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Across the Great Divide: Findings and Possibilities for Action from the 2016 Summit Meeting of Academic Libraries and University Presses with Administrative Relationships (P2L)

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By
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Context and Rationale

Partnerships and collaborations have become standard responses to the multiple challenges that both higher education and scholarly publishing face. Organizing the work of the academy, either on one campus or across institutions, around collaborative partnerships often enables cost reduction, increases efficiencies, and perhaps most usefully, builds connections between distinct domains to achieve greater strategic impact. In the area of scholarly communication, new or revived partnerships between the university press and the academic research library are an opportunity to re-imagine functions that have been separated from one another through custom, convenience, professional practices, or standard administrative operation.

In many of these re-imaginings, provosts and higher-education funders view the library as an appropriate host and sponsor for experiments, situated as it is at the center of many campuses, and in light of its role in the collection, preservation, and dissemination of information and scholarship. Instructional technology support, writing centers, digital scholarship centers, visualization labs, and carefully designed collaborative learning and research facilities are examples of the ways in which academic libraries have adapted to reaffirm their positions as centers for discovery, knowledge creation, and scholarship within a college or university.

At the same time, the university press occupies a complementary position on the outer boundaries of a university, attracting and disseminating the work of the global academy. As a public-facing unit that generally operates on a different (and often increasingly problematic) budgetary basis than the library or instructional units, university presses have been challenged to leverage linked information technologies that take a new vision of scholarly communications from imagination to reality, while maintaining standards of scholarly merit vis-à-vis consistently applied peer review and editorial best practices. Interest in partnership between press and library demonstrates an appreciation that the skills, roles, and capacities of these two institutional units can together support a common mission.

Increasingly these partnerships start with an administrative merger that subordinates one unit to the other at an organizational level, i.e., the press reporting to the library. In some cases the institution is trying to solve one or more of a set of issues that arise from the changing roles and

operating environments of both the press and the library; in others, both units are operationally viable and are linked to increase reporting-line efficiency. Both institutions sit at a nexus of issues that have come into better view as the revolution in linked information technologies continues to change the way scholarly communications are produced and disseminated.

Scott Waugh, Provost at UCLA, in his plenary remarks opening the **Presses Reporting to Libraries (P2L) Summit** offers the following prescription:

We need to foster consortia of presses and libraries that aim to achieve a common view of and role in the dissemination and preservation of knowledge, data, and scholarship. The P2L movement is a step in that direction, and there are many individual projects confronting this need. We also need to encourage and foster collaborative efforts that are designed to support the dissemination and preservation of scholarship on a broad scale. Consortium arrangements, such as JSTOR or Hathi Trust, have been a major benefit to libraries and presses, helping them operate more efficiently while expanding their reach and increasing the services they offer. More can be done.

True collaboration will require libraries, presses, university administrators and faculty to reach decisions about complex issues: how to reduce redundancies and capitalize on specialties; how to work across institutional boundaries to achieve efficiencies and lower expenses; and how to recognize comparative advantages and give priority to other institutions. Universities, faculties, presses and libraries are all part of one large, endangered eco-system. Although competition is integral to higher education and has spurred important advances, we all inhabit the same system and need to cooperate and collaborate for the welfare of the system.

The complete text of Provost Waugh's opening remarks is included as <u>Appendix 1</u> to this white paper.

The P2L Summit

Convened jointly by the Association for Research Libraries (ARL), the Association of American University Presses (AAUP), and the Coalition for Networked Information (CNI), funded by the Andrew W. Mellon Foundation, and hosted by Temple University Libraries and Temple University Press, the P2L Summit was held in Philadelphia on May 9 and 10, 2016. In the first such meeting of members of this particular community, 23 teams of press directors and library deans/directors with an administrative relationship (typically involving the press reporting into the library) discussed the benefits of, challenges in, and possibilities around this relationship. (See Appendix 2 for attendee list.)

P2L explored how these separate components of the scholarly communications ecosystem (e.g., libraries and publishers) might move beyond relationships often established for administrative convenience and think together, leveraging the skills and strengths of their distinctive enterprises to move toward a unified system of publication, dissemination, access, and preservation that better serves both the host institution and the wider world of scholarship. P2L was an important first step toward a shared action agenda for university presses and academic

libraries that supports and updates traditional approaches to scholarly publishing, broader scholarly communication through established and emerging channels and practices, and digital scholarship services for faculty and students. This shared action agenda also must seek to adapt to the new challenges of the digital environment in commitments such as the preservation of the scholarly record.

Through a series of guided working sessions, attendees shared experiences and brainstormed about areas of common interest that, through partnership, can strengthen and expand their joint mission. They opened a dialogue and strategized about larger issues and challenges that cut across the domains of libraries and publishing, thus laying the groundwork for a follow-up summit (P2L2) dedicated to formalizing this list of areas, concretizing next steps, and drafting implementation plans.

Format

Meetings of the ARL, AAUP, and the American Library Association (ALA) include sessions dedicated to libraries and publishing, as do events such as the Library Publishing Forum, sponsored by the Library Publishing Coalition. What made P2L particularly important was the bringing together for the first time pairs of library and press directors from institutions where an established university press now reports to the library — a critical common ground that the conveners believed offered the participants the opportunity to work together effectively on new challenges.

Rather than attending and passively listening to speakers, summit participants were divided into small teams for a set of four working sessions organized around clarifying the benefits of partnership, identifying key challenges, and proposing experiments for overcoming those challenges to build on the strength of library and press collaboration. Working-session topics were developed from invitees' detailed answers to a survey, with questions designed to ensure that each pair of attendees talked about these issues before their arrival to Philadelphia. (See Appendix 3, Survey Analysis.) The survey provided organizers with an understanding of the motivating factors that create a successful campus partnership, the different ways institutions manage and leverage this type of press-library relationship, and the areas of common interest for the future. (See Appendix 4, Agenda.)

Key Issues

There is no single model for the relationship between the library and the press, yet similar challenges exist across the spectrum of P2L institutions regardless of location, size, or public vs. private designation. Discussions at P2L backed up the frequently heard statement that presses and libraries want same thing, that is, widespread, cost-effective distribution of scholarly products. They have shared problems and a shared future. However, there is a need for bidirectional education on the challenges each side is facing as well as for frank conversations about opportunities for change. Overgeneralizing is not effective; even within the P2L participant group, there were significant differences of perspective among the libraries and presses represented.

Tensions can and do exist between the two units. Libraries want presses to put more effort into clear mission-oriented work. Presses want libraries to think in practical business terms.

University presses are typically run as cost-recovery operations with complex budgets whereas the library is a budgeted academic service operation. Added to this is the antithetical reality of a press running a business in an educational environment while at the same time operating a mission-based program within a publishing business.

It was clear that presses have work to do in terms of educating libraries on their missions and the reasons behind what they do. As one press director said, "I constantly have to evangelize among librarians, and tell them we're mission driven. They are [at first] suspicious of my motives. They think it's all about profit."

Areas for Understanding

Libraries and publishers have long experienced the tensions inherent the traditional buyer-seller relationship. Those tensions change and grow when a member of the sales community has a reporting relationship to, and often a shared budget with, a member of the purchasing community. In acknowledgment of those tensions, when managing a shared budget, it is clear libraries and presses should approach the budgetary relationship as a partnership, not as patronage; at the same time there needs to be frank conversations about the extent to which the press is expected to be financially self-sustaining and the implications of this for other mission priorities.

When talking press finances within the library and with the university administration, the P2L group identified a need to develop a "script" to follow that frames the funding conversation as mission-based support, not as subvention. As part of this development, many presses pointed out the need to recognize how lean press staffing really is. With the majority of time spent meeting contractual obligations, presses can have little to no time for new initiatives. Launching a new initiative may mean a reduced annual publication portfolio unless new resources are available.

Developing a shared vocabulary and an understanding of the other's skills is essential. A lack of knowledge of the publishing business is usually true of the institution itself, and is something that can be tackled first at the library-press level and from there, used in broader conversations on campus. The skills and expertise of publishing professionals are poorly understood in general, particularly in the areas of acquisitions; finance, including author royalties; contractual obligations and subsidiary rights; channel sales and marketing; and publicity beyond the local community. Presentations aimed at educating librarians on the varying structures of university presses, their approaches to the publishing process, and the skills embodied by the staffs at conferences such as the Library Publishing Forum, ARL, and the Charleston Conference offer opportunities to share information with the broader library community.

By the same token, press employees may have little knowledge of the role librarians play in discoverability through the creation and dissemination of metadata, or in historical preservation

through the collection of primary sources. Something as simple as shared organizational charts can shed light into the workings of one's partner.

The Press' Role on Campus

While presses are developing more services in support of their host institutions' direct priorities, many in partnership with the library, a press's overall traditional validation in the United States comes from the world outside of its home university. They contribute to the public and local good, but do so primarily for the academy broadly at an international level. University presses play an important role in the development of scholarly disciplines as well as that of individual scholars, something poorly understood by libraries, and indeed by academics in disciplines dominated by journal publications. While university libraries also collaborate and contribute in support of the academy broadly, they tend to be more institutionally oriented and focus on research support and teaching and learning at a local level, interacting with faculty primarily as users whereas presses see them as authors and researchers. And although showing value to the university is essential for a press, equally important is maintaining editorial independence and quality.

It takes work on the part of both the press and library to change the way the university administration sees its press. A university press is a key component of the university's academic reputation, a tool to support and advance the university mission. Titles with the press imprint market the university worldwide. The library leadership is positioned to advocate for the press, and the work of the press and library should reflect the way the university thinks of itself. Both need to be seen as strategic mission-driven advantages. And it's key that their strategic goals be both integrated and complementary. It is perhaps more critical that press and library leadership develop a common vocabulary and messages that speak to the stressors in the current scholarly publishing ecosystem when engaging top administrators (presidents, provosts, and financial officers). A coherent presentation of the underlying financial, production, and consumption challenges for scholarly output is a necessary framework for these discussions. Posing the cost/value trade-offs in the academic enterprise is central to this framing. The ways in which press-library collaboration locally and at more global levels can work toward the twin goals of sustainability and transformation need to be at the center of the conversation.

Preliminary Recommendations

A tighter coupling of library initiatives and press intellectual capital can open up new ways of thinking about publishing as a core function of the academic environment. This link is integral to moving from shared one-off projects to scalable solutions. P2L participants identified a number of concrete opportunities for closer ties and strategic and tactical integration of libraries and presses.

• Integrate press and library staff as much as possible. Include the press director on the library management team, form working groups and committees that include staff from both organizations, and develop a joint strategic plan. This high-level integration supports broad strategic initiatives key to changing the local environment. On the operational side, presses and libraries often share services such as IT support for online

journals, use of the repository environment as an ebook publishing platform, and backlist digitization projects or combined backlist/holdings digitization projects. HR support, joint fundraising and shared development staff, and shared events are common. Integrating salary lines to include the press director's salary in the library budget makes a statement about shared commitment and frees up money the press can invest in new initiatives or in something as simple as increasing travel for the acquisitions editors.

- Partner on developing publishing expertise as an educational asset. Create and host an undergraduate research journal or develop a program to educate graduate students on open access, authors' rights, copyright and permissions, and publishing in a socially responsible way, and even in finding the right publishers for their work.
- Leverage the strengths of both the library and press to create open educational resources. Open educational resources (OER) are a hot topic on many campuses and are an underused route for library-press collaboration. Libraries have a window into the university's pedagogy and the opportunity to start conversations with faculty about textbook affordability. Beyond managing print-on-demand editions, press expertise can be used to work with faculty to develop a project, have it fully peer reviewed, add the press imprint, publicize it beyond the author's home university, and create standards for authors so the process is replicable. Many OER titles are not adopted in research institutions; adding the imprimatur of a press as well as the addition of formal peer review could encourage broader use.
- Develop a shared approach to digital scholarship. Digital scholarship and digital humanities projects are both challenges and opportunities for libraries and presses. They provide a chance to develop policies and standards for the university but also raise questions. How are the roles and responsibilities of the library and press defined? What is the response when a faculty member brings a project? That is, is it automatically supported or first evaluated for value and impact? Is it a one-off project, a prototype, or part of a broader infrastructure? Can the options of both the library as a partner for press projects and the press as an advisor for library projects be supported? Who owns the resulting work? What is "publishing" in these cases? Many digital humanities/digital scholarship projects would benefit from editorial vision and review; how and when is this input gathered? And how do we do this at scale? Defining the skill sets is essential so that each unit can be drawn on effectively.

The European Perspective

The summit ended with a presentation by Wolfram Horstmann, Director of Göttingen State and University Library at Georg August University, Göttingen, Germany. His talk allowed participants to compare and contrast experiences in the United States and Canada with those in Germany.

Of the 25 university presses in Germany, 15 are run by their libraries and 12 are fully openaccess publishers. The connection between a university press and its home institution is much more overt than in North America. That is, universities are expected to develop the capacity

to distribute their own faculty's research, and thus a German press reflects the profile of its founding university. Although some cost-recovery tools exist, typically presses are supported by the university. In addition, the German political climate strongly favors free and open dissemination of research across all disciplines, and German libraries have created services in support of creation and distribution of scholarship.

German libraries are building support for the increasingly data-intensive research methods used by faculty. As Wolfram noted, this is a new area for presses and one in which working together can produce robust frameworks for support. In addition, he sees value in libraries helping presses leverage institutional repositories, digital collections, text corpora, tools for digital editing, and research-data publication workflows.

Wolfram concluded his talk with a number of observations on German university press publishing and library publishing support that apply equally to P2L participants. To summarize, libraries there and here are moving beyond consumption toward assistance with production of content and a new generation of university presses focusing on electronic publishing and open access has formed.

Conclusion and Next Steps

The library-press relationship explored in P2L allows for transformative approaches in support and dissemination of scholarship. Effective exploitation of these partnerships is in the early stages and there is an opportunity to influence the outcomes to ensure they are as broadly applicable and scalable as possible. As Cliff Lynch (CNI) noted in his summary of the day's conversation, we must do more exploration of both intra-institutional (library and press) and cross-institutional collaborations. He provided several compelling suggestions for partnerships, including new ways to promote and leverage library special collections as well as ideas for increasing discoverability of press content. (See <u>Appendix 5</u> for the full text of his remarks.)

Addressing the challenges around implementing the ideas and recommendations resulting from P2L and moving toward the library and press futures that participants and speakers envision requires broader and deeper investigation. Building on the success of P2L, a subsequent summit (P2L2) will continue the collaborative conversation, tackle the issues raised as well as others facing library-press partnerships, and delve deeply into the recommendations from this meeting as well as those proposed in other contexts.

Open to a wider audience, P2L2 will be structured to allow more time for moderated discussion. Sessions focused on collaboration, both intra- and inter-institutional, would be paramount. Examples could include creating and leveraging shared skills, sharing support for data within the university and in the press author pool, and partnering on scalable scholarly communication and library publishing programs. P2L2 would focus on strategies to reinforce the library and press joint mission and advance the shared goal of promulgating scholarship.

Appendix 1:

The Role of Libraries and University Presses in the Scholarly Eco-system: A Provost's Perspective

Scott Waugh, Executive Vice Chancellor and Provost, UCLA

In recent years, North American libraries and university presses have been jolted by a series of shocks that jeopardize their mission and, in the case of some presses, their very existence.

Indeed, these tremors have upset what might be called the scholarly eco-system, of which presses and libraries are constituent elements, prompting worries about the stability of the entire system. Solutions to the problems of presses and libraries, of scholarly communication in general, therefore, will require large-scale cooperation and collaboration among all elements of the eco-system to find ways of meeting the risks and promises of the digital age and ensuring the survival of the system as a whole.

In the second half of the 20th century, the scholarly eco-system that developed in the US and Canada for the production and dissemination of important research proved to be brilliantly successful. Based on the network of research universities that expanded from the later 1940s onward, this eco-system consisted of four, interlocking elements:

- Discovery Research has flourished across the disciplines, with unbounded reach in space, time, and subject.
- Dissemination It is necessary not only to compile data, but to disseminate it as broadly
 as possible to stimulate and inform further research as well as educate students.
 University presses perform this role and add value to the scholarship by shaping and
 refining it.
- Preservation and Archiving The products of research have to be readily available to scholars. University libraries set about gathering, collecting, cataloguing, and archiving research products that could be widely and easily accessed. To this end, they purchase monographs published by the university presses, providing a stable market for their product.
- Validation and authentication The entire system depends on faculty, and most importantly, on peer review: faculty acting as the reviewers, assessors, and validators of research, proposals, publications, the appointment and promotion of faculty, and the admissions and certification of students (especially graduate students).

This eco-system flourished and expanded, producing a vast array of research and scholarship that was disseminated around the world and making North America the leader in higher education and scholarly research of all kinds.

The scholarly eco-system was based in research universities and was nourished and sustained by the revenue model that supported the universities. The model consists of five elements: (1) state funding, (2) tuition and student fees, (3) federal funding and foundation support, (4) private giving and endowments, and (5) self-supporting sales and service functions. This pool of revenues provided for the compensation of faculty, the support of research facilities, the growth

in graduate education, the support of scholarly societies and organizations, the expansion of libraries, and the growth of journals and scholarly publications of all kinds.

Although reductionist the model makes the point that every part of the scholarly eco-system is fueled by the same sources of revenue flowing into the universities.

This scholarly eco-system thrived and expanded as long as the revenues and costs remained roughly in equilibrium. In the last two decades, however, the equilibrium has been upset by uncertainties in the revenue streams and an inexorable growth of expenses:

- State funding has declined almost everywhere and is increasingly uncertain.
- Tuition growth has slowed or stalled in the face of mounting student debt and concerns about affordability.
- Federal funding and foundation expenditures have been nearly flat, while more institutions and faculty are competing for grants.
- Endowment growth and payout have fluctuated, and wealth is unevenly distributed among institutions.
- Although many universities have successfully pursued new revenues, these additional funds tend to be restricted to specific purposes.
- The costs of running a university have sharply increased, leading to competing pressure for every dollar.

These factors, along with competition for reputational prestige, have created dysfunctional relationships in the dissemination of scholarship, driving university presses and libraries apart. It is a familiar picture: the costs of some prestigious journals have skyrocketed, limiting the ability of libraries, once the reliable partner of university presses in purchasing their scholarly output, to acquire new materials. At the same time presses have experienced declining revenues, while the costs of producing a book or monograph have risen. As a result, university presses struggle to make money on scholarly publications: it is estimated that 70% of new books lose money, 20% break even, and only 10% generate profit. In short, presses and libraries, which previously were partners in the scholarly eco-system, have become rivals for university subsidies in an age when university budgets everywhere are strained. Pitting one against the other endangers the entire eco-system.

Information technology and digitization have complicated the picture. They have held out the promise of seamless and limitless access to all knowledge of all time, all of the time, and all "free." They have also made possible a radical diversification of scholarly communication and modes of publication, enhancing the dissemination of scholarship, a critical feature of the scholarly eco-system. The open access imperative of the federal government – demanding that all research data and materials produced under federal grants be publicly available, as well as the final products whether books or articles – has dovetailed with and accelerated this vision of an electronic cornucopia of knowledge, fundamentally altering the nature of the scholarly eco-system. Digitization has blurred the bright line between dissemination and archiving, and the open access movement has underscored the need for universities to figure out how to do both well.

Both libraries and university presses are central to the open access movement and should be partners and leaders in that effort, drawing on their combined expertise. Yet, thus far it has only increased pressure on their budgets and, hence, on universities generally. Aside from journals, technology is the fastest rising expense for libraries, and it has been equally challenging for presses. Digitization raises a host of difficult decisions how to organize, store, and provide access to digital materials. The technical requirements of open access are daunting and expensive. Individual institutions have developed their own projects using their own protocols and platforms, leaving a plethora of projects and data scattered across the web.

Bringing them together or developing a common platform has proved to be enormously challenging. While such efforts as the Committee on Coherence at Scale for Higher Education and the SHARE project are addressing these challenges, they only scratch the surface of the problem.

We need to foster consortia of presses and libraries that aim to achieve a common view of and role in the dissemination and preservation of knowledge, data, and scholarship. The P2L movement is a step in that direction, and there are many individual projects confronting this need. We also need to encourage and foster collaborative efforts that are designed to support the dissemination and preservation of scholarship on a broad scale. Consortium arrangements, such as JSTOR or Hathi Trust, have been a major benefit to libraries and presses, helping them operate more efficiently while expanding their reach and increasing the services they offer.

More can be done.

True collaboration will require libraries, presses, university administrators and faculty to reach decisions about complex issues: how to reduce redundancies and capitalize on specialties; how to work across institutional boundaries to achieve efficiencies and lower expenses; and how to recognize comparative advantages and give priority to other institutions. Universities, faculties, presses and libraries are all part of one large, endangered eco-system. Although competition isintegral to higher education and has spurred important advances, we all inhabit the same system and need to cooperate and collaborate for the welfare of the system.

A basic obstacle to modernizing the scholarly eco-system is that all these efforts depend on the original funding model, which is increasingly rickety. It is critical, therefore, for presses and libraries to engage provosts and demonstrate the importance of the issues they are grappling with. Second, they must encourage provosts to engage the faculty. The eco-system today is no less dependent on faculty as at its inception, not only as producers and consumers of scholarship, but also as reviewers and validators. Faculty must become aware of the fragility of the system and their role in it. They must recognize the many trade-offs involved in budgeting for academic activities. They must acknowledge that the thrill and prestige of publishing in some journals can crowd out the ability of the library to purchase other publications or perform other services. Faculty need to consider ways of vetting scholarly products that are less costly than at present and find other ways of determining and ascribing quality and prestige. The faculty is at the heart of these issues and integral to the survival of the eco-system.

Appendix 2: Participants

Attendees

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Appendix 3: P2L Survey Analysis

Executive Summary

Participants: This report considers the submissions of 25 teams of press and library deans/ directors. The P2L Survey received 32 submissions, including those from three observers (the Library of Congress, Brown University, and Virginia Tech), both teammates from two institutions (Southern Illinois University and Wilfrid Laurier University), and three of four participants for the University Press of New England (two from Brandeis University and one from the librarian of Dartmouth College). Four of the expected 29 participating partners did not complete the survey. The full text answers are available in the attached tabbed Excel workbook file.

The strategic plans of the majority of these press-library relationships are aligned or coming into alignment, although a few are not in synch because of institutional issues explained in individual responses. The challenges for most remain financial (budgetary) with a particular focus on both sustainable operations and a growing need to produce open access (OA) scholarship. Some are looking to use this alignment of press and library or expansion of the library's mission to also operate as a press to move toward a new model for scholarly publishing that privileges OA.

The budgetary and operational relationships of these libraries and presses are aligned but not necessarily integrated. Several presses either share budgets with the library or come under their library's budget. Most of the presses receive technical support from the library and share its infrastructure, although several continue to require specific platforms and software packages to publish. Governance for the majority of these partnerships is integrated or in the process of becoming so, as is operational alignment. There are very few shared staff between press and library—comments suggest these are technical positions and functions including IT, institutional repositories, and web content. Some of these partnerships are cross-training staff in the libraries and presses to support one another and to possibly integrate functions in the future.

The support for digital scholarship broadly is relatively new and in its earliest stages in many of these partnerships. Several presses also produce digital supplements to traditional print publications, although the sophistication of these products varies widely. Many of these presses are involved in producing digital formats beyond books and articles, but most of these efforts are in their initial stages. The majority of these libraries offer some form of digital publishing service, although what this entails differs widely in the comments. In some instances, when the press has been "grown" within the library, its peer-review and editorial processes are meant to be integrated into the digital research production process, not as a later stage after the project has been created. Other institutions are adding digital components or are offering print-outputs to digital projects.

Strategic Alignment

Are the strategic plans of the library and press created in partnership?

Yes: 18 (72% of 25 responding teams) | No: 4 (16%) | Unclear: 3 (12%)

Southern Illinois University answered both yes and no. Both Wilfrid Laurier partners answered that at this stage in the process it remains unclear.

Is the strategy aligned with the strategic planning of the parent institution?

Yes: 25 (100%)

All 25 institutions answered "yes," although 2 answers were qualified by stating plans are in development.

Is there a shared vision of the future of scholarly communications and academic publishing? Please explain.

Yes: 12 (48%) | No: 4 (16%) | In Process: 8 (32%) | Unclear: 1 (4%)

Most of these press and library partnerships operate under a shared vision or are coming to operate under such a vision, although for some this is more of a spectrum rather than an absolute alignment. Several of those who said "no" or that it was complicated point out the tension or conflict between the library's support for open access and the mission of the press to sustainably disseminate research.

What are the challenges in planning future endeavors?

The foremost challenges are financial: limited and reduced library budgets, presses operating at a loss, the need for a sustainable OA (and digital publishing) business model, and the cost of software platforms and digital publishing infrastructure. Staff, personnel, and skills development are issues linked to budgets and support. Beyond the immediate financial challenge is a lack of buy-in or support from faculty and administration for the traditional mission to publish peer-reviewed work. Amherst College in particular notes the need to define and promote a new model for scholarly publishing that fulfills the mission of higher education and is also more efficient and effective. See comments from Amherst College Press, George Mason, Temple, and Wilfrid Laurier for the best detail and range.

Budgetary and Operational Relationship

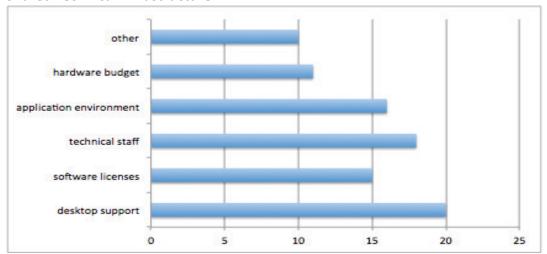
Budgets:

The press and library operate under:

Shared Budget: 10 (40%) | Separate Budget: 10 (40%) | Other: 5 (20%)

The majority of those with separate budgets (8 / 66%) say it is the policy of the parent institution, with one stating that it is more of a partnership and another that it is their dean's choice. Three of those who selected "other" explain that the library is responsible for the press budget in one form or another, from the press being a library line-item or having its budget monitored by the library business office.

Shared Technical Infrastructure:



Shared Desktop Support: 20 (80%) Shared Software Licenses: 15 (60%) Shared Technical Staff: 18 (72%)

Shared Application Environment (Web servers, CMS, OJS, etc.): 16 (64%) Shared Hardware

Budget: 11 (44%) Other: 10 (40%)

Where services and support are not provided by university/central IT, the presses either rely on the library's IT staff or contract work out. Desktop support comes from library IT in most cases, followed by campus IT. The university or library provides licenses for most common or standard software such as MS Office, sometimes Adobe Creative Suite and InDesign, although Adobe packages are through the press in other instances. Some libraries provide the Open Journal Systems (OJS) platform and a repository platform to the press as well. Some institutions, such as Temple University, also host a digital scholarship center within their library, offering another source for specific support to the library and press

Governance:

Fifteen (60%) press and library partnerships share internal governance while ten (40%) do not. Sixteen (64%) library directors sit on press boards and seven (28%) sit on press committees; this includes three (12%) library directors who sit on both press boards and press committees.

Fewer press directors sit on library boards (6, 24%), but a large majority sit on library committees (20, 80%), with five (20%) press directors sitting on both library boards and library committees.

Operational Alignment:

Are the press and library aligned operationally? Yes: 11 (44%) | No: 6 (24%) | Other: 8 (32%)

For those who answered "other" there is a lack of clarity regarding what "operational alignment" means.

- Arizona: Facilities, Human Resources support, and payroll are managed by the Libraries. Press staff are engaged in a wide variety of ways, including service on committees, cross-training in the finance area, etc. Press staff participate in Libraries' shared governance associations, the Libraries' social committee, etc. Other functions operation independently.
- **Dartmouth:** Both Library and Press report to the Provost, with the Dean of Libraries acting as Press Governor.
- **Kentucky:** Moving in that direction. The press director reports to the Dean of Libraries and serves on the organization's Executive Committee along with Associate Deans. There has been good collaboration between the press and the library's scholarly communications area. We continue to merge IT, business, and HR operations to create efficiencies. Libraries Director of Philanthropy now providing support to press.
- New York: These questions do not make any sense. The Press is part of the
 Division of Libraries. I have no idea what you mean by "internal governance" or
 "aligned operationally."
- Northwestern: Not sure what is meant by this question.
- **Temple:** We're not sure what "operational alignment" means. We share a vision for scholarly communications and work together on implementation. We share a staff person who is tasked with creating and supporting a library publishing and scholarly communications program.
- Wilfrid Laurier: We are working on identifying the degree of operational alignment

For those who answered "yes" the details of their alignment vary. Most appear to be aligned in terms of administrative infrastructure: HR, accounting/financial systems, and some other services, but many presses continue to have specific needs outside these alignments.

- Abilene Christian U: The press director is part of the library leadership.
- **Alberta:** UAlberta Press's reputation for quality and impact of its scholarly publications by supporting changes in research directions and dissemination needs in the humanities and social sciences and a strategy in that regard is to collaborate with the Libraries on alternate, library-based research dissemination channels and initiatives.
- Amherst College: It's not entirely clear what this question has in view. The library and the press are, on our campus, a single, integrated entity. The Press exists to advance the research and scholarly communications objectives of the Amherst College Library, and by extension those of Amherst College. The press director holds two distinct roles: That of director of the Amherst College Press (in which he reports to the Librarian of the College), and that of publisher of the Lever Press, a parallel initiative encompassing the support of a coalition of 43 liberal arts college libraries (in which he reports to the "Oversight Committee," a governing board established by the consortium). The operations of both of these presses take place within the framework of Amherst College's personnel and management policies, financial systems, and technological infrastructure.

- Calgary: The Press is a unit of the university's Libraries and Cultural Resources division. We share services and staff.
- **George Mason:** Mason Publishing (including Press) reports to Digital Programs and Services, which is one of three operational divisions within the university libraries.
- **Georgia:** In areas including HR and Development, they are aligned. In others, including the basic business functions of the Press, it is relatively distinct.
- **Michigan:** Cemented in the structure since Director of Press is also AUL for Publishing and the Press is treated as a Designated not Auxiliary unit. We continue to find ways of bringing the operational activities of Publishing into the rest of the Library.
- Oregon State: I answered yes, but this alignment is ongoing. We do share the same central HR and financial/accounting personnel in the business center that works for OSULP. All employees are evaluated on their contributions to the overall plan. We have also sought to assess performance based on how employees' work reflects our core values. However, there are times when the Press is still outside some activities of the organization. Obviously some of the financial and accounting issues of the Press are different. The Press staff do not regularly attend administrative briefings. The Associate Director is a part of the OSULP management team and is on the listserv but he doesn't attend the meetings on a regular basis.
- **Penn State:** Press director is on the Dean's Library Council with other department heads and participates in discussions and policy making.
- **Purdue:** The Press is a unit of the Library.

Staffing:

Only six institutions (24%) share personnel between their library and press. These tend to include technology-related jobs and functions or professional administrative and scholarly communications work.

- Amherst College: All personnel within the press are employees of the library.
- Calgary: design: 1 FTE 0.7Press/0.3Library; admin staff: combined 2.5 FTEs of Library staff shared by Press
- **Georgia:** We have shared cost of a marketing/design position and, until FY17, shared an IT person.
- **Michigan:** A number of positions are funded from the materials budget, but these tend to focus on Open Access/pub services initiatives
- Purdue: IT, HR, Scanning, IP/Legal Counsel, and Digital Humanities
- Syracuse: One position at present

Job Functions:

Have you (or are there plans to) reduced duplication among staff by retooling, educating, or retraining? Please explain.

Four (16%) institutions affirmed they had eliminated duplication through layoffs, retirements, or retraining and repurposing. Most expressed that there were few redundancies and duplications; however, IT, HR, financial services, fundraising, and grant writing are noted as functions to integrate and retrain. Future-looking training includes shifts in scholarly communications, digital publication and curation, cross-training to support institutional repository document processing and digital humanities production.

- Abilene Christian: digital publication and curation.
- Kentucky: IT, business and HR staff.
- MIT: Fundraising and grant writing staff; possibly shared HR.
- **Northwestern:** Scholarly Communications.
- Purdue: IT, HR, fundraising. Cross-training libraries staff in publishing workflow support repository document processing. Also cross-training copy-editors, sales in DH production and communication.
- **Temple:** possibly scholarly communications and digital scholarship.
- Wilfrid Laurier: integrating IT and financial services.

Digital Scholarship

Does the library have a support center or formal program to facilitate digital humanities/digital scholarship activities?

Yes: 18 (72%) | No:7 (28%)

Many of these centers and programs are quite new and still developing, most having been established in 2014 or more recently. New York University has a digital scholarly publishing program officer who works with both the library and digital scholarship services group. Several institutions are beginning to align some aspects of open educational resources, digital scholarship, and digital publishing.

Is the press currently involved in any publishing ventures that involve digital supplements (data, software, apps, etc.) to traditional book or journal publications?

Yes: 15 (60%) | No: 10 (40%)

Is the press currently engaged in any projects that involve publication of scholarly materials in "non-traditional" digital formats (e.g., not books or articles)?

Yes: 15 (60%) | No: 10 (40%)

Does the library have a digital publishing service?

Yes: 15 (60%) | No: 10 (40%)

The details offered suggest a very broad range of understandings regarding what a digital publishing service means. Some equate it to the institutional repository, others to separate products, blogs, or file preparation services.

Are research products from the digital scholarship enterprise being considered for potential press publication in any format?

Yes: 13 (52%) | No: 2 (8%) | Not Yet: 10 (40%)

Examples include print-versions or variants of digital scholarship; print-on-demand and PDF versions; and an open access journal. Many presses would like to be doing work like this but projects have yet to reach this stage or have yet to be proposed. The two best exemplars submitted are:

- Amherst College: We speak of ourselves as an open access, "digitally native" publisher. This means we work to explore with authors how their scholarship, which increasingly begins within digital infrastructures and is authored using digital tools, can more effectively communicate its ideas through the use of digital tools. In exploring these possibilities we bring as well the perspective of our library colleagues who look to the long-term sustainability of digital artifacts of scholarship.
- **Georgia:** Our stated goal with regard to the digital humanities lab is that the Press will provide peer review and marketing of its scholarly projects. We also have a series, New Perspectives on the Civil War, that was purposefully designed to include a digital component.

What didn't we ask that you think we should know?

- **Abilene Christian University:** We seek strategies for promoting the press as a vital part of the university, and for realizing new efficiency. E.g., We are cross-training librarians as copy-editors for the press.
- **Dartmouth (UPNE):** We believe that a closer reporting relationship will be made in the future, with the Press reporting directly to the Library.
- George Mason University/University Libraries: It would be helpful to know what other small library publishing/university press groups are using for publishing platforms. For example, what good (and low cost) platforms are being used to publish (OA) journals? Are there alternatives to OJS? What book production/publishing management/ marketing software is available that is low cost but productive? What approaches are new library publishing/press ventures to engage and entice the university community to opt for their services? What metrics are they using to show their value to the university.
- **MIT:** The libraries and the press have recently launched some joint fundraising initiatives—including 2 new funds that are explicitly designated as joint Library/Press funds (for digitization and for OA).
- **New York University:** This survey assumes a certain outlook that just makes no sense to respond to in our environment. From our perspective it sets up a mental model of Press vs. Library that does not exist here. We certainly have a library and a press, but the questions imply a nature of interaction that does not reflect our deeper coordination and collaboration.

- Northwestern University: Do the faculty understand, and/or take advantage of, the Library/Press relationship? (In our case the answer is probably no.) This P2L summit as currently configured has struck some as too narrowly defining "partnerships," a la scholarly communication and publishing, as opposed to broader service collaborations. Where is the reader/researcher in all this? Are we paying attention to what they want and need?
- Oregon State University Libraries: We continue to see benefits from the organizational
 alignment of the Press and the Libraries. Obstacles and even resistance remain but
 there is much more openness to change and experimentation on both sides. One of
 the biggest benefits for the Press has been heightened visibility across the University.
 Another huge benefit has been increased awareness of university press publishing
 challenges and issues within the library.
- **Purdue:** Do all players share a similar definition of what publishing is and might become or of what scholarly communications is and might become? In a post-open- or post-public-access world, who are we working for?
- Syracuse University: The formal relationship between the Library and the University
 Press is still rather new, and evolving. We also collaborate on design of library
 promotional materials, and on the development of donors through the Library's
 Assistant Dean of Advancement. We engage in regular cross promotion of services and
 publications. This survey was completed jointly by David Seaman and Alice Pfeiffer,
 Director of the Press.
- TCU: issues of open access, shared initiatives
- **Texas Tech University Press:** The new Dean of Libraries is very event-oriented, and the Library building is well set up for events. The Library is taking advantage of Press authors to give presentations as part of their Library event series. Also, the Library will be selling Press titles at the front circulation desk.
- **University of Arizona Libraries:** There is a shared development program between the Libraries and Press.
- University of Delaware: How the press-library relationship is channeled/presented to university administration. Is the partnership between the two clear to administrators, or does at least one of the parties need to do more to advocate for the other to administration? Do administrators understand the shared values of presses and libraries and why those values are critical for institutions of higher ed?
- University of Georgia: The Press has reported to the Libraries for approximately nine years. Unlike other similar arrangements, the Press was (and remains) financially strong prior to the move. While the reporting relationship has afforded many unforeseen benefits detailed above, the original decision to move the Press to the Libraries was motivated by a new Provost's desire to have fewer reporting lines. The arrangement has worked out splendidly at Georgia.
- **University of Michigan:** The Press is seen as an approach to publishing defined by its editorial board and functions but it is integrated into the Library at Michigan, a type of

organization that is not recognized by many of the questions about. There are interesting cultural issues that we have encountered that are not recognized above, especially around the integration of staff from a library and publishing background.

Appendix 4: AAUP/ARL/CNI P2L Summit Agenda

Monday, May 9th

3:30 – 5:45 PM Registration Desk Open

Doubletree by Hilton 237 S Broad St, Philadelphia, PA 19107

6:00 – 9:00 PM Reception and Dinner

Estia, a Greek Mediterranean Restaurant 1405–07 Locust Street, Philadelphia, PA 19102 http://estiataverna.com/

Reception: 6–6:30 non-alcoholic beverages (coffee, tea, iced tea, soft drinks, juice) will be available as well as a cash bar for those wishing to purchase drinks.

7 PM Welcome: Joe Lucia and Mary Rose Muccie

Tuesday, May 10th

7:00 – 8:00 AM Registration and Continental Breakfast

8:15 – 8:30 AM Summit Introduction: Monica McCormick, NYU

8:30 – 9:15 AM Keynote: Scott Waugh, UCLA

9:15 – 10:15 AM Working Session 1 — Challenges and Barriers

We're separating publishers from librarians for this session, to encourage candor about the challenges of working together. There are many visions for press/library missions and collaboration: what are the obstacles in your institution, from your position in either the press or library? What do you wish people in the other organization understood? What are some structural, financial, administrative, technical, or social barriers?

10:15 – 10: 30 AM Break

10: 30 – 11:30 AM Working Session 2 — Alignment (Mission and Identity)

In thinking about the evolving mission of both entities, what are some ways in which they can come together? Traditionally, publishers have focused on the production of scholarship and libraries on consumption—in the 21st century people don't necessarily consider these as widely separated anymore. Is there an evolution in what people expect from content and how they may get it? Is greater mission alignment both desirable and possible as these expectations shift? Can an alignment of goals offer strategic advantages in planning shared innovation and processes? How can an aligned press and library further the greater institutional mission in ways not possible before?

11:30 AM - 12:30 PM Lunch

12:30 – 1:30 PM Working session 3 — Financial (Budget and Staffing)

Will closer collaboration and partnership between the library and press help manage the total cost of the scholarly publishing system? How? Framing the discussion in terms of production and consumption, how can sustainable financial models for university-based scholarly publishing be developed that combine the strengths of each unit and move toward shared skills and infrastructure? The pre-summit survey revealed that 10 institutions have strategically aligned the budgets of press and library; ten reported that budgets are still entirely separate: what are the advantages of these different situations? What shared infrastructure, workflows, and cross-training opportunities offer the greatest promise for both press and library?

1:30 AM – 2:30 PM Working Session 4 — Digital Scholarship and Dissemination

Explore the possibilities of digital scholarship not only to maximize access, but also to better support interdisciplinary scholarship, teaching, and learning across the institution, from the position of an aligned library and press. Areas of exploration include: new and experimental modes of scholarly research, publication, and dissemination; the creation of data management plans; Open Access models; print-and-digital hybrid scholarship; partnering with or creating digital scholarship centers; discoverability of new scholarly publication forms; and preservation of digital research publications and products.

2:30 – 2:45 PM Break

2:45 – 3:30 PM Plenary: Wolfram Horstmann

3:30 – 4:00 PM Summit Summary

Cliff Lynch — What have we learned today

Peter Berkery, Elliott Shore — Defining action steps for the future

4:00 PM Wrap and Close

Appendix 5:

Reflections on AAUP/ARL/CNI Meeting and Opportunities for Library-Press Collaboration

Clifford Lynch, Executive Director, Coalition for Networked Information

May 12, 2016; revised Oct 16, 2016

I had the opportunity to provide some summary reflections for the Association for Research Libraries (ARL)/Association of American University Presses (AAUP)/Coalition for Networked Information (CNI) convening of university libraries and university presses in May 2016. This is an edited, abstracted, and summarized version of my remarks.

Convened jointly by ARL, AAUP, and CNI, funded by The Andrew W. Mellon Foundation, and hosted by Temple University Libraries and Temple University Press, the Presses Reporting to Libraries (P2L) Summit was held in Philadelphia on May 9–10, 2016. In the first such meeting of members of this particular community, 23 teams of press directors and library deans/directors with an administrative relationship (typically involving the press reporting into the library) discussed the benefits of, challenges in, and possibilities around this relationship.

My remarks fall into three categories: macro issues, specific observations ("gems") that I thought were really important, and questions I was surprised not to hear much about in the conversation, but that seem important to me.

Macro Issues

We heard much talk of ecosystems throughout the conversations today. Ecosystems were an integral part of Scott Waugh's opening plenary, and I think he accurately described much of what's going on in what he characterized as the scholarly communications ecosystem.

But we should not be thinking in terms of ecosystems, I believe. This is a terrible mistake as we try to understand the implications of recent developments. Ecosystems are nasty places when left unsupervised and uncivilized. Darwin rules. Here we find "nature, red in tooth and claw" (Tennyson, *In Memoriam A.H.H.*); existence is "nasty, brutish, and short" (Hobbs, *Leviathan*). The academy can make other futures, if it has the will.

The difference between ecosystems and societies is the introduction of not-necessarily-Darwinian values and moral structures (e.g. don't eat the weak or elderly). Here I must recognize, with a great debt of thanks, Timothy Norris (formerly a Council on Library and Information Resources fellow, Norris is now at the University of Miami), whose excellent blog post has been haunting me for the past few years. Scholarly publishing needs to be a society; the academy is a society. Talking of ecosystem rather than society in this context is an abdication of responsibility. We must invent our own future deliberately, not simply let it evolve from marketplace competition.

Timothy Norris, "Morality in Information Ecosystems," September 18, 2014, http://connect.clir.org/blogs/tim-norris/2014/09/18/morality-in-information-ecosystems.

Peter Berkery of AAUP earlier spoke of defining a space, a sphere of university press activity and responsibility and of clearly distinguishing this from the commercial scholarly publishing space. I think this is going to be essential, and most effectively and easily done in the world of scholarly monographs and also, perhaps, in humanistic journals. There is great opportunity for scoping territory in new long-form argument genres in the digital realm. This sphere needs to be clearly delineated as part of the society of the academy, not the broader ecosystem and marketplace of scholarly publishing.

Inside this society I think we are going to need different, or additional, economic models to support the dissemination of scholarly work, particularly long-form arguments. Organizationally and with regard to budgets, treating presses explicitly as part of the host university's scholarly communications portfolio and strategy is a central step towards making this possible. All of the institutions represented here have at least taken the first steps along this path.

Note that there's recent data questioning the value of the apparently very minimal editorial contributions of science publishers, for example. In stark contrast, I think that the contributions that the best university presses make in taking a monograph from first draft to final version is widely understood to be very, very large.

As part of this we need to understand and define "us and them" to identify who is within the collaborative and collectively supported society and who stands outside as competition, as pure marketplace players and competitors. This is a very nasty and potentially controversial question that needs to be taken up. Where do the big, wealthy university presses, that are so important in the monographic marketplace, like Oxford, Cambridge, Harvard, etc., fit in? They aren't here because they are among the university presses that have not restructured their reporting relationships. Are they commercial publishers in all but name, or are they instruments of the academy that can be brought within this new sphere? What about all of the other smaller university presses?

We need to understand the various lines and axes of collaboration: at this meeting we have focused mainly on intra-institutional (library and press) collaborations rather than cross-institutional collaborations involving libraries and presses from several institutions. Libraries have, in some areas at least, a very strong record in this kind of inter-institutional work; the library-press collaborations need to build on this and span the nation. We must do more focusing on common platforms and ways to make library systems better accommodate presses broadly (e.g. today's discussion on metadata workflows).

It is clear, at least at the institutions represented here, that presses are moving from the periphery, from ancillary services, to the core and center of the academic enterprise. This trend is hugely important, and it allows, indeed invites, presses to re-consecrate themselves to their genuine fundamental mission: to abandon subventions for genuine budgets and to be funded,

See Sharon Farb et al, "How Much Does \$1.7 Billion Buy You? A Comparison of Published Scientific Journal Articles to Their Pre-print Version," presentation from CNI Fall 2015 Membership Meeting, https://wp.me/p1LncT-69J. Another presentation on this subject, by Martin Klein et al, "Comparing Published Scientific Journal Articles to Their Pre-print Versions," was made at the Joint Conference on Digital Libraries 2016.

at least in part, as components of the central academic enterprise, as part of a university scholarly communications and stewardship strategy. It makes it possible to stop doing "stretch" quasi-mass-market publications to help cross-subsidize what they are really supposed to be focusing on.

Finally, it is very striking to me today that there is no consensus among the scholarly and funder communities about the vision of the desirable future for the monograph. Contrast this to the scientific journal, where it is clear that scientists, funders and policymakers in the US, UK and elsewhere have broadly agreed that the desirable and goal end-state is open access (OA), though there is argument about the pathways (green, or gold, or other means) to reach that desired future, with the emerging consensus varying from nation to nation, and we are still struggling to understand the economics and other implications of the alternatives. Note also that the current US funder requirements for public access to journal articles are substantially different than the open access approaches that libraries have been advocating to faculty over the past decade or more. But for science, and for the journal article, there's a rough general consensus as to where we should be headed.

Is there agreement that the future goal for monographs in digital form is open access? What, if any, is the role of the embargo? What, if any, are the models for commerce and OA co-existence? Further, there's the question of what to do with out-of-print works, and what to do when books in digital form never go out of print (though contracts between author and publisher may expire). I think we do not have a consensus on this, in fact, not even the beginnings of a consensus, and I think that there is great urgency attempting to develop this consensus.

Gems: Observations that Got My Attention (and My Own Extensions or Re-interpretations of These)

• We must figure out how to do cross-institutional subvention for individual monographs relatively routinely. This is hard, but seems clear, at least to me.

Open Educational Resources as they are now emerging are a fertile area for new collaborations that include press and library. But beware: these resources heavily engage non-print media and are going to require new skill sets that are often present neither in the library nor the press.

- Enlist the press's marketing arm to feature institutional special collections and IR materials.
- There are rich opportunities for bibliographic curation of university press publications: authors are collaborators, so it would be useful (and wise) to include links to some content, reviews, tables of contents, etc. Use the library to feed these elements into the bibliographic record continuum. Turn university press books into "featured items" in discovery systems and make these publications stand out. Also, use these publications

See, for example, the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, the Office of Science and Technology Policy memo "Increasing Access to the Results of Federally Funded Scientific Research," the Finch Report on Open Access, The Royal Society's "Science as an Open Enterprise," and many others.

as an opportunity for bringing people to campus for symposia: connect and curate these materials, and use the institutional repository (IR) and the press (either the local press, the press that published the monograph originally, or both) to disseminate these materials, all linked back to the original monograph. In almost all cases, the number of books published by local university presses is quite small (these are *events*, as opposed to the comparatively vast and routine local faculty publications in scientific journals, for example): honor these. The local library really can support this.

- Include press projects as part of the development portfolio. This strategy is stunningly obvious, but I fear very rare.
- Include in press portfolios the work of scholars (not necessarily faculty at the press's
 institution) with research focus on local special collections. There are some fabulous
 opportunities here. Furthermore, do this with university museums, archives and other
 campus collections. Develop models to scale up to multiple institutions, not all of which
 will have local university presses. This is a really, really exciting idea. This strategy also
 provides a pathway to independent scholars and citizen scholarship connected to
 local collections.

Things We Did Not Talk About

Personally, I think that one of the great intellectual challenges of our times is to reconceptualize the children of the monograph for the digital world. It is not how we move PDFs around or remarket fragmented PDFs of monographs, but what monographs morph into in the digital world. We need to talk about standards, templates and preservability. Experiences like the Mellon Guttenberg-e project offer a wealth of insight that has not been fully harvested and acted upon. We need to orchestrate focused efforts to engage this problem. It's really hard, and really important. We did not talk about it here, and I'm not sure why. Perhaps it's because university presses feel that it is far away from their existential issues, or that it's just too long term, or maybe it was simply that there just wasn't time to get into it.

This is one that keeps me up at night. Implicit in it is challenging historic assumptions with press editorial roles and contributions, and with the traditional length constraints and other practices related to scholarly monographs.

One of the challenges here is to balance, or perhaps provide alternative choices, among the editorial investments, length and prospective estimated size of readership for monographs in the making.

A second challenge is how to deal with the potential separation but inter-connectedness of evidence and analysis, and facilitate the reuse of the underlying evidence; this is a fundamental problem facing all disciplines and all forms of scholarly communication.

Related Resources

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