

Library and University Press Collaboration: A Working Paper

Subcommittee of the CARL Open Access Working Group

1. Problem Statement

Scholarly publishing has undergone significant change in recent years, with the move to electronic access to content (rather than ownership), and the more recent movement toward open access. While these changes have primarily affected journal publishing, scholarly monographs have also been undergoing similar changes and will need to continue to evolve and adapt in order to survive. The CARL Open Access Working Group is interested in investigating possible new publishing models for the University Presses at Canadian academic institutions, and investigating how these presses and their affiliated libraries might together work towards new models of open access that are sustainable and allow the University's scholarly press to successfully move into a new era of publishing.

2. Introduction

CARL's mission is to provide "leadership on behalf of Canada's research libraries and enhance their capacity to advance research and higher education. It promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information." Similarly, university presses serve the interest of scholarship and usually affiliated with a large research university. They produce "popular" scholarly work designed to reach a target audience and operate under a competitive, profit making revenue model. Most university presses publish textbooks and reference works to subsidize the not so profitable scholarly works market.

This study aims to learn more about the types of open access publishing models that could potentially be successfully implemented at Canadian university presses. Further, the study proposes to gain feedback from the university presses themselves, in order to determine what models may successfully support a transition to open access publishing. Is there a potential for university presses to gain a much broader reach for the scholarly publishing titles if they allow for wider dissemination of knowledge, if they considered alternative ways to allow access to their content? Are there economies of scale and synergies to be realized in moving towards a collaborative organizational model between libraries and university presses? Are there specific technologies that will facilitate broader reach?

For the purposes of this study, the university presses will include any Canadian University Press that publishes scholarly monographs. Journal publishing and textbooks are considered out of scope. The primary audience for the study are CARL and CRKN members with potential interest from a wider audience in academe and funding agencies who are also interested in advancing Canadian research and scholarship.

3. Literature Review

There are currently three university presses that have implemented OA initiatives (Athabasca UP, U of Ottawa Press and U of Calgary Press). Athabasca has an active OA program with commitment from the institutional to cover staffing and overhead costs, while recouping other costs through publishing grants, sales and other financial support. Ottawa's press is working on a 3 year pilot project (\$30,000/yr) with the library to fund 3 titles annually. Calgary's press is OA oriented and is integrated with the library. The institution has significantly increased the Press' budget to support its print and OA format publishing. All three presses offer online access to publications via pdf and epub formats, including a print-on-demand option. There has been much discussion on different OA initiatives and publishing models but not enough information to assess the viability of OA publishing model (in terms of funding and sales) for university presses without internal institutional support or external grants.

The mission of university presses is to “make public the fruits of scholarly research.” Although this mandate has not changed, the manner in which it is carried out has changed. The Federation for the Humanities is expected to release a draft OA policy in 2014 for a scholarly book publications program. Organizations such as the ACUP (2014) are concerned that an OA mandate would negatively affect revenue from sales and subscriptions by fifty percent. Lippincott (2014) documents a number of case studies for investigation. The AAUP report (2011), outlines scholarly publishing systems (quality and readership) that should be retained while exploring new and effective models for distribution (e.g. digital plus print, OA, new distribution channels and pricing).

The advent of digital publishing technologies have led university libraries to refine their roles and broaden the services and campus-based publishing initiatives they offer. Such services allow academic institutions greater control over their intellectual property, reduce overlapping workflows and procedures, and build financial and organizational capacity. A number of studies since 2007 have reported on such new library-publisher collaboratives (Hahn, 2008; Crowe, 2009; Shearer, 2010; and Crowe, 2012).

4. Research Questions/Procedures

The study has three main research questions:

- 1) What alternative (Open Access) publishing business models are currently being used for monograph publishing, and have any of these proven to be successful?
- 2) Of the publishing and funding models identified, which will Canadian university press directors most likely embrace to allow for sustainable and open access delivery of their publishing output?
- 3) How can University Libraries and University Presses work towards a new collaborative approach to publishing scholarly monographs in Canada?

The research will consist of four phases, conducted over the course of 18 months, beginning in June 2014 (a detailed timeline is noted in the next section):

Phase 1 - exploratory research into potential open access publishing models for monographs. In this phase, a comprehensive literature review and environmental scan will be undertaken in order to identify monograph publishing funding and organizational models already in place or currently being tested elsewhere. Models will be categorized according to the type of business approach they take, with specific cases serving as illustration of the working model. In addition, any evidence of success with the model will be noted. Information will be gathered from global sources, while paying close attention to the existing open access presses that already exist in Canada, in order to learn from their specific successes and failures.

Phase 2 - based on the results of Phase 1, the second phase of the project will consist of the development and testing of interview questions in keeping with our overall research questions, planning the interview process as a team, and undergoing ethics review.

Phase 3 - This phase will involve interviewing representatives from each Canadian University Press that does not currently support an open access model. Interviews will be semi-structured, to allow common questions across the presses, but flexible enough to allow the topics that are of key importance to each Press to emerge. We will propose potential models in order to gauge reaction and feedback about the feasibility of each from the perspective of the Press. We will also probe opportunities for Library-Press collaboration.

Phase 4 - The final phase will be the analysis of the interview content, organizing the responses into themes, and presenting that content in a report to the CARL Directors. We also plan to publish this research in a peer reviewed journal, and present the results at conferences.

5. Timelines

The project timelines are broken down into phases.

Start Date	Activity	Progress
<p>Phase 1 June - end of October 2014</p> <p>November 2014</p>	<ul style="list-style-type: none"> - Research existing publishing models amongst OA presses: differences that exist in terms of approaches, operating structures, funding models, and highlighting specific cases. - Interviews with existing Canadian OA presses. - Short report detailing areas for upcoming interviews with university presses. <p>Consider communication venues to market project - e.g. CLA presentations, article</p>	
<p>Phase 2 December 2014 - February 2015</p>	<ul style="list-style-type: none"> - Design interview questions and who to interview - Apply for ethics review 	
<p>Phase 3 March - May 2015</p>	<ul style="list-style-type: none"> - Interview university presses directors 	
<p>Phase 4 June - Sept 2015</p>	<ul style="list-style-type: none"> - analysis of findings and report on findings <p>Consider communication venues to market project - - e.g. CLA presentations, article</p>	

Annotated References

Association of Canadian University Presses (ACUP). (January 2014). *Monograph Publishing in an Open Access Context: A Review for the Association of Canadian University Presses*. Retrieved from <http://www.acup.ca/wp-content/uploads/2014/03/ACUP-report-open-access.pdf>

Currently, the Awards to Scholarly Publications Program grants for scholarly books, administered by the Federation for the Humanities and Social Science and funded by SSHRC, fund up to 180 titles a year published Canadian University Presses. In anticipation of a future OA publishing fund requirement for monographs from SSHRC, the ACUP considers the realities on the mechanism and resources required to fulfill the OA mandate for "long-form" publications. The assumption is that an OA mandate will reduce publisher revenue from subscriptions and sales (by 50%) and, as a result there should be increased

funding for dissemination of research grants, more institutional support, including publisher embargoes periods which correlate with unit sales.

The Association of American University Presses. (2013). *Press and Library Collaboration Survey: Final Report 2013*. Retrieved from

http://www.aaupnet.org/images/stories/data/librarypresscollaboration_report_corrected.pdf

Prepared by the AAUP Library Relations Committee to study the opinions of library directors, deans, and university librarians; and university press directors. Leaders from 42 libraries and 41 presses participated in the survey. The survey results indicate that most institutions are interested in pursuing partnerships between their libraries and their presses to limit overlap and focus on mutually beneficial publishing activities.

The Association of American University Presses (AAUP). (2011). *Sustaining Scholarly Publishing: New Business Models for University Presses. A Report of the AAUP Task Force on Economic Models for Scholarly Publishing*. Retrieved from

<http://www.aaupnet.org/policy-areas/future-of-scholarly-communications/task-force-on-economic-models-report>

This report identifies scholarly publishing systems that should be retained (quality and readership) and outlines characteristics of effective, new business models (digital +print, OA, new distribution channels, pricing, etc.).

Brown, A.P. (Ed.). (2013). *Library Publishing Toolkit*. New York: IDS Project Press. Retrieved from

<http://opensuny.org/omp/index.php/IDSPProject/catalog/book/25>

The toolkit looks at the library publishing landscape through discussions, case studies and shared resources to identify trends in digital content creation, publishing and distribution, types of publishing services to be created, and best practices to implement and support these programs.

Crow, R., Ivins, O., Mower, A., Nesdill, D., Newton, M., Speer, J., & Watkinson, C. (March 2012). *Library Publishing Services: Strategies for Success: Final Research Report*. Washington, DC: SPARC. Retrieved from

http://docs.lib.purdue.edu/cgi/viewcontent.cgi?article=1023&context=purduepress_ebooks

This study, conducted between October-September 2011, builds on the 2007 ARL study by Hahn to explore the expanding role of libraries in the scholarly communication ecosystem. The recommendations highlight best practices and priorities for building capacity (e.g. reallocation of fund from existing library budget to serve local publishing needs, aligning new publishing services with strategic goals, leveraging existing partnerships with university presses beyond software and content hosting, and more).

Crow, R. (2009). *Campus-Based Publishing Partnerships: A Guide to Critical Issues*. Washington, DC: SPARC. Retrieved from

<http://sparc.arl.org/resources/papers-guides/campus-partnerships>

Campus based publishing initiatives offer institution greater control over their intellectual property. This guide discusses partnerships issues between university presses and libraries and helps define the building blocks required for a successful partnership. The author reviews past and current library-press initiatives and the potential benefits of a partnership; discusses the financial and organizational criteria required for success; and the steps required to take in order to launch and maintain a successful collaboration.

Hahn, K. L. (2008). *Research Library Publishing Services: New Options for University Publishing*. Washington, DC: Association of Research Libraries. Retrieved from

<http://www.arl.org/storage/documents/publications/research-library-publishing-services-mar08.pdf>

In 2007, ARL surveyed and interviewed (10 institutions) its members on the emerging role of libraries as "publishing service provider". A majority of libraries publishing activities centred around journal publishing (the main driver for service development and in great demands), while others published conference papers/proceedings and monographs. The challenges for providing a basic suite of services included, reallocation of resources, partnerships and synergies with related services and developing a modest revenue stream. Libraries were pursuing different economies of scale, workflows from traditional publishers and limited services to purely e-publications over print-oriented publishing.

Lippincott, S.K. (Ed.). (2014) *Library Publishing Directory*. Atlanta, GA: Library Publishing Coalition. Retrieved from

http://www.librarypublishing.org/sites/librarypublishing.org/files/documents/LPC_LPDirectory2014.pdf

The directory documents the growing breadth and depth of publishing activities (for example, local practices, funding models, staffing to support the work, relationship between publication and preservation, and type and quantity of publications produced) underway at 115 academic libraries across the United States and Canada.

Open Access Agreements and Licenses Task Force, Confederation of Open Access Repositories (COAR). (October 24, 2013). *Open Access Clauses in Publishers' Licenses: Current State and Lessons Learned*. Retrieved from <http://www.coar-repositories.org/files/OA-Clauses-in-Publishers-Licenses.pdf>

The lack of clarity of publishers' permission and policies in regards to dissemination and usage rights is a well known challenge in providing OA through repositories. The task force, comprised of a multi-stakeholder group, reports on an environmental scan of the licensing language for article deposit (the "green road") into repositories and the lessons learned from organizations that had successful implementations of open access.

Shearer, Kathleen. (2010). *A Review of Emerging Models in Canadian Academic Publishing*. A report commissioned by the University of British Columbia Library. Available at <https://circle.ubc.ca/handle/2429/24008>

This report presents the result of an environmental scan of the Canadian academic publishing landscape undertaken in January-February 2010 to identify new models of peer-review scholarly publishing in Canada, with a primary focus on OA and library-publisher collaborations. The author reviewed the literature and interviewed stakeholders (university presses, library hosting and publishing services, digitization and print-on-demand services, open repositories, etc.).

Blog Posts

[Why I couldn't publish my book Open Access](http://hybridpublishing.org/2013/11/open-access-funding-bunz-silent-revolution-algorithms/#comment-8884)

<http://hybridpublishing.org/2013/11/open-access-funding-bunz-silent-revolution-algorithms/#comment-8884>

I'm not going to edit your £10,000 pay-to-open-access-publish monograph series for you

<http://melissaterras.blogspot.ca/2013/11/im-not-going-to-edit-your-10000-pay-to.html>

Canadian University Presses (16) - Compiled from Association of Canadian University Presses website

Open Access Publishers

- [Athabasca University Press](#)
- [U of Calgary Press](#)
- [U of Ottawa Press/Less Presse de L'Université d'Ottawa](#)
- [Les Presse de L'Université Montreal](#) (in process)
- University of Lethbridge Press (in process)

Other Presses

- [Canadian Mennonite University Press](#)
- [ISER Books](#)
- [McGill-Queen's University Press](#)
- [Pontifical Institute of Mediaeval Studies](#)
- [Presse et L'Université Laval](#)
- [Presses de l'Université du Québec](#)

- [U of Alberta Press](#)
- [U British Columbia Press](#)
- [U of Manitoba Press](#)
- [U of Regina Press](#)
- [U of Toronto Press](#)
- [Wilfrid Laurier University Press](#)
- BC Campus OpenEd
<http://open.bccampus.ca/find-open-textbooks/>

Library as OA Publisher/Library Publishing Initiatives (in Canada)

- University of Lethbridge: In the process of establishing a journal incubator. Cooperation between Dept. of English, Modern Languages, School of Graduate Studies and University Library.
<http://www.uleth.ca/lib/incubator/>
- Windsor Studies in Augmentation
<http://windsor.scholarsportal.info/omp/index.php/wsia/catalog/book/8>

OA Presses (outside of Canada)

- Australian University Press <http://aupress.ca>
- ANU Press (Australia) - <http://press.anu.edu.au/>
- Göttingen University Press (Germany)
<http://www.sub.uni-goettingen.de/en/electronic-publishing/goettingen-university-press/>
- Open Humanities Press (MPublishing, USA) - <http://openhumanitiespress.org/critical-climate-change.html>
- Open Book Publishers - <http://www.openbookpublishers.com>
- AGORA – Scholarly Open Access Research in European Philosophy, 2014:
<http://www.project-agera.org>
- InTech - www.intechopen.com
- SpringerOpen Books - www.springeropen.com/books
- Open Science - <http://www.openscienceonline.com/book/>
- OpenStax - <http://openstaxcollege.org/>
- Boundless - <https://www.boundless.com/>
- Open Intro - <http://www.openintro.org/index.php>
- Open Library of Humanities - <https://www.openlibhums.org/>

Initiatives to Fund OA Monographs

- Ferwerda, Eelco. “Open Access Monograph business models”, *Insights: the UKSG journal*. April, 2014.
<http://dx.doi.org/10.1629/2048-7754.46>
- Knowledge Unlatched
<http://www.knowledgeunlatched.org/>
- Unglue.it:
<https://unglue.it/>

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