1 *Article*

2 # Developing a Business Plan for a Library Publishing

3 # Program

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

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

24

25 **1. Introduction**

26   Academic publishing, fueled by the boom of digital internet technologies, has created space for
27 new types of publishers, including library as publisher. Because of the growth of new library
28 publishing programs, and the distinctiveness of scholarly communication approaches across
29 institutions, this paper advocates for the creation and adoption of business plans within library
30 publishing programs. The foundations of library publishing are presented, along with examples of
31 current library publishing programs. This paper walks through a business plan template that can be
32 used by current and future library publishers. Readers working in established library publishing
33 programs that currently lack a business plan, and readers who are considering launching a library
34 publishing program, will find a number of guiding questions for each section of the included business
35 plan template. Finally, the authors hope that this paper engages the entire library publishing
36 community and increases the number of publicly available library publishing business plans.

37 **2. Development of Library Publishing Programs**

38   Academic library publishing programs first saw adoption in the early 2000s and have continued
39 to grow over the last two decades [1]. Since 2014, the Library Publishing Coalition (LPC), a
40 membership organization made up of mostly North American academic libraries, has increased
41 membership by over 35%, and has surveyed 125 academic libraries who identify as actively engaging
42 in publishing. Thirty-six percent of LPC members established their publishing program in the last
43 ten years [2]. Beyond the Library Publishing Coalition, "...most of the 123 ARL (Association of
44 Research Libraries) member libraries are engaged in publishing or publishing support activites" [3].

45 Libraries started publishing programs for a variety of reasons, including "mission-aligned work for
46 exploring new opportunities in the digital age[...], demonstrating the market for scholarly, peer-
47 reviewed, open access monographs, and empowering the library to engage with and effect changes
48 in scholarly publishing "[3]. Although the goals of individual programs may vary, overall, library
49 publishing programs "...are focusing on the capabilities and possibilities of new models" and
50 working to avoid the "replicat[ion of] traditional publishing services" [4].
51   For many libraries, providing publishing services is an extension of a larger suite of scholarly
52 communication offerings, offered frequently to "...advance a strategic objective of transitioning the
53 library's collecting activities away from licensing content and towards supporting open access to
54 scholarship" [5]. Although libraries addressing scholarly communication issues was discussed as far
55 back as 1979, scholarly communication service efforts vary greatly across libraries [1]. In a 2015
56 survey, Ithaka S+R found that across 10 surveyed institutions, scholarly communication programs
57 rarely share organizational structures, functions, and objectives [5]. The varying makeup of
58 scholarly communication programs, combined with the relatively new, and often experimental
59 nature, of library publishing services, leaves libraries to newly navigate the complex landscape of
60 open access publishing.
61   Unlike other scholarly communication services within a library where the costs have been
62 typically been absorbed by assigning new duties to existing staff, or hiring new staff with new skill
63 sets, the expenditures made on behalf of publishing activities are requiring creative thinking to
64 ensure that the necessary elements that transform a document into a publication (e.g., having a
65 reputable authority vet the content, applying production techniques to the content, making the
66 published work available through distribution networks, etc.). These early days of library publishing
67 are seeing an examination of which elements that go into creating a publication are necessary to instill
68 trust and produce high quality scholarship while also examining how those activities should be paid
69 for. Business planning for library publishing examines both of these elements.

70 *2.1. Open Access Context: Library Publishing as Disruption*

71   Most library publishers firmly align with the open access movement which "...had its origins in
72 the crisis in scholarly communication and publishing, which has both caused and is the result of
73 declining collections budgets, more demand for newer, expensive resources, and greatly increased
74 pricing for serials, electronic resources, and other library materials [6]." As of 2018, 82% of library
75 publishing programs focused entirely or almost entirely on open access publications [2]. The
76 Budapest Open Access Initiative' Berlin Declaration on Open Access to Knowledge in the Sciences
77 and Humanities focuses on scholarly publishing's results: to make the knowledge created and
78 published open for reading and reuse. The process of getting there is less straightforward. Some
79 institutions and individual authors attempt to achieve open access through the piecemeal deposit of
80 a copy of the work in an institutional repository. Others rely on author processing fees (or APCs) to
81 create an open copy of the published work. But there is a finite amount of money within scholarly
82 publishing. Expenditures on these "solutions" are not relieving the pressure on library collection
83 budgets. In the 2017 *Monitoring the Transition to Open Access* report focused on the UK, the findings
84 (based on a sample of 10 UK universities) suggest that subscription expenditures have grown 20%
85 since 2013 (or an increase of £3 million) while APC expenditures for those institutions grew from
86 £750,000 to £3.4 million. In 4 years, those 10 institutions spent an additional £5.6 million while at the
87 time of publication, 63% of materials remain locked behind a paywall [7]. A growing number of
88 libraries are now asking, can library budgets support the production of scholarly publications
89 differently? Can they instead support the production in a new system where they know and control
90 the costs? Further more, current conversations ask, can academia achieve its open access aspirations
91 while continuing to support the commercial models of production [8]?
92   Although library publishers make up only a tiny fraction of the scholarly publishers in existence,
93 they are attempting to shift the ecosystem. Instead of spending library resources to purchase bundled
94 collections of titles where subscription and production costs are hidden, some institutions are
95 applying a portion of those resources to the production and publication of those works. Libraries are

96   allocating funding to support infrastructure for launching new publications that may not have fit into
97   the legacy commercial publishing model. Charles Watkinson writes "If visualized as a spectrum from
98   informal to formal, the formal book (or journal) occupies a narrow space at the right-hand end of the
99   continuum. To its left lie the many other types of publishing and dissemination needs that a campus
100   community may have" [9].

101   In 2012, the research report "Library Publishing Services: Strategies for Success" noted that "The
102   vast majority of library publishing programs (almost 90%) were launched in order to contribute to
103   change in the scholarly publishing system, supplemented by a variety of other mission-related
104   motivations. The prevalence of mission-driven rationale aligns with the funding sources reported for
105   library publishing programs, including library budget reallocations (97%), temporary funding from
106   the institution (67%), and grant support (57%). However, many respondents expect a greater
107   percentage of future publishing program funding to come from service fees, product revenue, charge-
108   backs, royalties, and other program-generated income" [10]. It is questionable if it is in the best
109   interest of scholarly communications to attempt to continue supporting, or adopting, the business
110   models used by commercial publishers. Libraries are hiring staff, and engaging with third party
111   vendors, to support publishing services that are grounded in providing both technology support for
112   publishing software systems and production services. They are learning about the necessary
113   production work and finding expertise outside of the library to perform required tasks that aren't
114   typically available within a library's staff's skillset. Importantly, they don't necessarily need to recoup
115   those costs; however, they must spend those dollars judiciously and produce knowledge resources
116   that benefit both their campus and the broader scholarly publishing landscape. Therefore, they need
117   a wholly new business model that holds them accountable to high quality standards, and fulfills their
118   mission, while also being fiscally responsible agents of the dollars entrusted to them.

3. Institutional Budget Models and Their Impacts

120   Libraries, and U.S.-based academic libraries in particular, typically receive the majority of their
121   funding from state appropriations, tuition, and grant awards. Based on data collected by the
122   Association of Research Libraries, 90% of public university library budgets are from state or
123   institutional allocations [11]. The type of budget model used at an institution, and how that model
124   determines the process by which money is allocated to units, will likely have an impact on the services
125   offered by the library. Some budget models have disincentives for attempting cost-recovery for
126   operations while others make it politically difficult to serve "clients" that are not directly affiliated
127   with the university. Additionally, an institution's budget model can have an impact on how library
128   publishing services are funded. A variety of different budget models used in institutions of higher
129   education are explained very well in <u>Budgets and Financial Management in Higher Education</u> by
130   Margaret J. Barr, George S. McClellan. As listed in column 1 of Table 1, the book's authors detail the
131   types of structures used at institutions of higher education. Examining these structures, the authors
132   of this article outline some potential impacts on starting or funding a library publishing service in
133   column 2.

134   **Table 1.** Higher Education Institution Budget Models

Type of Budget Models This column based on, *Budgets and Financial Management in Higher Education* [12]	**Potential Effect on Library Publishing Programs**
AllFunds - Emphasizes a holistic goals-oriented perspective. Takes into account all sources of revenue and expense. Facilitates the monitoring of resource allocation in pursuit of institutional goals.	May need library publishing to be seen as an institutional goal, or there is a related goal of transforming scholarly publishing. Cost-recovery income may be considered "revenue" that is scoped.

Formula - Relies on the use of specified criteria in allocating resources. Development of the formula is critically important. Retrospective in nature.	Formulas are typically developed at a very high level (based on enrollments, or facilities costs) so the overall library budget could fluctuate. Cost recovery may be difficult if units cannot keep their own income.
Performance Based - Allocation of resources premised on attainment of performance measures. Strength in linking state priorities for higher education to resource allocation.	Performance measures are often tied to graduation or job placement rates. Library publishing may not be seen as contributing to those performance measures. Cost recovery may be difficult if units cannot keep their own income.
Incremental - Establishes across the board percentage changes in expenditures over current budget based on assumptions regarding revenues for coming year.	Assuming the library is allowed to reallocate funds internally, this would allow for the development and growth of library publishing. Cost recovery revenues may affect future allocations.
Initiative-Based - Requires units to return portion of their budgets for the purposes of funding new initiatives. Units apply to the pool to support new initiatives.	Requires successful application to begin, or grow services. Growth may need to be self-funded through cost-recovery activities if the initiative funding is one-time vs. recurring.
Planning, Programming, and Budgeting Systems - Premises on tightly integrating strategic planning, budgeting, and assessment. Decisions are a function of identified challenges and opportunities, weighing risk/reward ratios, and monitoring performance.	Similar to Performance Based. Cost-recovery income may difficult if units cannot keep their own income. Requires a great deal of planning and staff to calculate and monitor the work.
Responsibility Center - Locates responsibility for unit budget performance at the local level. Units are seen as revenue centers or cost centers. Units are allowed to retain some portion of end-of-year budget surplus.	Other revenue-generating units are "taxed" for library services making it difficult to do additional cost-recovery. Increased scrutiny on serving externally-owned publications which may require complete cost recovery when serving societies/non-profits. More likely that the program/library would be able to keep cost recovery revenues in their own budget.
ZeroBased - Each item in the budget must be justified at the time the budget is developed. Assures active monitoring of the link between institutional activities and institutional goals	Library publishing must be a goal of the institution. Requires a great deal of staff effort each year to justify the programs' existence.

136   Prior to determining the scope of service, or the financial structure of the publishing program,
137 questions about the institution's budget model that should be asked include:

- 138   Does the institutions' budget model prevent cost-recovery activities?
- 139   If costs are recovered, and revenue is generated, does that money need to be given back to
- 140   the university?
- 141   Are allocated or revenue generated funds scooped at the end of the year (i.e., spend or return
- 142   to the university)?
- 143   Can the library's publishing unit support external publications? Or, for political reasons, does
- 144   there need to be a university affiliation with the publication?
- 145   Does the university recognize the benefits of library publishing? What case needs to be made
- 146   that library publishers are necessary, effective disruptors to the current scholarly publishing
- 147   environment?
- 148   How can library publishing get an initial allocation? Can it be done at the library level or the
- 149   university level?
- 150   How can library publishing tie it's goals to that of the institution's? Does the university have
- 151   a mission to support the public (e.g., land-grant mission)?

152   *3.1. Content Creation as Service*

153   The financial framework in which libraries operate is important to explore before attempting to
154 determine the aspects of a library publishing business plan. Libraries at academic institutions are
155 considered to be a common good. They allocate substantial resources to building collections through
156 traditional collection development activities in order to provide content to users without charge.
157 Libraries typically have missions that aim to provide access to content to all patrons free from
158 barriers. Egalitarian, justice-oriented principles prevail throughout their value statements and are
159 expressed thoroughly in the American Library Association's Core Values [13]. By their nature and
160 their primary aim, libraries strive to get the information that is needed or wanted into a patrons hands
161 as quickly and barrier-free as possible regardless of who that person is or what they want to do with
162 the information.
163   Academic Libraries may recoup some of their costs, fine patrons for late, damaged, and lost
164 books, or generate income on services such as outward facing research or document delivery services;
165 however, there are no examples of those charges or services fully supporting the primary mission of
166 collecting and delivering resources. As Quinn and Innerd write in their analysis of the integration of
167 their university press into the library: "...the library operates under a budget-allocation model
168 provided entirely by the university…. the centrality of the library to the teaching and research
169 mission of the university is generally accepted and understood. The library's budget has traditionally
170 been based on historical spending and the ability of the library to articulate its need for additional
171 funding to innovate and meet student and faculty demands. The library's goal is to spend wisely,
172 efficiently, and as fully as possible within the budget provided" [14].
173   This philosophy and approach applies to nearly all scholarly communication oriented services
174 provided by academic libraries: data curation and management, digital scholarship support,
175 institutional repository services, digital library development, research consultations, etc. This
176 prevailing philosophy and service ethic of libraries can also be applied to scholarly publishing in
177 libraries. When doing so, it informs the development and support of content dissemination in new
178 and interesting ways that primarily support openness rather than cost recovery. Commercial
179 publishers are reliant on serving their shareholders, not content users. Saarti and Tuominen sum this
180 up well when they wrote: "Scholarly interests of sharing collide with commercial interests of
181 generating profits" [15].
182   In the instances where University presses and Libraries have merged, their differing approaches
183 to financial resources and business models has been a source of tension and illustrates how emerging
184 library publishers differ from all other types of publishers. Because nearly all types of publishers in
185 the past have been expected to recover the majority of their costs (along with limited institutional
186 subsidies in the case of society publishers and university presses), it is challenging to consider a

187 publishing program that doesn't assume cost recovery as a necessity. Library publishing, however,
188 when seen as an active library-supported collection development strategy, is presenting that
189 challenging question to the scholarly community. Graham Stone, in his thoughtful article about "New
190 University Presses" or NUPs, notes that "These new publishing ventures, often based in the library,
191 have harnessed the changes in the digital landscape and the rise of the open access movement to
192 allow them to publish scholarly works, such as journals and monographs." He goes on to say that
193 "Furthermore, a business model based on scholarly communication rather than profitability, but
194 working on a cost recovery model appears to be contradictory….The Institution/Funder-pays model
195 is the more appropriate model" [16].
196 Conversations within libraries about philosophy, and the need for cost recovery are essential in
197 the development of library publishing business plans.

198 **4. Library Publisher Program Examples**

199 **Table 2.** Three Case Studies of Library Publishing Programs

Institution #1: University of Minnesota Libraries – Publishing Services
https://www.lib.umn.edu/publishing/about
Operates separately from the University of Minnesota Press which is housed in a different administrative unit at the institution. Administratively separate from the institutional repository, data repository, & digital humanities.

Principles:	Scope & Eligibility:	Staffing & Financials:	Development & Production Services:	Public Business Plan:
Library involvement is critical to advancing transparent scholarly and academic publishing practices. UMN Libraries have a commitment to Open Access, scholar-led publishing where creators maintain copyrights.	Publishes journals, monographs, dynamic scholarly serials, and course materials. No APCs allowed. U of MN affiliates and scholarly societies may apply to publish content with the University Libraries. Proposals reviewed biannually.	Director; Publishing Services Librarian; Development & Technology Staff; Publishing Services Coordinator. (3.5 FTE Total). External vendors used for production tasks. Funding Sources: library operating budget (75%); library materials budget (25%). Other financial information not available.	Basic Services (hosting, preservation, etc.) offered without charge to affiliates. Hosting charges apply to society-owned publications. Production (e.g., copy editing, typesetting, graphic design, etc.) and development charges apply to all publications.	Not Available

Institution #2: University of Michigan Libraries – Michigan Publishing Services
https://www.publishing.umich.edu/services/
Operates within the same office as the University of Michigan Press. The Press reports up administratively to the library and functions as a traditional university press. Also administered in the same office as the institutional repository.

Principles:	Scope & Eligibility:	Staffing & Financials:	Development & Production Services:	Public Business Plan:
MI Publishing Services staff are experts in scholarly publishing and "help increase the visibility, reach, and impact of scholarship." Emphasis on open access formats that advocate for author rights through new digital publishing models to ensure wider knowledge sharing.	Publishes books, journals, conference proceedings, digital projects, and course materials in print and electronic forms. Focus: Support for University of Michigan affiliates.	Publishing Services Director; Publishing Services Librarian; Publishing Services Coordinators; Community Manager (7 FTE Total). University Press and external vendors are used when needed. Funding Sources: library operating budget (50%); sales and hosting revenue (30%); charge backs (20%). Other financial information not available.	Full suite of services offered including: hosting, editing, typesetting, design, formatting (e.g., pdf, epub, OCR, etc.), digitization, web design, preservation, print on demand, Charges apply to most services.	Not available.

Institution #3: University of Pittsburgh Library System E-Journal Publishing
https://www.library.pitt.edu/e-journals
Operates separately from the University of Pittsburgh Press which is housed in a different administrative unit at the institution.

Principles:	Scope & Eligibility:	Staffing & Financials:	Development & Production Services:	Public Business Plan:
Committed to helping research communities share knowledge and ideas through Open Access electronic publishing. They subsidize the costs of electronic publishing so that their "partners can focus on editorial content and scholarly collaboration".	Publishes Open Access eJournals. APCs allowed but no journals currently charge them. Focus: Publications that have: rigorous peer-review; an internationally recognized editorial board; a robust staff; and publish selectively from an open call for papers. No U of Pittsburgh affiliation required.	Director, Digital Repository Manager, Electronic Publications Manager, Library Specialists (4 FTE) Funding sources: library operating budget (75%); charge backs (25%). Other financial information not available.	Design services, assignment of standard identifiers, social media connections, analytics, consultations on editorial and management, indexing, archiving and preservation.	Not available.

200   ¹ Description of the library publishing program's principles, scope, eligibility, staffing financials,
201   and services based off of program's listed website.

5. Creating a Business Plan to Library Publishing

There has not yet been analysis or work done to define business plans for library publishing programs. This article uses 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 [17].

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, the financial section varies based on a university's budget model (discussed in Section X) and their library's approach to funding these services. The authors of this paper recommend that libraries first identify the university's current budget model prior to writing a library publishing business plan.

The basic template 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 [18].

The template used in this paper does not include a section on technology. Publishing technologies, specifically open source publishing technologies, are constantly growing in number and functionality. The authors highly recommend conducting a review of available publishing platforms. The Library Publishing Coalition offers members and non-members a number of resources on available technologies. (https://librarypublishing.org/)

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.

5.1 Principles of Service

249   A library publishing business plan is a roadmap for the service. It explains to internal and
250 external partners the details of how the program will travel from point A to point B. Principles of
251 service, in turn, explain to partners *why* the program is traveling at all. This is the intrinsic lead-in to
252 a library publishing business plan. Principles can touch on themes mentioned earlier in this article,
253 including: transparency, openness, and institutional support.
254   As a department or service offering of the library, library publishing programs inherit
255 established mission statements, goals, and other strategic planning objectives from the library, and
256 in turn the University. Although these objectives may convey the spirit of the service, a library
257 publishing program will benefit from principles of service that are specific to the program.
258 Developing and adopting principles of service will clearly define a library publishing program,
259 communicate the program's purpose, and create a shared expectation of goals and outcomes.
260   Unlike an annual or strategic plan, principles of service should remain true given the, often
261 unpredictable, ebbs and flows of passing years. Principles of service can be considered the "core" of
262 the program and should not depend on a specific project or specific person. Principles should clear,
263 accessible, and easy to share with clients and partners. Libraries with suites of scholarly
264 communication services can leverage principles of service to help distinguish publishing services
265 from other services offered within the organization. Drafting principles with library colleagues,
266 including perspectives from digital humanities, copyright, and administration, allow for language
267 that works in harmony among other services.

268 *5.2 Scope of Service*

269   One of the most challenging sections of the business plan, and the section most likely to change
270 as the service is updated, is the scope of service. This section should address specific services that the
271 library publishing program will provide, it could also highlight related services that the program will
272 not provide. (For example, the library publishing program will not manage the inventory of print
273 publications.) Additionally, this section is the section that will likely have the most dependencies
274 with other sections. For established programs, this section will likely be a formal write-up of currently
275 provided services within the program. For newly developed programs, this section should include
276 the services that the program is ready to offer, and exclude services that the program hopes to provide
277 in the future. Generally, this section should address the following questions:
278   • What type of publications will be published?
279   • Which authors/editors are eligible?
280   • What level of service will be provided to each publication?
281 Each of these questions requires a deeper consideration based on selected technologies, availability
282 of staffing/personnel, and cost.
283   The most common types of publications published by library publishing programs are journals,
284 monographs, and textbooks. However, as digital publishing tools grow, and the definition of
285 scholarship broadens, programs may become publishers of increasingly difficult to categorize modes
286 of scholarship. No matter the breadth of publication types, libraries should consider:
287   • What technologies will be needed to host and produce each type of publication?
288   • Are there other library or campus programs that currently serve the needs of the identified
289   publication type?
290   • Will publishing staff be available to assist the editors of publications on an on-going basis
291   (serials) or for only a limited time (monograph)?
292   • What is the average cost associated with each type of publication? Are these one-time costs
293   or on-going?
294   Identifying the type of eligible clients for the publishing program will help the library build a
295 customer profile for a marketing base. Even though the program may not be "selling" the final
296 outputs, identifying *who* the service is for, will help communicate the program's principles of service
297 to the appropriate audience. In specifying the programs' eligible clients, libraries should further
298 consider:
299   • Does the library's mission focus on serving affiliated users?

300   • Does the program have a discipline speciality or focus?
301   • Can the program's selected technology work with affiliates and non-affiliates? Or are there
302   EZproxy or Shibboleth requirements?
303   • Can the library and/or university budget cover expenses of non-affiliates?
304   • Will the program prioritize the works of different groups? (e.g., faculty, graduate students,
305   undergraduates)

306   Across all the above mentioned points, is the question of what level of service the program will
307   provide. This may be one of the harder questions to answer for a program that is just developing.
308   However, once one publication is published, a program can run a project post-mortem to help
309   identify how the skill sets of the individuals staffing the publishing program was leveraged and how
310   much time went into the publication. Similarly, this question can also be answered throughout the
311   initial publishing technology review--what processes can be automized using the available
312   technology? (e.g. assigning DOIs, creating article metadata, password resets for platform users.)
313   Generally, all of the following points should be considered:

314   • What can the technology for each type of publication automize?
315   • Do all publication types require the same amount of time and attention from the program
316   staff?
317   • What will the editors of each publication be responsible for? What will the publisher be
318   responsible for?
319   • How will clients contact the publisher?
320   • How will customer service be approached in relation to existing library services?

321   *5.3 Staffing*

322   Staffing within library publishing programs vary greatly. The 2018 Library Publishing Coalition
323   Directory includes listings for programs with 0.25% of a full-time professional staff, all the way up to
324   16 full-time professional staff. [2]. As noted in the previous section, the availability of staff directly
325   impacts the services that a program can provide. A library can anticipate that this section of the
326   business plan is inseparable to the program's Scope of Services.

327   Libraries drafting this section of the business plan should also consider where the publishing
328   program is organizationally situated within the library. Since publishing may be a cross-
329   departmental or cross-divisional effort, it is important to clearly describe where the program sits
330   within the organization. Including this description for brand new programs will help colleagues
331   throughout the library understand the reporting structure of the program.

332   Publishing programs need to define roles and responsibilities for each element identified in the
333   Scope of Services. Programs that depend on the labor and/or time of library staff members in other
334   units or departments, can formalize these relationships in the business plan in order to solidify cross-
335   library buy-in. Although each element in the Scope of Services should be addressed in this section,
336   the business plan is not an internal workflow document, so responsibilities may be identified at a
337   general level and individual staff members may be identified by position, rather than name. These
338   responsibilities will likely include:

339   • Technology development and support
340   • Marketing of services and recruitment of publications
341   • Production and development of publications, including additional processes identified in
342   Section IV: Development & Production
343   • Assessment, discovery, and promotion of individual publications
344   • Long-term strategic planning and goal setting (at publishing program level)

345   In addition to staffing, library publishing programs may find it beneficial to implement a
346   governance structure. Unlike the day-to-day operations of the program, a governance structure can
347   provide recommendations to enhance the quality and future viability of the program. Building in the
348   development of a governance structure can be a way to incorporate disciplinary faculty and other
349   university stakeholders into the publishing program.

350   *5.4 Development & Production*

351   A variety of policies are required in order to make a library publishing program successful and
352   sustainable. Policies guide decision making and can be referred to by administration or clients when
353   questions arise. The need for policies is best summarized in *The Handbook of Journal Publishing* as
354   policies address "what is to be published, how and why" [19]. Although an individual library
355   publishing program may have policies unique to the program's goals and needs, there are a handful
356   of policies that are essential to any publishing program.

357   5.4.1 Accepting Publications

358   Whether a publishing program anticipates publishing 1 or 100 publications a year, the program
359   needs to consider how publications will be received by the library publisher. Many publishers use a
360   call for proposals (CFPs) to solicit publications. Using a CFP, even if the respondents are few, enables
361   publishers to advertise their service, while giving guidelines as to *what* will be accepted. Even for
362   library publishing programs that are experimental, and willing to publishing content with limited
363   traditional publishing options, each program will likely have some limitations--especially involving
364   staffing and technology. For library publishing programs just getting off the ground, and unsure of
365   limitations, consider a CFP with open ended questions, this will enable submitters to describe their
366   project without limiting answers to checkboxes.
367   Once proposals are submitted, each publishing program will need to determine how proposals
368   are accepted or rejected. Again, the library publisher will want to consider which proposals are
369   actually doable based on staffing and technology. There will likely be publications and projects that
370   are just not possible given the program's available support. For proposals that are viable, each
371   program will need to determine who gets to say "yes" and "no" to publications. This can be done by
372   the staff working in the program, by a committee established by the program, or by library
373   administration.
374   After a proposal is accepted, the library publishing program will need to develop an MOA
375   (memorandum of agreement) or MOU (memorandum of understanding) for each publication. An
376   MOA/MOU will clearly layout the expectations from each party and can include any necessary legal
377   agreements or policies that are relevant to the relationship between publisher and publication. For
378   libraries not familiar with MOA/MOU, consult the institution's office of general council or contract
379   office.

380   5.4.2 Rights

381   Library publishers need clear statements about rights related to each publication. Policies may
382   vary across individual publications, but the publishing program should create policies that address
383   the following:
384   • Who does the copyright of a publication belong to?
385   • Who does the title of the journal belong to? (Could an editorial board member find a new
386   publisher and move the journal/book series/conference proceeding?
387   • How can the content be used? (This question can be addressed by the addition of a Creative
388   Commons license.)
389   • How can either party end the business relationship between publisher and publication?
390   Individual publications, especially those with multiple authors, will need to create publication-
391   specific policies to ensure that content within the publication is following copyright and/or licensing
392   policies. As a publisher, it is important to assist editors or editorial boards that are new, or those that
393   have questions related to rights. Set up formal channels of communication and encourage publication
394   editors to reach out for support.

395   5.4.3 Privacy

396   User privacy statements need to be included on each digital publication or digital publication
397   access point. Chances are that the publishing program's selected software, especially if using a hosted

398 solution, will include a privacy policy. Make sure that staff working on publications understand the
399 privacy policies and are able to communicate the policies to users of the platform. For publications
400 that require registration for readers, authors, or reviewers, make sure that any default privacy
401 statements are correct and that all users are prompted to read the privacy/user agreement before
402 entering any information into the system.

403 5.4.4 Distribution & Marketing Policies

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

418 5.4.5 Preservation Policies

419   Preservation of library published content continues to be an area under investigation. In 2017,
420 the Library Publishing Coalition noted that programs are ..".making slow but thoughtful progress on
421 digital preservation" [2]. Although libraries continue to improve policies around the preservation of
422 library published content, there are a number of approaches that can be taken to ensure that
423 published works are preserved. Public Knowledge Project (PKP) and bepress, common library
424 publishing platforms, allow users to set up accounts through Global CLOCKSS program (Controlled
425 Lots of Copies Keeps Stuff Safe from Stanford University). Additionally, PKP offers a private
426 preservation network available to platform users who are unable to join the Global CLOCKSS
427 program. Portico is also an option for library publishers, and is the most common journal and ebook
428 preservation tool used by libraries to preserve purchased content. Portico requires membership with
429 fees based on journal or ebook revenue [20].
430   Regardless of whether or not a library publishing program is connected with preservation tools,
431 a library publishing program should develop a clear policy that can address author/editor questions
432 about both short- and long-term preservation. The policy should also address *what* content is to be
433 preserved. Additionally, programs will want to consider:
434   • Will the publishing program preserve all publications?
435   • What about publications that cease or move to another publisher?
436   • Will a journal's webpages be preserved, or just PDFs?
437   • Will production files be preserved, or just version of record?
438   Preservation will likely be a policy that requires the expertise of librarians beyond the publishing
439 program. It is also a policy that will need updating as technologies and best practices change. Editors
440 and authors want a publisher that will look out for published content for the long term, a successful
441 preservation policy should address this.

442 *5.5 Financials*

443   Unlike other scholarly communication services, publishing has well-documented, though
444 debated, costs associated with the service. [21]. Libraries are especially sensitive to costs set by
445 publishers, therefore a library as publisher has the opportunityto be especially transparent and clear

446 in the costs associated with publishing. The development of the financials section of the business plan
447 will need to be done in close consultation with library administration, it is likely that library has pre-
448 developed language and/or templates for communicating costs. The basic financial structure of the
449 program will likely be addressed in earlier sections of the business plan, however, the financials
450 section should address the following questions:

- How will the service fit into the library's budget model?
- How can/will the service leverage the university's budget model?
  - Will staffing and core technologies be paid for by the library's budget or covered by publishing revenue?
  - Will the service charge fees for any/all services?
  - How will service rates be calculated?
  - What expenses will potential revenue cover?
- Which expenditures are flat versus usage-based?
- Which pre-existing memberships or technologies will the program use?
- How will costs, charged directly to clients or covered by the library, be communicated to clients?

462 Like earlier sections, the financials section requires that libraries estimate growth of the program
463 in order to calculate costs. In addition to staffing and core technologies (digital publishing platforms),
464 libraries need to consider expenses that fluctuate based on volume. Some of these costs may be:

- Identifiers (DOIs, ISSNs, ISBNs)
- Graphic design for individual publications
- Material for marketing and promotion
- Licenses for production tools (InDesign, iThenticate, Overleaf)
- Memberships for preservation and publishing best practices (Portico, COPE, etc.)

470 Additionally, each individual title should also have a budget assigned to it. The program's
471 approach to publication level planning should be included in the financials section, this can be done
472 by including a template or spreadsheet that is used to structure the relationship between
473 author/editor and publisher. Being able to express to authors what resources are needed to launch
474 and maintain their publication helps communicate expectations and outlines where they need to
475 partner to provide additional resources for elements or features that are not currently supported by
476 the service.

5.6 Measures of Success

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

482 To do this, Publishing programs may find measures of success tied to individual publications
483 and projects. Measures of success for individual publications, especially those available free of cost,
484 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? When eligible, is the publication included in disciplinary-appropriate indexes?

491 However, the diversity of library publishing portfolios means that measures of success do not
492 always work when tied to specific publications, especially books and other non-serials, whose content
493 is not likely to grow over time. Measures of success for the overall publishing program "…must also
494 be able to demonstrate that they are fulfilling the traditional roles of scholarly publishers" [19]. Some
495 library publishers have principles of service that may vary drastically from "traditional publishers,"
496 making it important for a successful publishing program to also meet the needs requested by their

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 a library's related services and units.

6. Conclusion

In response to the variety of issues in scholarly communication, the development of library publishing programs is one way libraries have become active participants in the growing open access publishing landscape. Business plans for library services, especially for scholarly communication services, are not yet commonplace. However, by creating and adopting a business plan for library publishing programs, libraries can formalize a relatively new service within the unique structures of academic libraries. A library publishing business plan will provide a clear understanding of the program's goals and services, and will provide a path for growth and assessment in the long and short term. It's development offers the opportunity for the library's leadership and staff to discuss and create framing principles, which provide a foundation for communicating the goals and purpose of the service. The remaining elements of a robust business plan provide a structure for a program's operations and clear communication.

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