, including library budget reallocations (97%), temporary funding from the institution (67%), and grant support (57%). However, many respondents expect a greater percentage of future publishing program funding to come from service fees, product revenue, chargebacks, royalties, and other program-generated income (13)”. It is questionable if it is in the best interest of scholarly communications to attempt to continue supporting the business models used by commercial publishers. Libraries are hiring staff, and engaging with third party vendors, to support publishing services that are grounded in providing both technology support for publishing software systems and production services. They are learning about the necessary production work and finding expertise outside of the library to perform required tasks that aren’t typically available within a library’s staff’s skillset. Importantly, they don’t necessarily need to recoup those costs; however, they must spend those dollars judiciously and produce knowledge resources that benefit both their campus and the broader scholarly publishing landscape. Therefore, they need a wholly new business
model that holds them accountable to high quality standards, and fulfills their mission, while also being fiscally responsible agents of the dollars entrusted to them.

1.2. Financial Framework: Cost recovery vs. Library support model

Publishing, wherever it happens, costs money and needs funding sources. A document loaded up on the web or into a repository is not necessarily a publication. Having a reputable authority (a journal or publisher) vet the content, and apply production techniques to that content add value to the published work. The elements that go into a publication are necessary to instill trust and produce high quality scholarship. These cost money that must be spent wisely to fulfill shared goals and needed outcomes. Determining a library publishing program’s budget specifics will be discussed later in this article; however, the financial framework in which libraries operate is important to explore before attempting to determine the aspects of a library publishing business plan.

Libraries rarely attempt cost recovery for services, nor do their governance structures typically expect them to. In the last fifteen years, a review of the literature in: Library & Information Science Source; Academic Search Premier; and Library, Information Science & Technology Abstracts, found very limited discussion on the broader topic of successful, sustainable library finance or budget modeling that incorporates fee-based services in academic libraries. For libraries starting up new publishing services and developing business models, this is perhaps the most important framework to understand and have clarity on. Libraries at academic institutions are considered to be a common good. Academic Libraries have always recouped some of their costs, or even generated a bit of income on limited, outward facing research or document delivery services; but, there are no examples of those services fully supporting the primary mission of collecting and delivering resources in substantive ways. Libraries also have fines and fees for bad behavior (e.g., overdue books, damaged books, lost books, etc.) but those serve as a deterrent (or punishment) rather than offering any substantial budgetary support. As Quinn and Innerd write in their analysis of the integration of Wilfrid Laurier’s University Press into their library, the two services have very different budget models: “In contrast, the library operates under a budget-allocation model provided entirely by the university…. the centrality of the library to the teaching and research mission of the university is generally accepted and understood. The library’s budget has traditionally been based on historical spending and the ability of the library to articulate its need for additional funding to innovate and meet student and faculty demands. The library’s goal is to spend wisely, efficiently, and as fully as possible within the budget provided (14)”. Based on data collected by the Association of Research Libraries, 90% of public university library budgets are from state or institutional allocations (15).

As University presses and Libraries have merged, their approach to financial resources and business models has been a source of tension and illustrates how emerging library publishers differ from all other types of publishers. University presses have well-established models for building and selling content and library publishers are very new to all aspects of publishing. Library publishers, however, are not, and do not need to be university presses. The expectation that publishing services should be self-funded (in whole or part) is clearly tied to the expectations that university presses are expected to recover the majority of their costs (along with limited institutional subsidies in some cases). Graham Stone, in his thoughtful article about “New University Presses” or NUPs, notes that “These new publishing ventures, often based in the library, have harnessed the changes in the digital landscape and the rise of the open access movement to allow them to publish scholarly works, such as journals and monographs.” He goes on to say that “Furthermore, a business model based on scholarly communication rather than profitability, but working on a cost recovery model appears to be contradictory….The Institution/Funder-pays model is the more appropriate model (16)”.

The generally prevailing philosophy and service ethic of libraries, as applied to scholarly publishing, informs the development and support of content dissemination in new and interesting ways that primarily support openness. Libraries typically have missions that aim to provide access to all patrons free from barriers. Egalitarian, justice-oriented principles prevail throughout their value statements and are expressed thoroughly in the American Library Association’s Core Values (17). By their nature and their primary aim, libraries strive to get the information that is needed or wanted
into a patrons hands as quickly and barrier-free as possible regardless of who that person is or what they want to do with the information. Commercial publishers do not have this as their primary mission. Saarti and Tuominen sum this up well when they wrote: “Scholarly interests of sharing collide with commercial interests of generating profits (18)”.

These principles, combined with a base budget that is not reliant on sales or a subscription-based model, allow library publishers to make different decisions than commercial publishers. High quality, but low income producing content that would have been potentially overlooked by scholarly commercial and non-profit publishers now has a potential publisher. Going further, from a library-perspective, it is perhaps unnecessary to assume that items that can be monetized should be monetized. Because of their vision, Libraries can approach original scholarly content as having intrinsic value outside of the commercial viability of that content as product. Additionally, “Limiting services to purely electronic publications offers some significant advantages over print-oriented publishing. Costs are kept low by simplifying production and design and relying on open-source software. Online full-text publishing enables discovery by a wide range of search engines and full-text searching, reducing the need for marketing. Workflows tend to be streamlined and almost all services are highly automated once production commences (4)”.

2. Background and Development of a Library Publishing Program

In the summer of 2014, the University of Minnesota Twin Cities Libraries endeavored to begin offering publishing solutions for campus affiliates. Prior to establishing a formal program, the U of MN Libraries had attempted to provide support for some publishing-type activities on campus. The institutional repository hosted limited amounts of original scholarly journal content, and the University’s blogging system, UThink, also provided technological infrastructure support for similar dynamic scholarly content. The Libraries’ Scholarly Communications Committee provided education on publishing topics and worked to advocate for authors’ rights. Though the Libraries’ efforts to support the expressed needs around publishing activities were scattered, the U of MN Libraries were founding members of the Library Publishing Coalition, and carved out space for a new formal program during the reorganization that took place from 2012-2013.

To put the development of their Publishing Services program into context, the University of Minnesota Twin Cities campus (UMTC) is a large, public, land-grant institution of 51,848 students (Fall 2017: 31,535 Undergraduate, 16,033 Graduate and Professional, and 4,280 non-degree) and 3,911 faculty. As the only research library in the state of Minnesota, University Libraries’ 320 FTE staff support a wide range of learning and research activities and manage a collection of nearly 8 million volumes. The University Libraries comprises 12 physical facilities across all three of the UMTC campus regions which are located in both St. Paul and Minneapolis on both sides of the mighty Mississippi River.

The budget model at the University of Minnesota had a major impact on the shape of this new service. The Libraries are funded through a cost-pool model where every collegiate unit is “taxed” to support centralized services (e.g., IT, libraries, central HR, the provost’s office, etc.). This type of funding model, (which is in play at other institutions of higher education as well), influenced decision-making on which services are offered, as well as the business models to be applied to those services. In the case of the Publishing Services program, supporting the requests and needs of University of Minnesota affiliates was the foremost priority. Publishing outside publications (e.g., titles owned by nonprofit organizations like societies) was questionable: Would it be seen as a wise investment of collegiate dollars? How to support affiliates who are working for publications owned by external organizations? The Libraries need to demonstrate that they are spending their budgeted dollars wisely and in support of the primary, affiliated user population. As a land grant institution, the University also has a mission to support the public (with a focus on Minnesotans).

The anatomy of a library publishing business plan closely mirrors a template for a traditional, stand-alone business. However, because a library publishing program is nested within a larger organization, there are some sections of the business plan that are unique to academia—especially in regards to financials.

The basic outline for a library publishing business plan includes the following sections:

I. Principles of Service
II. Scope of Service
III. Staffing and Governance
IV. Development & Production
V. Financials
VI. Measures of Success

It is important to note, that if the institutional context calls for it, additional sections can be added to the business plan to strengthen alignment. This is especially true for libraries that are venturing into library publishing on an experimental basis—and for libraries that are in the process of advocating for the formalization of a publishing program. Useful additional sections for libraries in these positions include a PEST analysis (political, economic, social, technological) and a SWOT analysis (strengths, weaknesses, opportunities, threats). These sections can further illustrate the rationale behind the development of a publishing program (19).

The finalized business plan should be inclusive and detailed enough that administrators and campus partners can reference the plan and understand the functions and goals of the publishing program. The business plan can also act as a reference when questions arise from clients about the viability and sustainability of a new service. The ability to communicate the structure of and financial commitments of the publishing program is essential to conveying stability, knowledge of process, and boundaries. With the exception of the principles of service, it is expected that the business plan will need additional updates as staffing changes, library priorities shift, and as the program matures and grows.

3.1 Principles of Service

A library publishing business plan is a roadmap for the service. It explains to internal and external partners the details of how the program will travel from point A to point B. Principles of service, in turn, explain to partners why the program is traveling at all. This is the intrinsic lead-in to a library publishing business plan. Principles can touch on themes mentioned earlier in this article, including: transparency, openness, and institutional support.

As a department or service offering of the library, library publishing programs inherit established mission statements, goals, and other strategic planning objectives from the library, and in turn the University. Although these objectives may convey the spirit of the service, a library publishing program will benefit from principles of service that are specific to the program. Developing and adopting principles of service will clearly define a library publishing program, communicate the program’s purpose, and create a shared expectation of goals and outcomes.

Unlike an annual or strategic plan, principles of service should remain true given the, often unpredictable, ebbs and flows of passing years. Principles of service can be considered the “core” of the program and should not depend on a specific project or specific person. Principles should be clear, accessible, and easy to share with clients and partners. Libraries with suites of scholarly communication services can leverage principles of service to help distinguish publishing services from other services offered within the organization. Drafting principles with library colleagues, including perspectives from digital humanities, copyright, and administration, allow for language that works in harmony among other services.

Finally, it is essential that principles of service of a library publishing program align with the library’s and university’s strategic plan. This vertical alignment will ensure not only institutional and administrative buy-in, but will provide a clearer formula for measuring success of the program.
3.2 Scope of Service

An important aspect of a library publishing business plan is clarity on who can receive services, and what types of services are going to be provided. Most library publishers began because of the desires for open content, addressing the “serials crisis, as well as recognizing possibilities that digital publishing offers; however, some offer print-based publishing solutions as well. The type of materials that are going to be published and what supports will be provided to authors and editors will dictate the technologies that need to be licensed, the type and amount of staffing required, and inform what policies need to be in place to guide the publication development process. The depth of services offered depends on the financial and staffing resources available, either through base budget or cost recovery structures. Several aspects must be considered together to determine the final service offerings. The technology options, the staffing levels available, the expertise among those staff, the demand and eligibility for services, and the financial supports dictate what is possible. Clarity on the offerings and options is essential to ensure that the stewardship of the libraries’ budget is done responsibly and transparently.

3.2.1 Types of Publications

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3.2.2 Eligibility

In combination with the type of publications supported, library publishers must determine who is eligible to receive the services. As mentioned at the start of this article, the scope of services at an academic institution may be dependent on the budget structure in place. University presses, which were generally founded before the shift in academic institutions to a more business minded ROI emphasis, typically specialize in different subject areas to determine which authors are most suited to their press’ focus. In contrast, the budget model, and primary mission of libraries will typically nudge the eligibility of services toward institutional affiliates. Or there may only need to be an affiliation in place at the outset of the relationship. There are many questions that need to be addressed when deciding who is eligible including:

- Do only affiliated authors and editors qualify for services?
- Can the service support serial publications that are owned by societies or other non-profit organizations? (Financial support will be examined later in this article.)
- Will departmental or collegiate newsletters, or marketing materials qualify?
- Is peer-review, or editorial oversight, a requirement of all titles?

3.2.3 Teaching or Research Mission

There are also different structures needed if the services are to support both the teaching and research missions of the institution. Should the publishing efforts focus on materials that support teaching, (such as student run publications), or should they be limited to peer-reviewed scholarship? Publications that support the teaching mission require more editorial training due to the
inexperienced and high turnover rate in editors. These can be quality publications, but they obviously result in less prestigious works. At the University of Pittsburgh, these journals are seen to “provide a valuable learning experience for students.” but “...a written plan and faculty involvement are required in order to maintain continuity (10)”. Peer-reviewed, high production value publications demand robust customer support, user-friendly technologies, and innovation and expertise in production and discovery workflows. Additionally, the authors and editors of these types of publications also expect post-production marketing and indexing services. For journals, the more the service focuses on high quality peer reviewed materials, the less likely that a publication of those materials would be owned by the college or university. There are some, but typically they are owned by societies, university presses, or commercial publishers with contributions by authors from across the globe.

3.2.4 Quality

Determining the strength of the publication and the level of quality content is important. Within the scope of service, the business plan can also outline the information on which to base the publication selection decision. A proposal for a new publication could include information about the scope of the publication and description of it’s content. Framing the publications’ content in terms of other literature in the field of study can provide a description of need for that discipline. The editorial board’s credentials, and a description of their peer review process could be required as well. Priority could also be given to publications that align with the strategic goals of the institution.

3.2.5 Service Menu

For some library publishers, the service model is to provide access to publishing technologies without robust production services. These technologies are typically those that support peer review and publication display to readers. Bepress’ Digital Commons, and the Public Knowledge Project’s systems have been popular, somewhat inexpensive, options that allow libraries that lack technology expertise to support the publishing needs of their affiliates without having to necessarily provide the full suite of production services that a commercial publisher may offer. This allows the program to support a greater number of publications; however, publications seeking high-touch support from their publisher may not be satisfied by this level of service in the long term. For journals published in this model, core services typically include the development of a public-facing site that displays and provides access to the contents of the publication; access to software systems to manage the editorial and peer-review functions required for a scholarly publication; and manuscript management system for creating volumes and issues. Additionally, as they get more robust, library publishers offer consultations and policy support on intellectual property rights; creation and management of standard identifiers (e.g., ISSN, DOIs, etc.); usage statistics report for editors and contributors; preservation of digital publications; search engine optimization. Going further, it is important to determine the extent to which graphic design services, theming services, software development, layout and typesetting service, backfile conversion, xml and epub creation, indexing, copyediting, proofreading and other specialized services are provided.

3.3 Staffing & Governance

Though it is highly dependent on the organizational structure of the library, and the scope of services offered, there are core roles that must be filled on any library publishing operation. How those roles are filled varies.

3.3.1 Technologists

Because library publishers are primarily digital publishers, technology leads and system administrators are essential. Whether the library hosts its own technology, or uses a hosted service by a third party vendor, there will be technology requirements that need to be coordinated, investigated, and implemented. Tech savvy staff who understand the systems integrations (e.g.,
generating and assigning DOIs, data flows to indexing systems, preservation system connections, etc.) provide the backbone of most library publishing operations.

3.3.2 Production

Production and project management staff are also needed at various levels. Even the simplest publication needs a public facing site to host and display the publication. More complicated journal publications require additional site architecture and design expertise. Journal publications often have production editors, but those staff may need assistance with article templates, copy editing, and layout work. Monograph creation is more production heavy and highly depends on the technology used to host and present the digital work. If a print work is also being created, additional skills are needed. Similar to selecting a hosted software system, there are options for hiring out this specialized production work to third party vendors. This is often essential as well because of the lack of in-house expertise and the diversity of needs in this area. Finding, and affording, a single staff member who has skills in all production areas (e.g., graphic design, copyediting, typesetting, layout, proofreading, etc.), for all subject areas that are published is unlikely. Additionally, ensuring that staff member’s time is filled can be difficult. Hiring out this work requires finding good third party vendors and having a budget model to support that route. Libraries’ staff who are liaisons to the author or editor’s departments are also often pulled in for subject expertise. Because each type of publication, as well as each individual title, have different needs, each publication development team has slightly different staffing needs that must be addressed within the business model to determine how many publications can be accepted and launched within the allocated resources.

3.3.3 Planners and Administrators

Administration of the service is essential as well. Scoping the service offerings, creating policies, budget planning and oversight, and strategic direction setting are very important aspects of any program, including library publishing. Though many library publishers step into this role as an experiment to fulfill the needs of an affiliated scholar, once a library publishing operation has moved from pilot to program there is a lot of administrative guidance required. Because library publishing can potentially extend in so many directions to support all affiliated scholars’ needs it is essential to have a governance structure in place to prioritize directions.

3.3.4 Scholars

Peer review and editorial boards are also necessary components of the scholarly content development process. Who should be involved, and for what publication types, is dependent on the types of publications supported. Following the university press model, monographs are selected by acquisitions editors, vetted by expert peer reviewers, and accepted by editorial boards. The expectation for peer reviewed journals is that they have robust editorial boards and peer review networks. Beyond this, there is the need for input into the overall program by active, experienced scholars who know the trends in their field. Liaison librarians are able to provide some of this information to the program, but the scholars themselves are necessary to appropriately shape the service offerings and quality. How they are asked to provide this knowledge can vary.

3.4 Development & Production

A variety of policies are required in order to make a library publishing program successful and sustainable. Policies guide decision making and can be referred to by administration or clients when questions arise. The Handbook of Journal Publishing summarized the need for policies best as policies address “what is to be published, how and why” (20). Although an individual library publishing program may have policies unique to the program’s goals and needs, there are a handful of policies that are essential to any publishing program.
3.4.1 Accepting Publications

Whether a publishing program anticipates publishing 1 or 100 publications a year, the program needs to consider how publications will be received by the library publisher. Many publishers use a call for proposals (CFPs) to solicit publications. Using a CFP, even if the respondents are few, enables publishers to advertise their service, while giving guidelines as to what will be accepted. Even for library publishing programs that are experimental, and willing to publishing content with limited traditional publishing options, each program will likely have some limitations—especially involving staffing and technology. For library publishing programs just getting off the ground, and unsure of limitations, consider a CFP with open ended questions, this will enable submitters to describe their project without limiting answers to checkboxes.

Once proposals are submitted, each publishing program will need to determine how proposals are accepted or rejected. Again, the library publisher will want to consider which proposals are actually doable based on staffing and technology. There will likely be publications and projects that just not possible given the program’s available support. For proposals that are viable, each program will need to determine who gets to say “yes” and “no” to publications. This can be done by the staff working in the program, by a committee established by the program, or by library administration.

After a proposal is accepted, the library publishing program will need to develop an MOA (memorandum of agreement) or MOU (memorandum of understanding) for each publication. An MOA/MOU will clearly layout the expectations from each party and can include any necessary legal agreements or policies that are relevant to relationship between publisher and publication. For libraries not familiar with MOA/MOU, consult the institution’s office of general council or contract office.

3.4.2 Rights

Library publishers need clear statements about rights related to each publication. Policies may vary across individual publications, but the publishing program should create policies that address the following:

- Who does the copyright of a publication belong to?
- Who does the title of the journal belong to? (Could an editorial board member find a new publisher and move the journal/book series/conference proceeding?)
- How can the content be used? (This question can be addressed by the addition of a Creative Commons license.)

Additionally, individual publications, especially those with multiple authors, will need to create publication-specific policies to ensure that content within the publication is following copyright and/or licensing policies. As a publisher, it is important to assist editors or editorial boards that are new, or those that have questions related to rights. Set up formal channels of communication and encourage publication editors to reach out for support.

3.4.3 Privacy

User privacy statements need to be included on each digital publication or digital publication access point. Chances are that the publishing program’s selected software, especially if using a hosted solution, will include a privacy policy. Make sure that staff working on publications understand the privacy policies and are able to communicate the policies to users of the platform. For publications that require registration, for readers, authors, or reviewers, make sure that any default privacy statements are correct and that all users are prompted to read the privacy/user agreement before entering any information into the system.

3.4.4 Distribution & Marketing Policies

Because the majority of library publishers publish content that is openly accessible, publishing programs will need to have unique marketing and distribution tactics not as common among traditional publishers and university presses. Setting distribution and marketing policies will clarify
expectations between authors/editors and the publisher. If the publishing program sells print copies of books, will there be a markup fee? Can the author, as the copyright holder, set up their own digital storefront? Even in the world of open access publishing there is a need for policies related to distribution. A library publisher with the staff time and expertise may want to be the party responsible for applying to databases and indexes for each publication. Additionally, the publisher can take the lead on advertising or marketing publications. This may be something that the author/editor does not think of, especially if the publication is available online for free, however, the publisher will want to see a publication attract as many readers as it can. It is never too soon to work with editors/authors to develop a strategy for distribution and marketing, having a policy in place when a potential publication reaches the library publishing program will make any effort much more successful.

3.4.5 Preservation Policies

Preservation of library published continues to be an area under investigation. The Library Publishing Coalition noted that programs are “...making slow but thoughtful progress on digital preservation” (2). Although libraries continue to improve policies around the preservation of library published content, there are a number of approaches that can be taken to ensure that published works are preserved. For some publications, the selected platform may offer included, or available for additional a cost, preservation systems. Public Knowledge Project (PKP) and bepress enable libraries using their platforms to set up accounts through Global CLOCKSS program (Controlled Lots of Copies Keeps Stuff Safe from Stanford University). Additionally, PKP offers a private preservation network available to platform users who are unable to join the Global CLOCKSS program. Portico is also an option for library publishers, and is the most common journal and ebook preservation tool used by libraries to preserve purchased content. Portico requires membership and fees are based on journal or ebook revenue (21).

Regardless of whether or not a library publishing program is connected with preservation tools, a library publishing program should develop a clear policy that can address author/editor questions about both short- and long-term preservation. The policy should also address what content is to be preserved.

- Will the publishing program preserve all publications?
- What about publications that cease or move to another publisher?
- Will a journal’s webpages be preserved, or just PDFs?
- Will InDesign files be preserved, or just EPUBs?

Preservation will likely be a policy that requires the expertise of librarians beyond the publishing program. It is also a policy that will need updating as technologies and best practices change. Editors and authors want a publisher that will look out for published content for the long term, a successful preservation policy should address this.

3.5 Financial Aspects

As mentioned previously, Library publishers have the opportunity to have a radically different budget model than other types of publishers. As libraries start publishing programs to make the shift from acquiring content to creating content, there are decisions about how these activities should be funded and how those funds should be allocated. Academic libraries have developed an alliance with the open access movement, providing support services such as institutional repositories, and developing campus-wide policies to allow for openly available faculty deposits of their works. Libraries are also providing guidance and assistance in navigating the variety of open access requirements recently enacted by funding agencies. Librarians have always provided council on where to publish, and the pros and cons of different publishing venues. These services have always been provided as part of the common good of libraries, as part of their infrastructure.

Library publishing services in contrast have been supported differently at different institutions. In 2016 “…56% of programs relied entirely on the library’s operations budget; in 2017, the percentage had fallen to 48%; this year, it settled in the middle at 50% (2)” . It is unclear how the remaining costs
are covered though they are likely from sales, donations, publication fees back to title owners, etc. Some, like the University of Minnesota Libraries, provides a suite of basic services at no cost to affiliates, and then, in some cases, provides advanced services that need an outside funding source to be provided by the publication. Other institutions limit their services to those that can be supported financially by the library. Further still, some institutions attempt to recover all costs thereby creating a library publishing program that is self-sustaining and not reliant on the health of the library budget.

Regardless of what money is used, the production and presentation of published works costs money. At a minimum, there are system and staffing costs required. As additional services are offered, such as graphic design, copyediting, backfile conversion, and DOI assignment, more resources must be allocated to the program. Who makes the decisions (publishing office vs. author vs. editor) about those elements determines how expensive those line items are. The number of publications that will be accepted and published each year determines what the costs will be and what resources are needed. At the start, these figures must be based on internal demand, but can also be based on the Library Publishing Coalitions’ annual directory information that catalogs the activities of library publishers.

Outlining the financial needs of the program ensures that it will be funded accurately. It also allows the staff to feel confident that their work is important and grounded in the mission of the institution. The previously outlined elements of the business model, (e.g., technologies used, eligibility, scope of services, staffing, production elements, etc.) should have costs assigning to them to ensure resources are allocated in a sustainable manner for the service, and communicate expectations for the number of works that can be produced and the amount of growth possible.

Each individual title should also have a budget assigned to it. Stone refers to these two budget models as programme level planning and publication level planning. Being able to express to authors the resources needed to launch and maintain their publication helps communicate expectations and outlines where they need to partner to provide additional resources for elements or features that are not currently supported by the service.

3.6 Measures of Success

Given the often experimental nature of library publishing, and the lack of longitudinal studies on library publishing, determining measures of success for a library publishing program can be a challenge. Measures of success will be determined based on each publishing program’s principles of service and the institution’s mission and vision.

Publishing programs may find measures of success tied to individual publications and projects. Measures of success for individual publications, especially those available free of cost, and therefore not being measured based on revenue, frequently fall into three general areas:

- **Sustainability**: Is the publication able to recruit reviewers, editors, and authors? Is the publication meeting publication-specific goals?
- **Scalability**: Is the publication able to respond to increased readership? Are editorial workflows keeping up with an increase in content?
- **Visibility**: Is the publication attracting readership? Is the publication being cited? Is the publication included in disciplinary-appropriate indexes?

Given the diversity of library publishing portfolios, measures of success do not always work when tied to specific publications, especially books and other non-serials, whose content is not likely to grow over time. Measures of success for the overall publishing program “…must also be able to demonstrate that they are fulfilling the traditional roles of scholarly publishers (22)”. Although, some library publishers have principles of service that may vary drastically from “traditional publishers,” it is important for a successful publishing program to meet the needs requested by publishing clients. With that in mind, the same measures of success used to evaluate individual publications can be used to measure the success of the overall publishing program:

- **Sustainability**: Is selected technology still meeting publication needs? Are publishing staff able to maintain developed workflows?
• Scalability: Is there a growth in number of publications? Are additional services being added as requested?

• Visibility: Is there campus awareness of the publishing program?

Additionally, staff in library publishing should be aware of other measures of success that are used across library services. If a publishing program has services that include outreach and education, consider meeting with colleagues in library information literacy units to determine appropriate evaluation metrics for publishing services that extend beyond publications. Measures of success is another section of a library publishing business plan that can benefit greatly from vertical alignment with the library.

4. Conclusion

More and more libraries are engaging in library publishing in order to try to meet the goals of the open access and improve scholarly communication. Libraries have always been the stewards of the financial resources that fund the creation and production of scholarship. As libraries responsibly entering the realm of publishing their success requires a clearly articulated and well thought out business plan that communicates the principles, approach, and strengths of libraries as publishers. Experimentation is useful as a starting point, but as library publishing matures, strong business plans will help allow academic institutions to trust in this new future direction being traveled by libraries.


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