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This study sets out to contribute to the understanding of current practices in the preservation and repurposing of academic monographs at university presses. With the movement of scholarly communication to online access finding strong footholds in journals and reference publishing, the academic monograph, the mainstay of university presses, has still yet to be fully exploited. This study proposes a survey of the Association of American University Presses (AAUP) member presses to determine the state of digital monographs, including their preservation and repurposing, and to examine the number of initiatives for presenting academic monographs online, and to gauge how presses are adjusting to the challenges of these new publishing paradigms. Through the use of a literature review and the survey responses, an analysis of the current state will be discussed and recommendations will be made for new publishing models.

Headings:
Libraries and publishing
Digital preservation
XML (Document markup language)

THE DIGITAL MONOGRAPH: PRESERVATION AND REPURPOSING OF THE ACADEMIC MONOGRAPH AT UNIVERSITY PRESSES

by
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1. Introduction

Originally the publishing arm of universities, university presses have seen their role come under scrutiny as emerging technologies and trends have outpaced the traditional publishing model. This is a pivotal moment for university presses, as the use of information is moving online, as new publishing models are emerging in the electronic information, and as the role of university presses comes into question (Brown, 2007). The nature and functionality of digital sources promises greater access and innovative uses than the print page, but it has yet to be properly exploited by university presses. Information and content providers like university presses possess vast amounts of content that has been born digital, but for many users the traditional methods of access are still true: the monograph is still read mainly in its physical book form. The definition of monograph that will be used in this proposal is closer in line to the terminology used by librarians. University presses will often restrict the definition more finely, referring to scholarly treatises on a single subject or aspect thereof. The use of the term monograph will include academic trade books, but exclude textbooks. University presses have been slow in the adoption of new publishing models in their approach to academic monographs. Academic journals and reference materials have moved more quickly to the online paradigm, but this is not true for the monograph, the mainstay of university presses. The Association of American University Presses (AAUP) has 125 members, and while the AAUP web site lists twenty-five digital initiatives, only five of them are concerned with monographs. The heterogeneous nature of scholarly monographs requires a flexible technology in order to best fulfill the promises of those digital sources. The sustainability of the information is just as vital, as future users will require the same sort

of access as today's users. Varying formats and technologies are used in order to preserve and repurpose digital content, including TIFF, PDF, and XML. All of these have their advantages and disadvantages, and it might well be that a combination of technologies becomes the best practice or even a standard.

According to Brown, it is imperative that universities—including presses and libraries—make the move to online publishing programs (Brown, 2007). Brown lists six reasons why this is crucial:

1. This is where the scholars are going;
2. there is an opportunity for universities to have more of a voice in the dissemination of their output;
3. there is an opportunity to publish more low demand but significant scholarship by lowering costs of publication;
4. online publishing can generate new revenue streams by tapping into unmet demand for monograph content (following the experience of journal backfiles);
5. publishers can make current products more exciting and can make publishing spaces that are capable of delivering the scholarly products of the future; and
6. there is an opportunity to increase access to scholarship through new pricing models.

This necessarily entails that university presses invest in online publishing programs, including creating new positions in-house, or seek active collaboration with other institutions. The AAUP Web site (http://aaupnet.org/resources/electronic.html)shows evidence that both of these are happening. Several of the digital initiatives reveal partnerships in producing online content. The employment advertisements for the past couple of years have shown increasing numbers of electronic publishing jobs, ranging from Electronic Publishing Production Specialists to Project Manager, Electronic Product

development. Unfortunately, the positions advertised on the Web site are not archived, so a more thorough study about when the jobs first started appearing, job titles, and job responsibilities could not be accomplished. Even still, as presses begin to change to adapt to this new environment, most still lack critical resources and capabilities (Brown, 2007).

This study will investigate the electronic publishing initiatives being made by university presses. Some of the areas under consideration will include the technologies being used in the preservation and use of digital content by university presses. The notion of whether or not these content providers have settled on a standard practice will also be investigated. How are university presses preserving and reusing their digital information? What technologies are they employing? Have they settled on a standard? Will collaboration lead to increased use of digital technologies? Since there is not much research literature that focuses specifically on university presses, this study will examine the research done on similar institutions. University libraries and archives are dealing with many of the same issues in publishing their holdings online. The following sections will deal with the current literature that addresses the issues of preservation, formats, digital repositories, access, repurposing of digital information, and collaboration. These are the broad themes which will be addressed in the study.

2. Literature Review

2.1. Preservation

For many university presses, the traditional object that preserved information was the physical product that resulted from their normal business activities: the book. With decades of experience in producing the printed word, the presses' mission was preserved through publishing. By publishing I will use Brown's definition: "simply the communication and broad dissemination of knowledge" (Brown, 2007). Nearly all of the content being published by presses these days is born digital, and it would be neglectful if the publishing

process continued ending up with a physical product without ensuring preservation of the actual content contained within that product. Digital preservation would involve both the information object and its meaning; preservation technologies would need to understand the original form as well as recreating that form in order to ensure authenticity (Lee, 2002). This is certainly vitally important when considering electronic records and archives, where the ideas of evidence and provenance are just as important as the digital content itself. For academic monographs, the original form represents much of the added value of publishing with a press, where interior design adds to readability and jacket design adds to marketability. Preserving the actual content without the context of the look and feel can be justified in other ways by presses, while still keeping to their publishing mission.

Lee, et al., (Lee, 2002) illustrates three primary preservation techniques: emulation, migration, and encapsulation. Emulation involves preserving not only the digital content, but also the original application program that was used to render the information. Such a strategy would require software that emulates the original application, while not relying on maintaining hardware or operating systems. The original look and feel should be an immediate advantage to this strategy, but the disadvantages include the possibility of malware affecting the data, as the application is emulated over time. This strategy would also require a significant investment in resources, as a single file would possibly need a large amount of data preserved in order to view the document.

Migration refers to the periodic transfer of digital information from one hardware and software configuration to another in order to keep current with technology while still being able to access legacy data (Lee, 2002). Lee uses the Open Archiving Information System (OAIS) as the paradigm for migration, noting that the four categories of refreshment, replication, repackaging, and transformation would ensure accessibility of digital content while moving it from system to system. This would require a significant investment of

resources as well, as new technologies come to the fore and data is constantly migrated from system to system. Standardization would facilitate this strategy, as a small number of standard formats could be chosen that are hardware and software independent (Lee, 2002).

Encapsulation "aims to overcome the problems of the technological obsolescence of file formats by making the details of how to interpret the digital object part of the encapsulated information (Lee, 2002, p. 98). The application used to create the document will need to be created, as it is in part in emulation, and the encapsulated information will eventually need to be migrated. All three of these strategies can be best applied according to the varying situations encountered, and Lee provides a schematic for deciding which strategy might be best for the situation. Complex resources with unknown formats might be best emulated; non-complex digital resources with known formats that are not actively used could be encapsulated; and non-complex digital resources that are actively used would find migration the best route.

Lee goes on to state, "the most successful preservation strategies will contain elements of migration based on standardization" (Lee, 2002, p. 103) and introduces the standard of XML. We will consider XML and other formats in the next section.

If presses are acquiring electronic publishing strategies, they will have to develop plans for long-term preservation of the digital content that they control. Online services will face one large expectation: the digital content that customers are buying or subscribing to today will need to be around indefinitely. Subscription services especially will need to show that perpetual access to the content is a major consideration.

2.2. Formats

The various formats for digital preservation are analyzed in Hodge and Anderson (Hodge, 2007). Seven factors are used to evaluate the sustainability of formats: disclosure, adoption, transparency, self-documentation, external dependencies, impact of patents, and

technical protection mechanisms. The major digital formats discussed are TIFF, PDF, PDF/A-1, and XML. Hodge and Anderson discuss the increased interest in best practices and standards in digital preservation, noting that "while in practice most organizations use a variety of formats as the basis for their operational systems, the increase in born digital materials and the move toward digital deposit in archives and repositories … have resulted in increased concerns about the appropriateness of various digital formats" (Hodge, 2007, p. 52). University presses routinely send PDF files to printers for monographs, and have done so for years now. These PDFs are close to PDF/A-1 according to the sustainability factors. Both PDF formats run afoul of some of the seven sustainability factors: transparency and impact of patents. XML has no major issues with any of the seven sustainability factors. As noted by Hodge and Anderson, the Library of Congress has preference for XML if available, and that "'PDF/A is suggested as a preferred format for page-oriented textual (or primarily textual) documents when layout and visual characteristics are more significant than logical structure'" (Hodge, 2007, p.52). As previously discussed, the look and feel of monographs is not generally more significant than the content, although the current workflow of presses is already set up to produce PDF files that are close to PDF/A-1. One important aspect about maintaining the look and feel of monographs has to do with pagination as a basis for citation. While PDF files of monographs will maintain pagination, it can be absent from XML files, depending on the standard used. The formal assessment of XML done by Hodge and Anderson suggest that XML is the best standard for preservation, as it is the most open and least proprietary format. It also provides for greater flexibility in the repurposing of content, which will be discussed later.

David A. Spaeth, Anne Mahoney, and Jeffrey A. Rydberg-Cox show that XML can be an excellent choice as a digital format for the types of materials found in archives and for academic monographs published by university presses (Spaeth 2004). Because of the

richness of the semantic tagging, information within text documents can be fairly easily queried and even analyzed. The heterogeneous nature of the material in archives and in published monographs can be utilized to structure the digital data. Spaeth et al. also mentions the readability of the XML documents, though this should come with a caveat. It is quite possible that the XML tagging can be quite heavy, with the use of many attributes associated with every element. Unaided, it is still possible to read the XML document, though quite tedious, especially when the document is the length of a monograph. XML can be readily transformed using XSLT along with CSS in order to make the documents much more reader friendly.

Presses are well versed in handling PDF files for their titles, as it is the de facto standard across the industry. However, there are limitations to this format, and XML might very well prove to be an excellent choice. However, presses have a lot less experience in dealing with XML files, which may prove to be a roadblock.

2.3. Digital Repositories

University presses are quite used to warehousing their output—in physical warehouses. Any movement to keep up with technology and provide online access to monographs would require digital repositories to house the data. As Brown, et al., (Brown, 2007) notes, organizational structures must be created in order to implement new publishing strategies. One vital structure is a digital repository. Writing about a university-based institutional repository, Lynch defines it as "a set of services that a university offers to the members of its community … It is most essentially an organizational commitment to the stewardship of these digital materials, including long-term preservation where appropriate, as well as organization and access" (Lynch, 2003, p. 328). Since there is no research on digital repositories in the context of university presses, the research on institutional repositories can

provide insight into some of the issues that presses would come across in warehousing their data.

Hockx-Yu highlights the functional goals of long-term digital preservation in the context of institutional repositories: data is maintained in the repository without being damaged, lost or maliciously altered; data can be found, extracted and served to a user; data can be interpreted and understood by the user; and the above can be achieved in the long term (Hockx-Yu, 2006, p. 235). Digital preservation requires new workflows, both within universities and within academic presses, and those workflows will face challenges—especially technical challenges.

One standard in preserving digital information that is widely adopted is the open archival information system reference model (OAIS). Hockx-Yu discusses the functional components of an OAIS: ingest (information that is submitted to the repository; archival storage; data management; preservation planning; access; and administration (Hockx-Yu, 2006). Digital repositories are more than a single object or system; rather, they are a commitment to long-term data stewardship.

Digital warehousing, including the use of content management systems, is a necessity for online publishing strategies. Whether or not presses commit to in-house or vendor-supplied solutions remains to be seen, but much can be learned from the progress that has been made at university libraries.

2.4. Access

The control over digital information that a repository provides should enable greater access to the information. Anna Sexton, et al., write about the use of XML technologies in providing greater access to archival information (Sexton, 2004). The use of Encoded Archival Description (EAD) in finding aids, together with the use of the Text Encoding Initiative (TEI) to mark up electronic texts, and the use of the Encoded Archival Context

(EAC) to structure and exchange information about creators of archive materials enable archivists to create digital versions of archive documents which can be discoverable online. These are all standards which are used to define the elements within XML documents and enforce the standards of the relevant document type definitions (DTD) or schemas. For instance, TEI has DTD, XML Schema, and RelaxNG schemas that can be used to structure documents. This is all part of the LEADERS (Linking EAD to Electronically Retrievable Sources) project. The central purpose of the LEADERS project is to "enhance and contribute to the development of remote user access to archives" (Sexton, 2004, p. 34). Other standards include the Library of Congress standards: Metadata Encoding & Transmission Standard (METS), Metadata Object Description Schema (MODS), and Metadata Authority Description Schema (MADS). As implied by their names, these standards all focus on metadata. METS concerns itself with technical metadata to aid in the sustainability of the digital file. MODS and MADS relate respectively to MARC 21 bibliographic and authority formats. Another metadata format relevant to university presses is Online Information Exchange (ONIX), which is the standard format used to disseminate electronic information about books to booksellers and other publishers.

The format of the digital information can be just as important, as well. Gövert, et al., note that the inherent structure of XML documents can benefit content-oriented information retrieval (IR) (Gövert, 2006). Traditional IR systems treat documents as atomic units, providing the entirety of the document as search results. The assumptions of traditional IR systems have to be questioned, as they are not valid for XML document retrieval (Gövert, 2006). Gövert, et al., focus on two revised assumptions, including the overlap of components and the size of the retrieved components. Since the XML documents can be readily chunked up by queries, it is possible that a complete section retrieved from a document might be seen as one component, while a paragraph within that

section might be considered a second component. While problematic for evaluating traditional IR methods, thus requiring new approaches, this highlights a unique benefit of XML documents. Access will be more granular, across entire collections, providing more relevance and opening up research.

David A. Smith, et al., provides a definition of chunks of XML data as "logical structural divisions of the work, but they need not correspond to container elements in the DTD" (Smith, 2001). This relates to the work by Gövert, et al., specifically with their new assumptions. Smith focuses his article on the the Perseus Project, based at Tufts University, which is described as an "'Evolving Digital Library'" and utilizes Greek texts, as well as others, which are structured in XML. Smith further shows that as the number of XML documents in a managed repository or digital library grows, the documents become more valuable than they are in isolation.

XML documents can provide for unique access, allowing for new approaches to systematic analysis of irregular structured sources. Spaeth looks at a case study of historical sources, noting "one can use XML to analyze irregular historical sources, which appear more like text than data, in a structured way. XML may also open the way to the development of new methods for the analysis of semistructured historical data" (Spaeth, 2004, p. 84).

The notion that digital content can be accessed anytime, anywhere, is a major consideration in the development of online publishing strategies. University presses need to explore the implications of providing such access to their digital content.

2.5. Repurposing

Repurposing is a crucial issue, especially for university presses, as it can be a strong selling point for the commitment of a press toward new technologies. As Brown, et al., writes, presses are "one of the few parts of the university expected to behave like a business with cost recovery and long-term sustainability strategies built from the

marketplace" (Brown, 2007, p. 17). The traditional publishing model entails a physical product that can be sold once, with some additional revenues coming from subsidiary rights sales. Repurposing of the same content can be seen as quite an attractive proposition to press directors. Putting monographs in a form that is reusable can "increase accessibility and enable publishers to market content in different forms, such as leasing …, or selling access to chapters or chunks of text in addition to full volumes. Electronic monograph products could also be sold in price tiers that segment the market in a way that is not possible with print" (Brown, 2007, p. 23).

The inherent structure of XML can also benefit repurposing, for some of the same reasons as access. As Hockey notes, digital information is inherently flexible, and "it ought to be possible to create a research environment where resources of many different kinds can be mined and analyzed and the results of these analyses embedded in new kinds of publications that take full advantage of the potential afforded by the digital medium" (Hockey, 2005, p. 90). Hockey writes specifically about the nature of humanities research, and how heterogeneous and complex it can be—just the sort of research seen in academic monographs. The semantic structure of XML documents will facilitate many different kinds of processing (Hockey, 2005). Hockey highlights the LEADERS project and the Perseus Project, both discussed previously. As Hockey writes "chunks should be derivable dynamically with appropriate metadata" (Hockey, 2005, p. 99), providing an example of how texts can be accessed and repurposed.

In addition to IR, XML documents can be readily transformed for other uses and formats. XML related technologies such as XPath, XSLT, XQuery, and XSL-FO can be utilized not only to provide granular access to content but also to transform documents for different uses (Adler, 2006). XPath is the primary language used to navigate the structure of XML documents, and provides intuitive query capabilities. XSLT, which stands for

EXtensible Stylesheet Language Transformation, can be used to transform an XML document into another ASCII or Unicode based document, such as HTML. XQuery is a relatively new standard with allows semi-structured data to be queried in a fashion similar to an SQL database and has XSLTA-like transformation capabilities too. XSL-FO, which stands for Extensible Stylesheet Language Format Objects, can be used to transform XML into other formats, such as PDF, and allow for greater readability.

The ramifications of repurposing of digital content will play heavily in the decisions about file formats, digital repositories, and access. Greater flexibility on all fronts will be necessary if the strategy includes reusing digital content. This can also be a major selling point for gaining the funding for digital initiatives, as it opens up the possibilities of a myriad of avenues for reselling content. As Brown says:

> Putting monographs in electronic form can increase accessibility and enable publishers to market content in different forms, such as leasing (the model Google Book Search said it was contemplating), or selling access to chapters or chunks of text in addition to full volumes. Electronic monograph products could also be sold in price tiers that segment the market in a way that is not possible with print. With the low marginal costs of delivering access to electronic resources, publishers may be able to reach new customers. (Brown, 2007, p. 23)

2.6. Collaboration

Collaboration may be an important and necessary aspect in the development of online publishing strategies. This will be true for the largest of presses, but for the smaller presses, and those only with monograph programs, this is especially true. Collaborations between presses and other institutions can create value for all partners. There will of course be difficulties, as different cultures and values may hamper efforts. But, the differing strengths and weaknesses of institutions may prove to be positive. Libraries and presses have differing strengths and weaknesses that complement each other (Brown, 2007). Some of these include the fact that libraries understand scholars as users of information, which implies notions such as 24/7 accessibility, and preservation, among others; while presses understand faculty

as authors, including notions such as credentialing, peer review, protecting copyright, etc. A fuller list of the strengths and weakness of libraries and presses can be found in the appendices. This list may lead the way in producing viable collaborations between these institutions.

There are some current collaborations between presses and libraries, such as the University of California Press eScholarship Editions (http://content.cdlib.org/ucpress/), which consists of online editions of scholarly articles. This collaboration involves a partnership between the University of California Press and the California Digital Library's eScholarship program. Another is DPubS: Digital Publishing System (http://dpubs.org/) at Cornell University Library, in partnership with the Pennsylvania State University Libraries and Press. These projects show that collaboration can lead to sustainable online publishing strategies.

2.7. Conclusion

The use of the Internet in academia has become ubiquitous, and consumers of information expect to find content online. University presses face a daunting challenge in adapting to this environment, but that adaptation must begin as soon as possible. The demand for online access has increased, while the demand for print monographs has decreased. Even noting that there is a great deal of diversity in university presses, one common trait is that many presses are struggling to make the transition to electronic publishing (Brown, 2007). This study intends to detail a small slice of the state of electronic publishing for monographs at university presses. The general themes of electronic publishing in the survey cover the issues of preservation, formats, digital repositories, access, repurposing of digital information, and collaboration. By surveying all the member presses of the AAUP, perhaps some initiatives can be made not only in discussions of the challenges facing presses but also in presenting possible solutions to these challenges. These challenges

may seem far too daunting for presses to accomplish individually, but through dialogue and collaboration it is hoped that even the smallest press can become part of the solution.

3. Methodology

In order to gather the information needed to detail the state on digital monographs at university presses, an exploratory survey was used. As mentioned previously, there are examples of digital programs that deal with monographs at a few university presses, and this information can be found on the AAUP Web site. Unfortunately, the information is far from exhaustive, and does not reveal the technologies involved and the attitudes of the presses. Since surveys are superb methods for measuring attitudes (Babbie, 2004), this option was selected. As more presses come under pressure to develop digital strategies, the survey itself is meant to reveal data that is not currently available but certainly richly desired by the presses themselves. It was expected that respondents would be on the whole be very willing to answer questions, as the benefits will be available to all. Additionally, the survey consisted of a small number of questions and was available online over the course of several weeks. It was hoped that the availability and ease of use would increase the number of respondents, gathering the largest amount of information with a small amount of effort expended by respondents. The survey results will be made available to all who request them.

The participant population included all the AAUP member presses. There are approximately 125 current member presses, and information can directed to them through the central AAUP organization. Since the population is so small, every member press was included, and every attempt to elicit information from all respondents was made. Response rate is vital to the significance of the survey, so every strategy was used to gather the highest amount of responses. The executive director of the AAUP, Peter Givler, was contacted and asked to facilitate the process. Direct listserv emails from the AAUP to all the member

presses invited participation and directed respondents to the survey Web site URI. Several weeks was allotted for the collection of the information, and reminder emails were sent out to presses which had not yet responded near the end of the timeframe. The researcher sent these out individually in the hopes that direct individual attention would garner a response.

The survey questions covered the broad themes of the research:

- Preservation of digital monographs
- Formats used in preservation and repurposing of digital monographs
- Digital repositories for warehousing digital monographs
- Access strategies for digital monographs
- Repurposing of digital monographs
- Collaboration in digital strategies

The complete survey instrument can be found in the appendix. As noted before, the survey consists of fewer than twenty five questions, with a mixture of closed-ended questions to outline current practices and matrix questions to reveal current attitudes.

Once the survey timeframe had passed, the data collected was analyzed to see how presses are adapting to the new pressures and whether or not standards or best practices are starting to emerge in this process.

While individual presses might be reluctant to discuss publishing strategies for fear of market issues, including competition and creating false expectations, the survey itself was sufficiently general enough it its questions that this should not be the case. No individual respondent was identified, and indeed it was not necessary to identity the institution itself, beyond a simple tally mark to show that presses had actually responded. This anonymity provided sufficient coverage for fears of exposing press secrets. The benefits gained from sharing this information would have been enough inducement for participation in the study as well.

4. Importance of Study

Digital resources are in the mainstream now, and users are expecting to find content and use it in ways that can only be provided by digital content. The digital resources of content providers such as university presses need to be exploited in the best possible ways, and the development of new technologies can be utilized to better serve the needs of their users. Libraries and archives are far ahead of university presses in acknowledging this. University presses are slower to adapt, though being subject to market forces has pushed the development of online products. This study will enable presses to get a view of the state of the art of digital monographs and perhaps aid in development practices.

4.1. Implications of Study

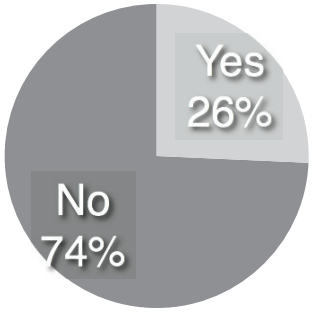
One of the major implications of the study is the assumption that digital resources are here to stay and will only continue to grow and become more feature rich and accessible. Content providers such as university presses will put more effort into the preservation and repurposing of their data. It was not too long ago that books would actually go out of print. Recently, print on demand has mitigated that somewhat. It might be that soon enough once the content is produced that it will never be inaccessible. Information providers need to move ahead with more testing and further studies on the best ways to provide academic texts in digital form. University presses also need to take more time in not only following trends in the marketplace but in acknowledging the need for an increased commitment in research studies.

4.2. Interested Populations

The interested populations run the gamut from the librarians and archivists, publishers, to professors and instructors (especially in the humanities), to students, and to the general public. The first group would appreciate seeing a slice of how other professionals in their

Figure 1. Do you currently have an online digital monograph program?

Yes	9
No	26
Total	**35**

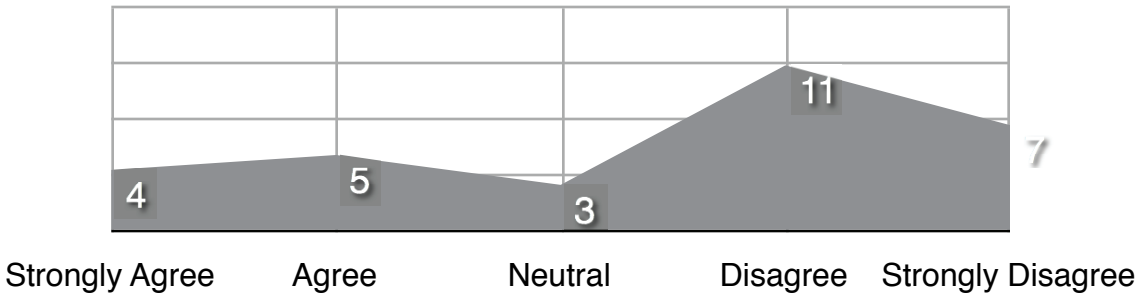


respective fields are preserving and reusing information. Librarians at smaller universities can see the implications of large amounts of scholarly work being available to them, albeit through consortiums or subscriptions. Students can expect to find the scholarly work they're reading in readily accessible formats, wherever they are. And the general public will be able to do the same.

5. Survey Results

The response rate of the survey was surprisingly low. So, the results cannot truly statistically represent university presses, but it can provide significant information about the state of online monograph publishing. The respondents in many ways represent a slice of university presses, ranging from smaller regional presses to quite large university presses. The initial request for responses did in fact go out to two separate AAUP listservs, though they are both voluntarily subscribed listservs. It is difficult to say how many presses were actually informed by this route. Out of the 125 possible member presses, there was an initial 12–15 responses from this attempt. The second attempt went directly to presses. Sometimes this was directed to individual email addresses gleaned from press web sites, and sometimes the request went to general email addresses, or even web forms. 85 total requests went out, and the total responses grew to 35, with 30 respondents completely filling out the survey for a

Figure 2. Publishing monographs online is a vital part of our press's current strategy.

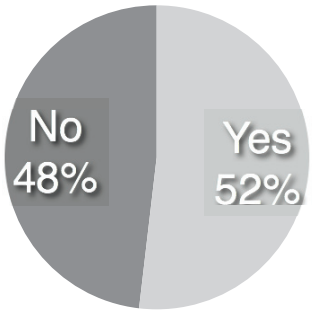


23% response rate. There were an additional 10 or so respondents who initiated the survey but did not fill in a single response. I can only speculate why this is the case, but one aspect that certainly informs this is the heterogenous nature of university presses. AAUP members can be quite disparate, including historical societies, research and development organizations, professional organizations, etc. These member presses do not publish monographs and so would not be able to contribute to the survey. Still, a good number of traditional presses linked to universities did not respond. Another reason may be the fact that not many presses are currently engaged in online publishing for digital monographs. As one e-mail response simply stated, "We're really not doing anything in this area."

This echos the response from many of the responding presses. Out of the 35 respondents, only nine currently have publishing programs for digital monographs (see figure 1). When asked about current opinions regarding how vital publishing monographs online is to current press strategy, the majority of responses—close to 60 percent—disagreed and felt that it was not vital (see figure 2). But there is certainly tension in the results, as many comment that this is the direction that publishing is going and that presses will need to be able to move forward in this area. As one respondent wrote, online publishing is "Vital, key, and misunderstood. Monographs especially are optimal for online promotion, via open access of some kind." Open access itself is viewed as a thorny issue,

Figure 3. Do you plan on initiating an online program in the next five years?

Yes	14
No	13
Total	**27**



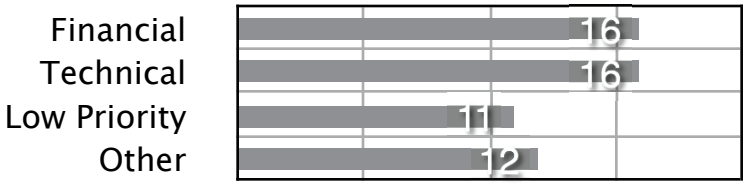
with some responding presses supporting it and others viewing it as an issue to be overcome. As one respondent states:

> Those that figure out will survive longer and in a happier way than those that lag. Those that choose not to publish online will need to really immerse themselves in regional titles that aren't suited for online publication, but in order to continue their mandate (which is less and less a mandate) to publish scholarship for limited audiences eventually university presses will need to make their work available online through library catalogs (for free to the individual consumer), not just downloadable.

The more traditional view is that open access is a problem, as another respondent states: "Digital publishing is not an issue. It must be done eventually. The problem issue that must be overcome first is the issue of open access. The digital public must be educated about the value added in selection, development, and editing of scholarly works and the costs involved in adding that value."

The nine presses with online publishing programs include pilot phase programs like the *e-Duke Scholarly Books Collection*, NetLibrary, ebrary, Questia, Google, MyiLibrary, e-book sales, and platforms such as www.PsychiatryOnline.com, *Oxford Scholarship Online*, and www.nap.edu. These results show a variety of avenues for presses to engage in online publishing—which begs the question as to why other presses are not similarly engaged in online publishing. The initial trail breakers have perhaps already made the way clear for other presses, and new programs may soon be following. The survey also enquired on new programs coming about in the near future.

Figure 4. Major Obstacles



Out of the 26 presses with no current online publishing program, 52 percent of them plan on initiating their own programs in the next five years (see Figure 3). Some presses are slowly moving toward this new paradigm, though many obstacles still stand in the way. These may seem insurmountable to many presses, which might reflect some of the reasons why many did not respond to the survey and why many that did respond are still not envisaging online programs half a decade away. As one respondent wrote:

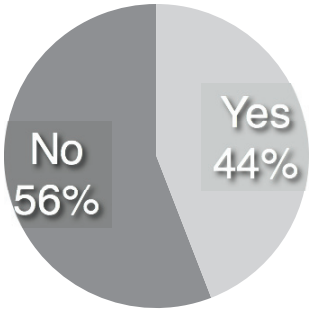
> Open access and electronic publishing are a sea change that we are all struggling with. One of the harder issues is wanting to be on top of things, but (1) lacking the expertise to know exactly which way to head; (2) lacking the funding to quickly gain expertise or expert staff in the area; (3) needing to hedge bets in order to not invest in the wrong area; (4) balancing our mandate to disseminate knowledge (i.e., the draw of open-access models) with the pressing reality of keeping our eyebrows above the financial water. Open access models in journals seem to be working quite well, which is great to see, but books are such a different product that it's hard to know how to make open access work for most university presses (i.e., ones without the kind of institutional support and type of publications that are helping open access work for the National Academies Press). Likewise for ebooks: it's hard to know how electronic scholarly monographs will be used, and how their availability will affect the use of their print counterparts (this brings us to the thorny issue of figuring out how to balance inventory costs, print runs, digital printing, and e-publishing).

This response succinctly hits on many of the obstacles that presses face in pursuing online publishing strategies. As figure 4 shows, all the expected factors—financial, technical, priority—were selected by many of the respondents, as well as many other factors not listed on the survey:

- Time and/or general inertia
- Staff to manage program

Figure 5. Are you collaborating with other institutions?

Yes	15
No	19
Total	**34**

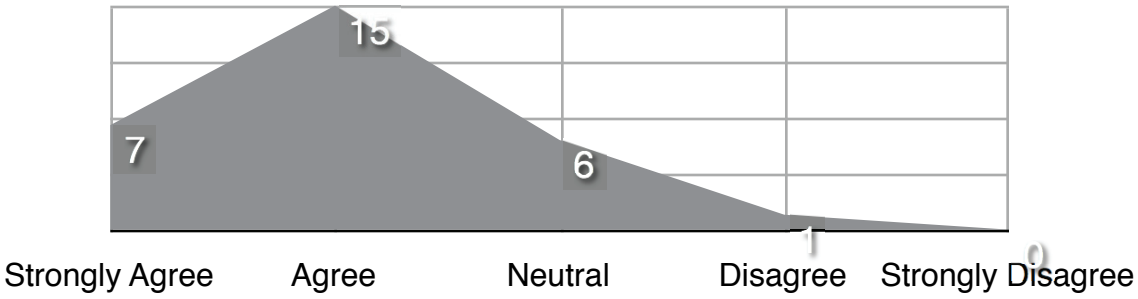


- Introducing a new workflow and methods into an already strained system
- Sales too low on digital products to warrant research
- All of the above; our disciplines aren't asking for it yet

These are all serious obstacles that presses would face in moving monographs online, so why would presses want to move at all? Many of the respondents made strong arguments for tackling the issues. The most compelling reason dealt with the mission of the university presses. As one respondent wrote: "Presses will be able to get back to their mission of publishing scholarly work that has a limited, specialized audience but that should be published." The implication here is that the costs of traditional printing have hampered that mission, and perhaps scholarly monographs that should have been published were passed over because of market considerations. Other comments include:

- Digital technologies are an intriguing way to reach new audiences while cutting high unit costs in the long run
- Wider exposure for titles
- Digital technologies are changing the way scholarly information is shared. Academic publishers need to recognize this and adapt for the future.

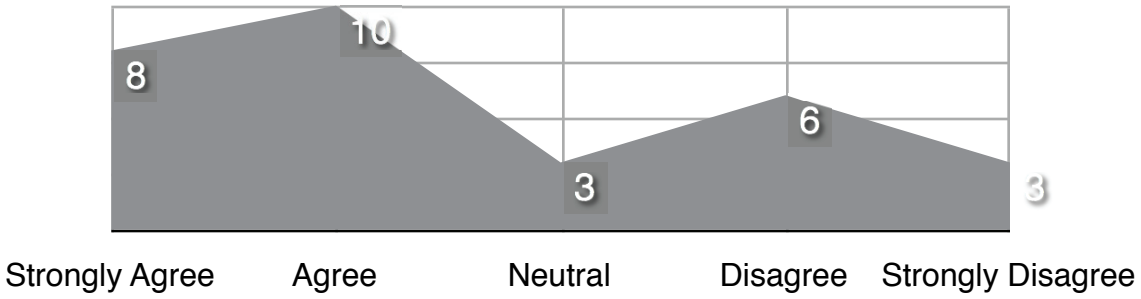
Figure 6. Collaboration will be vital to the success of online projects



- I sometimes wonder if colleagues more closely tied to traditional publishing activities realize the extent of the transformation in methods of "scholarly communication" now taking place other sectors of academia.
- Publishers will have to become more sophisticated in how we disseminate content.
- Too many [benefits] to list; for example, lower print runs, more POD, more online (maybe online only), more interaction with the users of the content, updating monograph content

These are compelling arguments for publishing monographs online. Because of the obstacles, collaboration may very well play an important role. The majority of responding presses—56 percent—are still not collaborating with other institutions in order to initiate publishing programs for digital monographs (see Figure 5). Collaboration may very well be the single most effective way in dealing with the obstacles, and the majority of respondents agreed with this sentiment (see Figure 6). This can include collaborating with universities, university libraries, and even other presses. As one respondent wrote: "Right now, it is not an important revenue stream, and even in the future, digital monographs do not seem to be the product the market wants, but aggregated digital content (multiple books in one searchable package, for example)." Aggregating digital monographs across multiple presses would be one way to realize this. Another way might be in opening up the ways in which monographs are packaged and published. For example, a regional university press might be able to tie in a

Figure 7. Digital warehousing is a vital part of our online publishing strategy



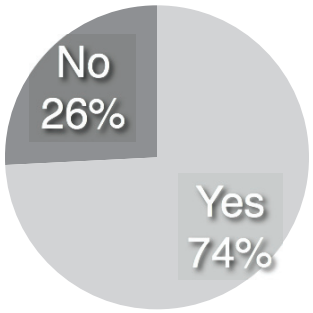
highly specialized monograph with a specific historical collection that has been digitized at their university library.

Another important reason for collaboration has to do with the technical skills involved in online publishing. As noted in the survey, not many of the responding presses have created new positions to deal with digital monographs—only 21 percent. Of those, only one or perhaps two seem to actually deal with technical skills. These include a new position that manages the conversion, checking, and enhancement of monograph XML files, and a "regular" production editor, but with the specific added responsibility for e-publishing. The other positions seem to be more managerial—electronic projects coordination, development of digital strategies, and handling all aspects of digital licensing, content management, rights and copyright, and other issues relevant to implementing, maintaining, and ultimately creating products through both new and existing digital content. Technical roles at university presses are sorely lacking, and university library staff possess the technical skills necessary (people, tools, and infrastructure) for hosting digital monographs, organizing information, storing and preserving data, and access (For more on this, please see appendix 9.4).

One of the necessary preconditions for creating an online platform for digital monographs involves the storage and preservation of data. According to the survey, university presses acknowledge this and seem to be deftly preparing for this. Digital warehousing is seen to be a vital part of online publishing strategies, as 60 percent of

Figure 8. Do you currently have an archiving and/or preservation strategy?

Yes	23
No	8
Total	**31**



respondents agree (see Figure 7), and 74 percent of respondents have an archiving and/or preservation strategy for digital monographs (see Figure 8). The strategy includes digital repository for files, as nearly all respondents (29 in total) have either in-house repositories (62%), vendor repositories (17%), or other (21%) which includes optical media (CD/DVD). Even with in-house repositories, this is an area where presses can benefit from collaboration with libraries. Control over the digital repositories is vital, as collections that can grow with hundreds or thousands of titles would require proper metadata and cataloging, access control, version control, etc. A content management system would be needed to fully ensure proper intellectual control over collections, and 87 percent of respondents do not currently utilize content management systems for digital files. Libraries are well versed in managing diverse collections, and presses would be well-advised to learn from them in this area.

Repurposing files is an important part of the digital publishing strategies, as 59 percent of respondents currently repurpose digital monograph files—for reprints, licensing content to third-party aggregators, online products, etc). It is also an important part of the need to maintain digital repositories, as 61 percent of the respondents agree. This would suggest that the format of the digital monographs is important. As Figure 9 shows, the majority of responding presses are using press ready PDF files (96%), with application files coming next (62%), then universal PDF (35%) and XML trailing far behind (12%). This is perhaps not surprising, as the products of the traditional print publishing program are PDF files, and

Figure 9. Format used when saving digital monographs

reprints play a significant role in repurposing—75 percent of respondents chose this when asked how digital monographs were repurposed. As noted in the literature review, XML files have specific advantages over the PDF files, especially when it comes to repurposing digital content. When asked if XML was the best standard format for use in preserving and repurposing digital content, 13 out of 30 respondents agree. This number increases when PDF and XML are used as the best set of formats—17 out of 30 respondents agree. I would expect to see this category to increase as more presses start publishing online, but it will certainly be interesting to see which direction in formats presses choose.

For those small number of presses who use XML, most (71%) seem to be using existing DTDs, including TEI, DocBook, and NLM. These numbers include those who are customizing these DTDs. Only 29 percent are creating their own in-house DTDs. This is understandable, as presses lack the staff with the necessary technical skills. The advantages to using DTDs already in existence is that it would be easier for multiple presses to adopt one standard. This can be a good choice when collaboration is considered.

6. Discussion

Although there were a small number of respondents, the results are quite illustrative. The fact that many presses do not currently have an online publishing program for monographs can be explained by many of the obstacles facing those presses. Additionally, as one respondent pointed out that: "Our press definitely has an age divide: the older staff who can expect to retire before digital publishing becomes a necessity really aren't that interested in it,

while the younger staff who see digital as the future don't have the clout to get us seriously moving on that, at least not in-house." This divide may also be reflected not only in the content providers—the monograph authors—but also in the intended market—the scholars and students consuming the content. In fact, the entire structure of scholarly publishing, in which institutions make decisions on tenure based in part upon publications, affects how monographs will be published. Open access in journals has made greater progress than monographs, but it certainly looks like this will slowly change over time.

Even with limited resources, including staff, technical skills, and funding, presses are leaning towards making the necessary changes to publish monographs online. Many of the respondents were keen to see the results of this small survey. While some fear that their press has delayed too long already, others think that it is not quite too late. As one respondent wrote, digital monographs have "enormous implications in the near future; [it's] not quite at the tipping point yet. Large presses with adequate resources seem to be taking the lead." The "tipping point" may be nearer than believed by many—in several years time much more of the output of university presses may very well be available (or at least searchable) online. One surprising point was the lack of concern over *Google Book Search*. Just a few years back the Association of American Publishers (AAP) filed a lawsuit against Google. The Authors Guild and three authors filed suit against them the same year. A year later, at the AAP annual meeting, University of Michigan president Mary Sue Coleman explained why the university has chosen to partner with Google on the then-named Library Project, underscoring the importance of digitizing books as essentially a public good (Deahl, 2006). Coleman was perhaps primarily focused on digital preservation, but access was also an important issue. In many ways providing access should be of vital motivation to university presses. The dissemination of scholarly output by presses is their primary mission, and giving it over to an entity such as Google can make serious inroads into their continuing

success. No responding presses mentioned concern over competition from Google in this survey. University presses could be exerting more effort to use the free advertising that Google provides to sell more books. Also, having the materials available online would greatly improve presses ability to monetize their material this way, opening up the market to some extent and incentivizing the presses to continue along this route.

Collaboration will be key for the smaller presses. As mentioned by Brown in the Ithaka report, university presses and university libraries have strongly complementary skills that should be properly exploited through collaborative efforts. There are already some collaborative projects that have been in part motivated by the Ithaka report. One very recent example is a three-year grant from the Andrew W. Mellon Foundation of New York between the between the University of North Carolina Press and the University of North Carolina at Chapel Hill (http://lcrm.unc.edu/), entitled "Publishing the Long Civil Rights Movement." This project includes both print and digital publications.

Another four programs supported by the Mellon Foundation include, and motivated by the Ithaka report:

- Slavic Studies: University of Wisconsin Press, Northwestern University Press, and the University of Pittsburgh Press
- American Literatures: New York University Press, Fordham University Press, Rutgers University Press, Temple University Press, and the University of Virginia Press
- South Asian Studies: Columbia University Press, the University of California Press, and the University of Chicago Press
- Ethnomusicology: Indiana University Press, Kent State University Press, and Temple University Press.

These are all collaborations involving university presses only (http://aaupnet.org/news/press/mellon12008.html), and while they revolve around the traditional print publishing route they highlight how presses can work cooperatively for shared goals.

As this movement continues, the reliance on PDF files alone may change. XML is ideal for chunking up monographs and allowing for portions of the monographs to be read or even commodified. As one respondent wrote "We would like to be able to sell a digital monograph to an individual, compiled and uncompiled (by chapter), but we can't do that yet." As Brown writes, "increase accessibility and enable publishers to market content in different forms, such as leasing …, or selling access to chapters or chunks of text in addition to full volumes. Electronic monograph products could also be sold in price tiers that segment the market in a way that is not possible with print" (Brown, 2007, p. 23). The monograph may purchase new traction through online publishing. Users who might never buy the monograph could possible find a chapter or even a passage useful. This not only cleanly matches and exploits Chris Anderson's long tail metaphor, but it may very well coincide with users expectations and desires (Anderson, 2006).

Aside from access issues, preservation is greatly enhanced by this route. The electronic files used to produce books will have life beyond the initial print run. One of the selling points for *Google Book Search* has been not only about better access but about the preservation of these digital object. Of course, the digitization work done by Google is not up to scholarly or preservation standards. The wholesale scanning by Google led to many technical errors and quality issues. Perhaps more importantly, since Google did not exert intellectual control over the material, descriptive metadata was not properly prepared. For instance, there are examples where important citation information such as publication date and publication titles are in error (Townsend, 2007). Because the files will have greater intrinsic value, presses will put more effort into maintaining them. It is not that many years

since film was produced for monographs, and university presses often did not make any attempt to maintain the books in that form. Digital files are in some ways much easier to accumulate and store. Storage is cheap and disk drives are small, so presses can easily throw PDF files onto network file servers. Of course, this sort of "archiving" does not truly resemble the structure inherent in a library archive. There needs to be more focused effort made in this area. Content management systems will need to become routine in use in order to allow for cataloged digital data that can be readily accessed, searched, and organized in a myriad of ways. Subsidiary rights will benefit from the ease of pulling together monographs in specific disciplines, say, and easily packaged for consumers. Such utilization will not only benefit from a structured archive but will also ensure the sustainability of the digital monograph. The notion of a book being out of print will become a thing of the past. The current trend toward developing institutional repositories at universities is often undertaken by the university libraries. University presses can at the very least learn from the libraries when developing the tools for digital preservation. More benefit can be gained from active collaboration with university libraries.

7. Conclusions

Digital resources are in the mainstream now, and users are expecting to find content and use it in ways that can only be provided by digital content. The digital resources of content providers such as university presses need to be exploited in the best possible ways, and the development of new technologies can be utilized to better serve the needs of their users. Libraries and archives are far ahead of university presses in acknowledging this, since they are centered on learning institutions and benefit from ongoing studies. University presses are slower to adapt, though "many press directors have a sense of what needs to be done to jump-start their new enterprises, but lack the financial capital, technical staff, and

technological skills to pursue this kind of agenda" (Brown, 2007, p. 5). Since university presses are inextricably linked with monograph publishing, which universities depend on for tenure and credentialing decisions (Brown, 2007), not only should university presses adopt a new paradigm for academic monographs but they should also actively seek collaboration with universities, especially university libraries. The strengths and weaknesses of university presses and libraries actively complement each other (Brown, 2007), and both will benefit from such collaboration.

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9. Appendices

9.1. Correspondence for Survey Respondents

Dear Mr. Givler:

My name is Kenneth Reed, and I am a graduate student in the School of Information and Library Science at Chapel Hill-UNC. I am working on a research paper involving the challenges of online publishing strategies for monographs at university presses. This is intended for my required master's paper which will be available online through the university sometime in the summer of 2008.

I am also a staff member at Oxford University press, and in discussion with Niko Pfund it was suggested that I contact you in order to facilitate my research.

I intend to survey all the member presses of the AAUP in order to ascertain the state of online publishing. The survey can be answered by anyone at the presses, but it might be easiest for press directors, production directors, or online project managers to respond. I've included my research proposal, which has the survey instrument, for your perusal. I would like to have a general announcement on the main AAUP listserv, and any other listservs that you may suggest, and if possible a link added to the AAUP Web site to the survey itself, which can be found here:

http://uncodum.qualtrics.com/SE?SID=SV_2s2MSxbxape9aMQ&SVID=Prod.

I will share all findings at the end of my research.

Feel free to contact me with any questions or comments.

Cheers,

Kenneth Reed
reedkm@email.unc.edu
919 855-9425

Project Adviser
Hugh Cayless
hcayless@email.unc.edu
919 260-6103

Institutional Review Board Statement

All research on human volunteers is reviewed by a committee that works to protect your rights and welfare. If you have questions or concerns about your rights as a research subject you may contact, anonymously if you wish, the Institutional Review Board at 919-966-3113 or by email to IRB_subjects@unc.edu.

Correspondence with non-respondents

Hello,

I am researching the state of online publishing at university presses and would very much like as much participation in the survey as possible. I have not yet heard back from your press, and I would like to ask again for you to complete the survey.

You can find the survey here:

http://uncodum.qualtrics.com/SE?SID=SV_2s2MSxbxape9aMQ&SVID=Prod

I will be happy to address any concerns directly, so feel free to contact me.

Cheers,

Kenneth Reed
reedkm@email.unc.edu
919 855-9425

Project Adviser
Hugh Cayless
hcayless@email.unc.edu
919 260-6103

Institutional Review Board Statement

All research on human volunteers is reviewed by a committee that works to protect your rights and welfare. If you have questions or concerns about your rights as a research subject you may contact, anonymously if you wish, the Institutional Review Board at 919-966-3113 or by email to IRB_subjects@unc.edu. If you contact the IRB, please refer to study number 08-0197.

9.2. Survey Questions

Kenneth Reed
IRB Study #: 08-0197
Survey Instrument

http://uncodum.qualtrics.com/SE/?SID=SV_2s2MSxbxape9aMQ&SVID=Prod

The Digital Monograph

University of North Carolina-Chapel Hill
Information about a Research Study

IRB Study # 08-0197

Title of Study: The Digital Monograph: Preservation and Repurposing of the Academic Monograph at University Presses

Principal Investigator: Kenneth Reed
UNC-Chapel Hill Department: School of Information and Library Science
Faculty Advisor: Hugh Cayless (hcayless@email.unc.edu)

Study Contact email: reedkm@email.unc.edu

What are some general things you should know about research studies?
You are being asked to take part in a research study. To join the study is voluntary. You may refuse to join, or you may withdraw your consent to be in the study, for any reason, without penalty.

Research studies are designed to obtain new knowledge. This new information may help people in the future. You may not receive any direct benefit from being in the research study. There also may be risks to being in research studies.

Details about this study are discussed below. It is important that you understand this information so that you can make an informed choice about being in this research study. You should ask the researchers named above, or staff members who may assist them, any questions you have about this study at any time.

What is the purpose of this study?
This study proposes a survey of the Association of American University Presses (AAUP) member presses to determine the state of digital monographs, including their preservation and repurposing, and to examine the number of initiatives for presenting academic monographs online, and to gauge how presses are adjusting to the challenges of these new publishing paradigms.

While I am undertaking this study as a graduate student, I also currently work at a university press on online products. I am understandably very interested in the current state of digital monographs at university presses.

How will your privacy be protected?
I will only be collecting information on which presses respond, as well as titles of respondents. Your information will not be used in the presentation of this research to others, so no one here in your community, or elsewhere, will know what you said.

What if you have questions about your rights as a research participant?
All research on human volunteers is reviewed by a committee that works to protect your rights and welfare. If you have questions or concerns about your rights as a research subject you may contact, anonymously if you wish, the Institutional Review Board at 919-966-3113 or by email to IRB_subjects@unc.edu.

Thank you for helping me with this study.

By clicking the link below to advance to the survey, I agree to be a participant in this research study.

1) Please list your press name and job title (This is the only required field; you cannot continue until you input your information).

2) Do you currently have a publishing program for digital monographs (e.g., a platform for selling online monographs direct to the market)?
Yes
No

3) If yes, please list the name of the program.
4) If no, do you plan on initiating such a program in the next five years?
Yes
No

5) Are you already, or will you be collaborating with other institutions in order to initiate a publishing program for digital monographs?
Yes
No

6) If you do not have a program for digital monographs, what are the major obstacles facing your press in creating one?
Financial
Technical
Low priority in overall strategy
Other (please list)

7) Do you currently have an archiving and/or preservation strategy for digital monographs?
Yes
No

8) What formats do you use when saving digital monographs? (Check all that apply)
Press Ready PDF Universal PDF PDF/A-1 XML Application Files (Quark, etc.)

9) If you use XML, please select what DTD you are using:
- In-house
- TEI
- DocBook
- Other (please name)

10) Do you have a digital repository for files?
- In-house
- Vendor
- Other

11) Do you utilize a content management system for digital files?
- Yes
- No

12) Do you currently repurpose your digital monograph files (e.g., licensing content to third-party aggregators)?
- Yes
- No

13) Is repurposing an important part of the need to maintain digital monograph files? For example, is the content converted to another format (XML to HTML) for an online platform, or is the content converted to another format for licensing?
- Yes
- No

14) How are files repurposed?
- Reprints
- Online product
- Other Platforms
- Other

15) Have you created new positions within your press that deal with digital monographs?
- Yes
- No

16) If yes, please list job titles and responsibilities.

INSTRUCTIONS: Please rate how strongly you agree or disagree with each of the following statements.

17) Strongly Agree Agree Neutral Disagree Strongly Disagree
Publishing monographs online is a vital part of our press's current strategy.

18) Strongly Agree Agree Neutral Disagree Strongly Disagree
Digital warehousing (e.g., using a digital repository, whether in-house or supplied by a vendor) is a vital part of our online publishing strategy.

19) Strongly Agree Agree Neutral Disagree Strongly Disagree

XML is the best standard format for use in repurposing digital content.

20) Strongly Agree Agree Neutral Disagree Strongly Disagree
A combination of PDF and XML is the best set of formats for use in preserving and repurposing digital content.

21) Strongly Agree Agree Neutral Disagree Strongly Disagree
Collaboration will be vital to the success of online projects.

INSTRUCTIONS: Please rate how strongly you would rate the following question.

22) Very Important Important Neutral Not Important Not Very Important
How would you rate the importance of digital technologies like XML being used at your press?

23) What do you feel are the implications of digital technologies for academic publishing?

24) Please feel free to add any other comments.

9.3. AAUP Member Presses

This list of member presses was taken directly from the Association of American University Presses (AAUP) Web site at http://aaupnet.org/.

The University of Akron Press
The University of Alabama Press
University of Alaska Press
The University of Alberta Press
American Historical Association
American Psychiatric Publishing, Inc.
American University in Cairo Press
Amsterdam University Press
The University of Arizona Press
The University of Arkansas Press
Baylor University Press
Beacon Press
University of British Columbia Press
Brookings Institution Press
University of Calgary Press
University of California Press
Cambridge University Press
Carnegie Mellon University Press
The Catholic University of America Press
The University of Chicago Press
The Chinese University Press
University Press of Colorado
Columbia University Press
Cork University Press
Cornell University Press
Duke University Press
Duquesne University Press
Eastern Washington University Press
University Press of Florida
Fordham University Press
Gallaudet University Press
Georgetown University Press
University of Georgia Press
Getty Publications
Harvard University Press
University of Hawai'i Press
Howard University Press
University of Idaho Press
University of Illinois Press
Indiana Historical Society Press
Indiana University Press
University of Iowa Press
Island Press
The Jewish Publication Society
The Johns Hopkins University Press
University Press of Kansas
The Kent State University Press
The University Press of Kentucky
Leuven University Press
Louisiana State University Press
McGill-Queen's University Press
Marquette University Press
The University of Massachusetts Press
The MIT Press
Mercer University Press
The University of Michigan Press
Michigan State University Press
Minnesota Historical Society Press
University of Minnesota Press
University Press of Mississippi
University of Missouri Press
Modern Language Association
National Academies Press
National Gallery of Art
Naval Institute Press
University of Nebraska Press
University of Nevada Press
University Press of New England
University of New Mexico Press
New York University Press
The University of North Carolina Press
University of North Texas Press
Northern Illinois University Press
Northwestern University Press
The University of Notre Dame Press
Ohio University Press
University of Oklahoma Press
Oregon State University Press
University of Ottawa Press
Oxford University Press
University of Pennsylvania Press
The Pennsylvania State University Press
University of Pittsburgh Press
Edizioni Plus - Pisa University

Princeton University Press
University of Puerto Rico Press
Purdue University Press
RAND
Resources for the Future/RFF Press
The Rockefeller University Press
Russell Sage Foundation
Rutgers University Press
Society of Biblical Literature
University of South Carolina Press
Southern Illinois University Press
Southern Methodist University Press
Stanford University Press
State University of New York Press
Syracuse University Press
Teachers College Press
Temple University Press
The University of Tennessee Press
University of Texas Press
Texas A&M University Press
Texas Christian University Press
Texas Tech University Press
Texas Western Press
University of Tokyo Press
University of Toronto Press, Inc.
United Nations University Press
United States Institute of Peace
W. E. Upjohn Institute for Employment Research
The Urban Institute
University of Utah Press
Utah State University Press
Vanderbilt University Press
The University of Virginia Press
University of Washington Press
Washington State University Press
Wayne State University Press
Wesleyan University Press
University of the West Indies Press
West Virginia University Press
Wilfrid Laurier University Press
University of Wisconsin Press
The Woodrow Wilson Center Press
Yale University Press

9.4. Comparison of University Presses and Libraries

These tables were taken from the Brown report (Brown 2007).

Presses

Strengths

• Commercial discipline – one of the few places on campus that offer a capture mechanism for university-created content. Understand how to monetize scholarship, risk capital for return on investment, operate within the disciplines of a P&L, and protect sustainability of the enterprise.
• Acceptable channel for revenue generation
• Understand publishing process
• Know how to evaluate demand
• Editorial selection and vetting (upstream at the manuscript level and downstream at the book/journal level)
• Credentialing
• Conferring prestige
• Editorial development/improving the quality of content
• Relationships with faculty as authors/creators of scholarly content
• Marketing/awareness building across multiple audiences, but especially within the academy. Cultivate long-established national and international networks among wholesalers, retailers, libraries, individuals
• Fair pricing – finding the best balance between maximizing exposure for a work, rewarding content creators and producers, and keeping down cost of scholarship.
• Keeping works in print
• Understand demand for scholarship by discipline
• Understand copyright protection and rights management

Weaknesses

• Not connected deeply to parent institution; lack status as essential academic department of university; not close to administration. Operating model (commercial) not in line with how most of university conducts business (cost center).
• Lack financial resources/investment capital necessary to experiment, recruit top talent, build new electronic infrastructure, and conduct market research.
• Lack scale: too small to achieve economies, leverage investments
• Far behind the curve in electronic publishing: lack technology tools, infrastructure, people/skills, market knowledge
• Not innovative: cost of failure too high given limited resources
• With exception of a few presses, have ceded the territory of scientific, technical, engineering, and medical publishing to commercial competitors; distant from professional schools on campus
• With exception of a few presses, not good at fundraising (building endowments, attracting substantial money for new initiatives, etc.)
• Developing and promoting a long-term strategy
• Creating new products with information technology
• Slow to move and tradition-bound

Libraries

Strengths

• Technology (people, tools and infrastructure)
• Organizing information (metadata)
• Information storage and preservation
• Close to host institution – at the center of the university's academic and educational agenda. Direct reporting line to provost; deeply connected to academic departments, professional schools, campus museums, and other entities.
• Have networks of subject specialists familiar with faculty research, instructional needs and publishing trends.
• Understand how to build collections, how disciplines work, and the interdisciplinary way collections interact.
• Multimedia content
• Special collections (own enormous amount of content of value to scholars; good at digitizing this content – including delicate work on rare manuscripts and other material – and offering it for free)
• Operate at granular level with usage. Understand the way users find and retrieve information; understand the usability of information. Well funded (from university budgets and, increasingly, from outside sources). One of largest cost centers within university.
• Operating model (as a cost center) in line with way most of the university conducts business (thus the library talks the same language as the administration)
• Excel at service – bring that mentality to everything they do. Have created a vigorous national and institutional advocacy agenda to maximize the dissemination and bring down the costs of scholarly information (e.g. open access, open source)
• Good at collaborating across institutions (ILL, etc.), and have experience in building shared technology platforms (e.g. union catalogs, bibliographic utilities, bibliographic databases) confer status/ prestige on published

Weaknesses

• Commercial discipline – "Libraries would benefit from the financial discipline that comes from a focus on the bottom line. There is a lot of waste in libraries. Libraries, because they have a spend-it-down focus, are a better site for innovation and risk-taking, but libraries don't know how to sustain innovative projects."
• Evaluating demand (service mentality prioritizes service functions over revenue generating and usage-determined activities).
• Creating demand (lack the marketing skills, networks, and processes to attract attention for projects. Not market-facing).
• Sustainability (librarians are accustomed to spending down a departmental budget and have limited experience generating revenues from other channels).
• Do not really understand faculty as authors (copyright protection and prioritization of revenue generation for royalties versus maximization of exposure from open access – authors need nuanced balance between these two sometimes contradictory extremes)
• Do not understand publishing process (library idea of publishing is more like digital production. Little sense of how to acquire or incentivize authors, spend capital to make a return on investment, etc.)
• Lack editorial selection, peer-review, and manuscript development systems that products. Do not contribute to credentialing system for scholarship.