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UNIVERSITY PRESSES AND UNIVERSITY LIBRARIES AS PUBLISHERS: NEW MODELS AND BENEFITS

I. Introduction

There has been a revolution in the use of information during the last decade. In this challenging environment, the university presses and libraries are trying to find new ways and models to accomplish their task of disseminating scholarly knowledge. The aim of this chapter is to describe how the presses and libraries have found synergies and forms of collaboration, and created new publishing models benefiting from the new information technology.

In the beginning we briefly describe the traditional field of publishing, and the university presses' role therein. The chapter continues with some descriptions of new models the presses have adopted to survive in the challenging environment (Whitney & Cohn & Faran & Jensen & Kiely & Underwood & Wilcox & Brown & Givler & Holzman & Keane 2011). **Changes have also inspired librarians** to create an active role for themselves in the publishing process, to reduce the cost of books and offer their customers better service. We

describe the survey made by the Association of Research Libraries (Hahn 2008), which verifies how libraries have taken up this new role. We continue with cases where the university press has joined forces with the library, and found benefits from doing so (Bargheer & Schmidt 2008; Clement 2011).

The university presses and libraries publish journals and books. **In this chapter we focus on book publishing. The method we use is a literature review combined with two cases closely related to the authors: Tampere University Press (TUP) and the University of Namibia Press (UNAM Press).** University presses have different histories and resources in different parts of the world. Moreover, it is very important to give a picture of the university presses operating in the developing countries in Africa. African university presses have very different missions from those of the West. This section concludes the chapter, and in the concluding remarks we combine the findings described.

2. The traditional field of scientific publishing

Scientific publishing is a process in which knowledge should be testified, qualified, saved and distributed to the audience. The process is efficient if an actor takes care of the quality of the publications, marketing and distribution. **These tasks traditionally fall on the publishers.** The whole publishing sector is by tradition divided into *trade* and *academic – profit* and *non-profit* – publishers. **University publishers** traditionally make a similar distinction, between the so-called *Oxford-type* publishers which make a profit and the *German-type*, which follow a service-based non-profit model. (Givler 2002, 108; Leinikka 2005, 17, 33–34.)

The main task of the Oxford-type publisher is to **promote the name of the university**, and at the same time do **profitable business**. The German-type university publisher produces publications, especially

dissertations of the publisher's own university. Making a profit is not the main goal, but due to the economic difficulties of the universities, German-type publishers are also forced to find some help through the commercial market. (Leinikka 2005, 33–35; Clement 2011, 516.)

Why are universities publishers?

Universities started publishing mainly because profit-making trade publishers were not interested in scientific publishing. The audience for scientific books is small, and for this reason it is difficult to make a profit. Universities also started publishing because they wanted to be sure that all the research and the new knowledge created by the university was efficiently distributed, absorbed and learned. The university publisher also offers a forum for academics to increase discussion and work together in the university. **The university publisher brings merit and visibility to the university and its researchers.** (Givler 2002, 108–110; Leinikka 2005, 32–33; Clement 2011, 508–512.)

We can list a few special features of scientific publishing. The audience for scientific literature is limited. The editions even in major language areas are small. There are few big international publishing companies, and many small local ones, publishing a lot of titles. Two essential parties in the publishing business – the authors and the reading public – usually act inside the scientific community. (Leinikka 2005, 12–13.)

3. From the traditional publishing model towards multiple models

Publishing in different electronic forms is increasing; for journals this has already increased dramatically. The same will happen with books

in the very near future. Open access publishing and self-archiving in open institutional repositories are also becoming more popular (Ferwerda 2010, 137). **Libraries reduce purchases or even make it superfluous to buy journals and books in print if electronic versions are available** (Faran 2011; Tampereen yliopiston kirjaston kokoelmien kehittämisohjelma 2011).

For university presses, the most immediate problem has been that unit sales of scholarly monographs have declined in a very dramatic way. This has happened globally (Look & Pinter 2010, 92). According to Thompson (2005, 92), the unit sales of the U.S. university presses have declined by 75 % since the 1970s. The same development is also apparent in Finland. Tampere University Press (Rajala 2011) kept a detailed sales record of its doctoral dissertations over a two-year period 2009–2011. The sales of these dissertations were very low: 47.8 percent of the total 205 titles that came out between 1 August 2009 and 31 July 2011 sold between zero and five books per title. During the same period, 21 percent of the titles sold 21–50 copies, and only 8.3 percent sold more than 51 copies per title. Over 90 percent of these dissertations are also published in the open institutional repository of the University of Tampere. Downloading dissertations is very common: 77 percent of them have been downloaded 1,000 times or more.

In this new situation, university presses have developed new strategies to survive. Few presses can count on new subsidies from their host institutions. The most common strategies have been to reduce costs, increase prices, change publishing strategies, alter the list, expand marketing, or publish other kinds of books. Some of these strategies have been more successful than others, but recent years have confirmed the inability of the old business model to sustain the publishing of scholarly monographs. (Givler 2002, 113–115; Ferwerda 2010, 137; Clement 2011, 513–518.)

Many scholars and students assume that a Google search is a first step when conducting research, that multimedia is an integral part of a narrative text, and that content will be available in a variety of

formats and devices, with the accompanying tools and functionality to enhance its use. The implications of these changes are causing a transformation of strategies for disseminating scholarly content. The question is, what role will university publishers carve out for themselves in this new world? (Wittenberg 2010.)

More open and digital publishing

The Association of American University Presses (AAUP) appointed a taskforce to investigate the questions: How are university presses evolving today, and how are they thinking about the future? The taskforce's report *Sustaining Scholarly Publishing: New Business Models for University Presses* includes a roundup of new business model activities already underway in the university press community. The AAUP taskforce identified a range of essential university press functions that might be grouped into two categories: ensuring and signifying quality and promoting broad readership.

For most university presses, the shift to digital means relying on digital publishing for books. The taskforce surveyed *new model* activities and identified four general categories for these new activities:

- publishing open digital editions of books combined with paid print using print-on-demand methods
- publishing primarily via open access
- issuing e-books for sale
- experimenting with digital publishing projects

In most cases, university libraries provide hosting services to the presses free of charge. Without this level of institutional support, these programmes would not be possible. It seems clear that most new business models for university presses will involve more open content and more subsidized funding. According to the AAUP report, most

of the university presses have already moved from the world of a single business model to a world of multiple, shifting, models. (Whitney et al. 2011; Faran 2011.)

Innovative models

Kate Wittenberg (2010) suggests that innovative thinking is necessary for university presses to develop new models for shaping and disseminating scholarship. She says that the current environment demands risk-taking, new approaches, innovative models, and a workforce willing and able to engage in these activities. The university publisher needs to establish a small group within the press that will focus on helping scholars develop innovative models of scholarly communication, emphasizing new thinking about content, technical functionality and tools, and strategic partnerships. In this model, the press becomes more of a research centre that plays a role in leading innovation in a scholarly discipline, in addition to serving a production and dissemination function. Wittenberg emphasizes that some of the publishers' traditional skills, such as identifying, assessing and editing the best scholarly work, remain as valuable as ever.

One innovative model for making academic monograph publishing sustainable, is called the *consortium publishing model*. It is in use at Bloomsbury Academic Publishers. The basic principle in this model is to collect a consortium that agrees with the publisher that the content of the monograph's digital file is made available on a Creative Commons Non-Commercial licence. An example of how it might work: if 1,000 libraries contribute 10 dollars for open access rights to a book, the publisher gets 10,000 dollars. This is enough to cover the costs of the first copy of the book (author's costs, publishing selection, managing the peer review process, the cost of editing and proofing, design, typesetting and uploading to a website). For

the consortium libraries, the 10-dollar fee is cheaper than the average cost of a monograph. (Look & Pinter 2010, 94–97.)

4. The new role of libraries in scientific publishing

The Association of Research Libraries (ARL) surveyed its membership in 2007 to gather data on the publishing services they were providing. The survey verified that research libraries are rapidly developing publishing services. According to the responses, 44 percent of the libraries reported that they were delivering publishing services. Twenty-one percent were in the process of planning publishing service development. Only 36 percent of responding libraries were not active in publishing services. These libraries are publishing many kinds of works, but the main focus is on journals; 88 percent of publishing libraries reported that they were publishing journals, compared to 79 percent which publish conference papers and proceedings, and 71 percent which publish monographs.

The survey also verified that libraries are focusing on the capabilities and prospects for new models rather than duplicating or simply automating traditional models. Peer reviewed works dominate library publishing programmes and editors or acquisitions committees typically maintain their traditional roles in identifying quality content. Libraries often provide technical support for streamlined peer review workflows, but do not provide peer review. There are pressing demands for information and advice about issues such as moving print publications into electronic publishing, discontinuing print in favour of electronic alternatives, publishing works with limited revenue-generating capability, revenue generation, standards of various sorts, mark-up and encoding, metadata generation, preservation, contracting with service providers and copyright management. (Hahn 2008, 13, 16–17, 19, 27.)

What is the difference between traditional and library publishing?

Libraries' products resemble many publications produced by traditional publishers, but they are largely electronic-only and basic in their design. Limiting services to purely electronic publications offers some significant advantages over print-oriented publishing. Costs are kept low by simplifying production and design and relying on open-source software.

Online full-text publishing enables discovery by a wide range of search engines and full-text searching, reducing the need for marketing. Workflows tend to be streamlined and almost all services are highly automated once production commences. For many publications, the goal is to keep publishing costs low enough to be managed as core library services. Publishing services are not usually treated as an isolated operating unit as a university press might be. They are typically embedded in an emerging programme of related services – digital repository development, digitization programmes, copyright management advising, etc. (Hahn 2008, 14–17.)

5. Integrating the university press and the library

There are many examples where university presses and libraries have united. Göttingen University Press has been a part of Göttingen State and University Library since its founding in 2003. Göttingen University Press belongs to the new generation of university presses, whose aim is to add value to publications and publish them as freely as possible. Göttingen University Press has increased its share of full open access books to more than 80 percent.

Göttingen University Press sees many benefits from integration into the library. The library's subject specialists advise and provide

contact lists for the press. The institutional repository is integrated into the library catalogue services. The press offers independent consultancy on publishing, both on legal and economic aspects. The aim of this consultancy is to find the best publishing solution for the author, not necessarily a publishing contract with the Göttingen University Press. (Bargheer & Schmidt 2008, 134–137.)

Richard W. Clement (2011, 508) also suggests closer collaboration between the library and the university press. Clement notes:

“Though these two entities have differing business models, partnerships have much to offer each, and integrating the press into the library organization and aligning its business plan with the library’s plan offer a viable solution to the crisis of contemporary university publishing. Library/press integrations have the potential to be extraordinarily significant in the future development of publishing in this area.”

This kind of a development is already on its way in U.S. universities. At the end of 2010, at least 16 out of 90 or so university presses had reporting lines to libraries. In 2007, the number doing so was only six.

USU Digital Monographs becomes the fundamental initiative in transforming the press and truly aligning it with the library. Rigorous peer review is maintained. Publication is open access using Digital Commons, the library’s institutional repository. Options for print on-demand and various eReader formats are or will soon be available at a reasonable cost. The press continues to make these eBooks available through non-exclusive agreements to eBook vendors and aggregators, and these modest revenue streams enable the press to pay royalties. The press is now part of a much larger collaborative effort, led by the library, to capture, develop, and distribute the information, the scholarship, and the research produced at Utah State University. (Clement 2011, 502–523.)

The need for a publishing strategy

Daniel Greenstein (2010) suggests that the universities develop and implement a coordinated publishing strategy. Greenstein's idea is that the university's publisher takes a leadership role in developing and implementing a coordinated publishing strategy for the university. It emerges as something much more than a stand-alone business entity with some level of central subsidy. It collaborates with a range of partners, including libraries, research units, scholarly societies and cultural institutions as many university presses already do. But there is a critical difference. The university's publisher has a wider scope of decision-making and budgeting authority over the sum-total activities that contribute to its implementation of the university's publishing strategy.

6. The Case of Tampere University Press

Tampere University Press (TUP) was established in the Tampere University Library in 1994. TUP is a department of the Library, with five staff members. TUP publishes dissertations and other kinds of academic publications from various fields of study. It publishes approximately 100 doctoral dissertations and about 20 other scientific books annually. Over 90 percent of the dissertations are published online.

TUP produces publishing services mainly for the researchers and teachers of the university. The service aspect is very prominent, especially in publishing the doctoral dissertations. Profit-making is not the main goal of TUP, but the continuity of the publishing means that more than half of the publishing costs have to be financed by revenue. To cover a part of the publishing costs, TUP usually requires some advance order organized by the author's research group or the School of the University.

In spite of providing publishing services mainly for the researchers and the teachers of the University of Tampere, anyone can submit a book proposal to Tampere University Press if the manuscript being submitted contributes new and interesting information. **The publishing decision is based on peer review, and taken by the Chief Librarian.** TUP keeps an online list of the peer reviewers who have given permission to publish their names. **The aim of this is to provide more transparency** in the academic publishing process.

TUP has an advisory board. The task of the board is to make suggestions for developing TUP and also to act as reviewers or help to find experts to review the manuscripts submitted. The members of the board are mainly directors, professors and researchers of the University. The first vice rector chairs the board.

TUP has a tradition of online publishing since 1999. It is natural for the staff of the press to promote open access. TUP also takes a very positive view of the right of researchers to self-archive their research articles published by TUP in the institutional repository of the university. In collaboration with the other library units TUP has been very active in implementing new repositories for doctoral dissertations, theses and other scientific publications. The benefit of this collaboration is in achieving better results by combining the different expertise of press and the library staff.

TUP is on the right path if we compare the way TUP acts to that suggested in research reports and articles described in this chapter. There is still a need to develop a new publishing strategy for TUP, or still better, for the whole of the University of Tampere to face the challenging future.

The task of the university press is to **promote the name of the university and its researchers.** In these days this means publishing as much as possible open on the Internet. The audience is there – the readers and users. The more easily the readers can find and freely use the publications, the more they cite and use them in their studies and research. This promotes the university best.

7. University presses in Africa

Universities and university presses in Africa are relatively new institutions. In many African countries, universities were only founded after the attainment of political independence from colonial rule in the mid-1960s, and scholarly publishing is therefore a more recent phenomenon.

University presses in Africa, as elsewhere, aim to publish the results of scientific research at their institutions, and have produced important works on local history, culture, languages and approaches to developmental issues that challenge the societies in which they exist. However, the amount of scholarly publication in Africa is very low compared to other parts of the world.

The United Nations Institute of Statistics presents the scientific publication output in Africa as a whole for the years 1981–2000 (UIS 2005, 3). According to this study, Africa accounted for 1.4 percent of the worldwide publication output in 2000. At the same time, North America's world share in scholarly publications was 36.7 percent and Europe's was 40.2 percent. A more recent study shows similar results: Ajaz Wani and Gul (2008) made an analysis of the publications found in the SCOPUS database in January 2008. According to their analysis, the share of African scholarly publications cited was only 0.63 percent of scholarly publications worldwide.

Scholarly publishing and university presses in Africa face many challenges. One of these is language, which is a perennial issue for African publishers, whether scholarly, educational, or commercial. GNK Vukor-Quarshe and Emmanuel K Oseifuah (2010, 84) identify market availability, distribution, lack of funding, lack of editorial experience, poor quality of research, underdeveloped ICT, and the lack of a common indigenous language as key factors in the decline in scholarly publishing in Africa since the 1980s, as well as “a dependency on developed countries for knowledge creation and dissemination”.

The tradition in former times was for scholarly and literary authors to publish with international publishing houses outside Africa, mostly in English or French, but this produces books that are not accessible to much of the population in the countries concerned. As there are more universities in Africa, the need to publish in African languages increases. However, some African languages are only spoken by communities that are few in number, so publishing is not commercially viable. (Nkolola-Wakumelo 2010.)

Darko-Ampem's (2005) case study of the practices and policies of six African university presses identifies low sales and non-specialized areas as deficiencies. According to this study, African university presses lack written policies and cooperation with each other. However, as a successful scholarly publishing model cooperation between African publishing presses and international publishers has occurred. James Currey (2010, 283) has suggested "that modern technology will offer ... a new form of co-publishing which will transform the way publishers of academic books in the different countries of Africa can work together. For the universities, print on demand (POD) may well be as transforming as the cellphone has been for ordinary day-to-day trade."

Some African publishers are taking advantage of technological developments and use digital printing for small print runs and print-on-demand publishing, but in many countries Internet connections and bandwidth are still not good. According to the African Books Collective (2012), which received donor support in the 1990s and early 2000s to distribute books from Africa internationally, it has also over time, "adapted itself to changing markets and methodologies" and now concentrates on print-on-demand distribution, using printers in the countries where orders are generated.

Inadequate technology, socio-political factors, environmental and economic factors and the invisibility of scholarly publications from the region are impediments to scholarly knowledge production and scholarly publishing in much of Sub-Saharan Africa. Print on

demand, online journals, and open access publishing could be seen as solutions to many problems of scholarly publishing in Africa and could enhance the access to publications and knowledge in Sub-Saharan Africa. (Ondari-Okemwa 2010.)

8. The Case of UNAM Press

The University of Namibia (UNAM) started to publish under the name of UNAM Press in 2002, and twelve titles were published between 2002 and 2006, but no more after that for some years. In 2011 the University established a UNAM Press publishing unit to further develop its publishing. After a period of consultation with different faculties and centres of the University, a policy document to guide UNAM Press was adopted by the University's Senate at the end of 2011. This defined the vision of UNAM Press, which is "to be the leading publisher of scholarly research and innovation in Namibia" (University of Namibia 2012a).

Housed in 2011 within the Library and reporting to the University Librarian during this period of development, UNAM Press is now an independent unit reporting to the Pro Vice Chancellor for Academic Affairs and Research. It is guided by a UNAM Press Senate Committee made up of representatives of each faculty and autonomous academic centre, with a sub-committee that is the UNAM Press Editorial Board, empowered to approve or reject manuscripts. Manuscripts go through "a rigorous peer review process" (University of Namibia 2012b).

According to the UNAM Press policy document, UNAM Press aims to transform knowledge creation and dissemination, for example by developing best practices in scholarly publishing, improving academic authorship at the University, increasing the number of UNAM publications and publishing opportunities for UNAM staff, establishing publishing guidelines and procedures, and improving

the peer review process for university publications. UNAM Press is the official publishing unit of the University of Namibia and UNAM staff members are encouraged to publish with UNAM Press as a first option. (University of Namibia 2012a.)

The Namibian population is only just over 2 million, and only a small number of people within the country buy and read scholarly publications. UNAM Press therefore does not aim to cover all its costs from sales revenue. It has aligned its strategic objectives with those of the University, receives a subsidy from the central University budget, and hopes to augment that with sales revenue. Distribution arrangements are being developed in Namibia, South Africa and internationally. UNAM Press books are available through the African Books Collective (ABC), which now also manages the digital distribution of the content of UNAM Press titles, through MyiLibrary and Ebrary. This enables UNAM Press books to reach markets that they would not have reached if they were relying solely on print editions.

A Scholarly Communication in Africa Project (SCAP) is ongoing between the Centre for Educational Technology at the University of Cape Town and four southern African universities, including the University of Namibia. This is developing a digital repository for the UNAM Faculty of Humanities and Social Studies (FHSS), with the involvement of UNAM Press and the Library (*Scholarly Communication in Africa*, 2012). UNAM Library staff are being drawn into the indexing of documents that will be in the repository, and thus into one part of the publishing process. Although SCAP is a pilot study, it is hoped that it will lead to the development of a digital repository for the whole of the University of Namibia. Open access to documents is also being widely discussed at the University of Namibia. Collaboration between the University Library and UNAM Press may therefore develop further.

9. Conclusions

In this chapter we have described the current situation where university presses are in the changing field of academic publishing. There have been some suggestions as to how the presses can change their traditional models towards new and innovative models of publishing. Many university presses have already taken steps towards doing this and have started new publishing projects, often with other partners. At the same time, the libraries have taken on new tasks in the scientific publishing field – often in collaboration with university presses. Libraries do not have long-standing publishing traditions. It is therefore much easier for them to start publishing, benefiting from the new technology, using open access and the new ways to make knowledge accessible to their customers in the university, and at the same time to a wider audience.

We can draw some conclusions from this development. University presses and university libraries have much in common. They can work or in some cases even join forces to better serve their host academic community. It is clear that demands for open access will continue to grow. The more that content is open to all, the smaller the sales revenue will be. This means that university presses will need financial support from their universities to cover the costs of selection, peer review, editing and typesetting the first copies of their books. The libraries will also need extra financing and human resources, especially during the establishment of new open access publishing services.

University presses in African developing countries have a very different role and mission compared with the U.S. and European university presses described in more detail in this chapter. African university presses are essential to fulfill a major aspect of the university's mission, and fit into the university's overall strategy. If the western university presses with their collaborative partners keep publishing more online in the future, this will also benefit universities in developing countries. They will get the same access to the most recent

scientific knowledge that their colleagues in other parts of the world have enjoyed for decades. This will allow a greater sharing of such knowledge and the growth of local research capacity.

We can list a few common aspects in all new publishing models already established or proposed for the university presses and libraries. Whatever the publishing model or actor, the publisher's most important task is to identify, assess and edit the best **scholarly work of the publications**. This is one of the key principles of the presses' old publishing models, and has been maintained in all new models that the presses and the libraries have adapted. Quality has been the leading idea in all library activities, so it is very natural for library staff to adapt it into their new publishing models.

Moving toward open access is the second common phenomenon of the new publishing models the presses and the libraries have adapted. Both parties have understood that the more easily the readers find the **scholarly publications, the more they will use and cite the text**. This adds to the impact of the author of the publication, but it also gives more impact to the publisher, and indeed to the host university.

The third common aspect is the use of new printing technology and distribution channels via the Internet. They reduce the publishing, marketing and distribution costs. This is very important, particularly during the present global recession. **Maybe the most important common phenomenon** has been the rise of collaboration. Both parties in the publishing field, the libraries and the presses, need each other's expertise to survive and further develop their mission in the rapidly changing scientific publishing field.

We can see these four aspects also as main publishing principles in two cases, TUP and UNAM Press, described in this chapter.

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